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ABSTRACT

This report describes current state monitoring systems in special education, identifies trends across states, and examines critical issues. Data are based on discussions with monitoring personnel, responses to a 1992 survey, input from meetings, and analysis of documents provided by the states. Analysis focuses on five areas: (1) the composition and role of State onsite monitoring teams and variations in the conducting of site visits; (2) the use of focused and targeted monitoring by states; (3) instances of state monitoring that go beyond federal requirements especially in relation to the monitoring of student outcomes; (4) the use of sanctions and commendations, and the collection and dissemination of best practices; and (5) major revisions in state monitoring systems under consideration or development. Recommendations include the continuation and expansion of technical assistance efforts by federal monitoring staff and a wider availability of technology to streamline the monitoring process in the states and eliminate the repetitiveness of data gathering. The report also calls for a re-examination of the premises of compliance monitoring, its implementation at all levels, and its role in assuring appropriate service provision. An appendix provides a detailed analysis of survey results and a table of results. (Contains 6 references.) (DB)

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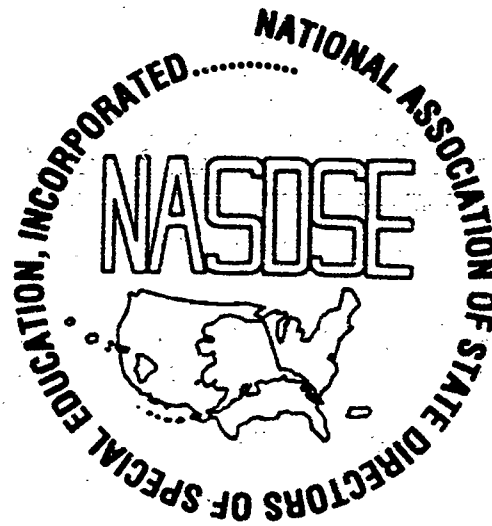
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ANALYSIS OF STATE COMPLIANCE MONITORING PRACTICES

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Project FORUM

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ANALYSIS OF STATE COMPLIANCE MONITORING PRACTICES

Executive Summary

Compliance monitoring procedures in special education employed by both Federal and State departments of education have been the subject of intense interest and continuous revision since their inception. Recent demands for reform in education contain significant implications for monitoring. This report was undertaken to further the knowledge available for decisionmakers by providing descriptive details on current State compliance monitoring systems, identifying trends across States and examining critical issues.

The sources of data used for this report included discussions with monitoring personnel in selected States, responses to a survey conducted by the Regional Resource Centers in June, 1992, input received at meetings and conferences, and policy and other documents on the topic provided by the States.

The analysis of current monitoring practices concentrated on five areas of State monitoring practices:

- the composition and role of State onsite monitoring teams and variations in the conducting of onsite visits;
- the use of focused and targeted monitoring by States;
- instances of State monitoring that go beyond federal requirements especially in relation to the monitoring of student outcomes;
- the use of sanctions and commendations, and the collection and dissemination of best practices; and,
- major revisions in State monitoring systems under consideration or development.

Some type of onsite monitoring is used in virtually every State, and a wide variety of team composition exists. Some States include only State Education Agency (SEA) personnel while others add representatives of groups such as regular or special education teachers and administrators, university personnel, parents or community representatives. States that use non-SEA members on monitoring teams expressed very strong support for this practice. Many advantages were cited especially the mutual benefits that accrue from the use of LEA peers on monitoring teams.

Procedures used in onsite monitoring also vary among the States. In some cases, special education is but one component in a procedure that addresses all categorically

funded programs under one umbrella. In other instances, States use an accreditation type of process encompassing all the educational programs and services of a district. Some States with intermediate education units follow a monitoring system design that has the individual districts monitored by the intermediate unit and the intermediate units monitored by the State. Other States contract with outside agencies such as universities to conduct compliance monitoring visits although SEA personnel continue to be involved and responsible for compliance decisions and the final report on each monitoring visit. Computers have also had a significant impact on monitoring practices in some States. In the most highly computerized processes, all the requirements are incorporated into a program and a final report including a corrective action plan for non-compliance areas is generated before the team leaves the district.

Most States include some type of focused or targeted monitoring in their systems although these terms are used to describe a wide variety of monitoring strategies. Sometimes States choose a theme for a year and focus on that area during each visit. In other cases, a monitoring visit for a district will be tailored to address areas of non-compliance identified in previous visits or complaints received about that district.

The topic of using information about student outcomes in compliance monitoring is receiving a lot of attention in States. A number of SEAs provided examples of experimentation with measures of quality as a part of their monitoring practices. However, SEA personnel recognize that including outcomes in monitoring is a complex and controversial subject. Some States are experimenting with ways to convert to an outcomes-based system while others feel that the enforcement provided by traditional compliance monitoring is needed to secure or protect the resources to meet the needs of students with disabilities.

Many States are examining their monitoring practices and considering changes to make the process less onerous and confrontive. Extensive revisions in New Jersey now being implemented incorporate techniques designed to replace the most negative aspects of monitoring with a continuous technical assistance relationship between the SEA and the LEAs.

Very little difference was found among states in the application of sanctions for LEA non-compliance. Most SEAs rely on negotiation to achieve corrective actions and seldom apply fiscal sanctions as punishment except in instances of errors found in an LEA child count. Many SEA personnel expressed deep concerns about the impact of current State budget problems on resources needed to fulfill their responsibilities for overall supervision under the IDEA. Concerns were also expressed about the lack of clear standards for making compliance decisions and the need for consistency and clarity in many aspects of monitoring procedures.

This analysis suggests that issues related to compliance monitoring will continue to demand attention in the States. Personnel with responsibilities for monitoring expressed a strong need for support and collegial sharing and continuation of the dialogue with federal officials that has taken place at the monitoring conferences held in the last two years. Recommendations resulting from this study include the continuation and expansion of technical assistance efforts by Federal monitoring staff and a wider availability of technology to streamline the monitoring process in the States and eliminate the repetitiveness of data gathering.

The lack of correlation between compliance monitoring and program effectiveness was noted by individuals interviewed for this study. The report calls for a re-examination of the premises of compliance monitoring, its implementation at all levels, and its role in assuring the provision of a free appropriate education for students with disabilities.

ANALYSIS OF STATE COMPLIANCE MONITORING PRACTICES

Introduction

The passage of P.L. 94-142 (Education of the Handicapped Act, since renamed the Individuals with Disabilities Education Act or IDEA) in November, 1975 marked the beginning of a far-reaching change in the interaction between State Departments of Education and the Local Education Agencies (LEA) or Intermediate Education Units (IEU) that delivered direct services to students with disabilities within the State. The law granted federal funds for providing special education services to students with disabilities and carried new responsibilities for States to monitor how localities provided those services. Specific sections of IDEA and the regulations implementing it as well as requirements in the Education Department General Administrative Regulations (EDGAR) contain responsibilities for Federal oversight, but §1412 of the Act contains the general provisions that form the basis for the authority for State monitoring of the provision of education to students with disabilities:

The State educational agency shall be responsible for assuring that the requirements of this subchapter are carried out and that all educational programs for children with disabilities within the State, including all such programs administered by any other State or local agency, will be under the general supervision of the persons responsible for educational programs for children with disabilities in the State educational agency and shall meet education standards of the State educational agency. [20 U.S.C. 1412(6)]

Since 1975, both the U.S. Department of Education and State Departments of Education have developed monitoring systems to assess compliance with applicable statutes and regulations pertaining to programs and services for students with disabilities. Originally termed the Program Administrative Review and now referred to as a multi-faceted program review process¹, the series of activities used by the Office of Special Education Programs Division of Assistance to States (OSEP/DAS) to determine the extent to which a State is in compliance with IDEA and related requirements includes an examination of documents (State Plan, annual performance reports, policies, etc.) and an onsite verification of the implementation of Federal and State laws and regulations.

¹For a complete explanation of the Federal Program Review Process, see the *Fourteenth Annual Report to Congress on the Implementation of IDEA: 1992*, Chapter 4, pages 113 to 140.

Many revisions of OSEP's procedures have been instituted in the last two years. Currently, the onsite component involves a pre-visit set of activities that includes one or more public meetings held in the State and preparation for the onsite visit. During the week-long presence in the State, OSEP staff review State documents and interview State officials, visit selected schools and other public agencies, review IEPs and interview personnel responsible for programs for students with disabilities. The visiting team provides verbal feedback to the State at the conclusion of the onsite visit. Guidelines provide that, within sixty days, a draft report will be issued that contains the findings of the team and a Corrective Action Plan (CAP) specifying the changes required to correct the deficiencies identified during the review. As a part of each compliance review, OSEP assesses the State's procedures for monitoring local education agencies and intermediate education units. The State has an opportunity to respond to the accuracy and completeness of the draft report prior to the issuance of a final report.

OSEP requires that States include in their monitoring system a procedure to determine compliance with every State and Federal requirement. Annual (or periodic) program plans filed by local districts combined with cyclical onsite monitoring visits are the core monitoring practices most States use to meet this obligation. Recently, States have experimented with focused and targeted monitoring to highlight either LEA-specific or Statewide issues as well as to streamline the process and tailor it to verify compliance with respect to selected requirements of the IDEA and parallel State laws.

State monitoring systems to assure local compliance with Federal and State specifications vary. The major components of most State monitoring systems are:

- 1) a review of records such as LEA and/or IEU funding applications, complaint investigations, self studies, child counts, student data including IEPs and placement procedures, written assurances of compliance and various other types of documentation;
- 2) some types of onsite verification of policy/procedure implementation; and,
- 3) a correction process for any identified deficiencies that may include sanctions, negotiation and/or technical assistance and follow-up procedures.

Monitoring processes employed by both OSEP and the States have been the subject of intense interest and continuous refinement since their inception. The content and procedures used to assess compliance have been modified over time to respond to interpretations of regulations and statutory changes. Recent demands for reform in education have promoted innovations that have significant implications for monitoring practices. Restructuring to decentralize authority, school-based management, emphasis on student performance outcomes, and school accountability are prime examples of these trends. Educational practitioners, policymakers and other interested groups are actively working to find ways to implement recommended revisions in structure and practice, but

very little consideration of special education is included in that dialogue. Even less attention is being directed to the effect of such fundamental change on the mandated compliance monitoring systems.

Before any revisions in monitoring to accommodate educational reforms can be considered, it is necessary to have a thorough understanding of current practices. A first step in this direction was taken in 1991 when the Regional Resource Centers (RRCs) convened a national conference at which State and Federal monitoring personnel shared information about approaches and problems related to monitoring practices. The conference was held again in 1992 for which the RRCs conducted a survey of State monitoring practices and published the results in the document, *Profiles of State Monitoring Systems*. For a listing of the survey items, an analysis of the results and a table of the responses, see the Appendix included at the end of this report.

The analysis presented in this report was undertaken to further the knowledge available on compliance monitoring by providing descriptive details on current State monitoring systems, identifying trends across States and unique features in selected States, and examining critical issues in State monitoring. The main source of information for this analysis came from discussions with monitoring personnel in selected States. Other sources of data include the RRC survey, the content of State Plans that cover the 1992-93 school year, and other available documents pertaining to State monitoring practices such as reports and publications on the topic as well as materials provided by individual States.

Using input from discussions with State monitoring personnel, meetings, conferences and requests for information and the RRC survey findings, the following component practices of State monitoring systems were selected for analysis:

- a) the composition and role of State onsite monitoring teams and variations in the conducting of onsite visits;
- b) the use of focused/targeted monitoring by States;
- c) instances of State monitoring that go beyond federal requirements especially in relation to the monitoring of student outcomes;
- d) other aspects of State monitoring practices such as the use of sanctions and commendations, and the collection and dissemination of best practices; and,
- e) major revisions in State monitoring systems under consideration or development.

This report consists of an analysis of the selected topics in State monitoring incorporating additional information gathered for this study, an examination of some related monitoring issues and, finally, a discussion of the issues in State monitoring that surfaced during this study with observations, concerns, conclusions and recommendations.

Analysis of State Monitoring System Practices

Onsite Monitoring: Team Composition and the Conducting of Visits

Although States are not compelled by Federal statute or regulations to make formal compliance visits to LEAs or IEUs, the SEA is responsible for verifying that all legal specifications for programs and services to students with disabilities are implemented within the State. As stated in a presentation at the National Monitoring Conference by Gregg Corr, a member of the OSEP/DAS monitoring staff, a paper review of LEA policies or an exclusive reliance on focus monitoring will not suffice to fulfill this responsibility. Rather, the actual implementation of policies must be verified. States have therefore designed a variety of onsite validation processes as part of their monitoring of local entities.

The onsite verification approach adopted by virtually every State in one form or another is the cyclical team monitoring visit modeled on the procedures used by OSEP.² State monitoring cycles range from 3 to 6 years with the most common being 5 years. At the time the RRC survey was done, Massachusetts was contemplating a 7 year cycle. However, State monitoring personnel advise that their system which is still undergoing revision will most likely be using a 4-year cycle.

Visiting teams composed of only SEA personnel most resemble the Federal model. The size of the team and the number of days on location vary based on the size of the local unit being visited and other constraining factors such as traveling distance and budget considerations. The visit is preceded by a process that involves contact with district personnel to set schedules and to identify individuals who will be interviewed and programs that will be visited. The onsite events typically include a community meeting, parent interviews and/or surveys, document reviews, program observations, teacher and administrator interviews, and an exit meeting with district administrators and/or others to present initial findings.

Individuals other than employees of the SEA who are added to visiting teams by some States include personnel from other LEAs or IEUs, university professors, and parents or other community residents. Idaho has specifically recruited adults who are handicapped to serve on monitoring teams. Different methods are used by States to train these added team members. For example, Indiana offers a structured two-day training course four to

²Team visits are not used in Connecticut except for monitoring private schools. Instead, the State program specialist works with LEA administrators either at the district or at the SEA to complete the requirements for verifying LEA compliance.

six times a year and maintains a list of individuals who are trained and available for assignment to teams. This formal approach was tried and rejected by Colorado in favor of a more individualized approach in which the SEA program person who chairs the team is responsible for preparing the LEA personnel and parents who comprise the membership of each team.

Minnesota's onsite monitoring process is an example of a well established peer review approach in which the meaning of 'peer' encompasses anyone who is not an SEA employee. As the result of a planning and development project started three years ago with assistance from the Great Lakes Regional Resource Center and input from other States, the Minnesota SEA designed a system that is committed to the use of a broad-based cadre of peer monitors. Individuals must apply to this program, and selection criteria are based on the SEA's commitment to having a diverse pool of peer monitors who represent all types of constituencies. The program includes an intense training component for peer team members first implemented in the fall of 1989. The initial group of project participants who had been trained and had taken part in monitoring teams during the year met with SEA staff at a conference in June, 1990 to evaluate the process and recommend ways to improve it. The report of that meeting contains strong support on the part of all participants for continuation of the approach (Minnesota Department of Education, 1990). The Minnesota Office of Monitoring and Compliance has since begun publication of a regular newsletter entitled *PEERING IN* that provides information about monitoring as well as other relevant items.

Non-SEA team members almost always have a specific role in the work of the team even if they are not involved in every aspect of the team process. The SEA representative is usually the team chairperson and is responsible for final compliance decisions and preparation of the report. LEA peers and other education professionals are usually assigned tasks that involve interviewing district personnel and gathering information from other sources about the district's programs and services.

The role of parents on a team is usually focused on the assessment of parent-related issues in the district being monitored and sometimes, as in Colorado, their role is specifically limited to that component. Louisiana has further confined the role of parents to that of an observer of the activities of the team. In Idaho, the district being monitored makes the decision about including parents on the team. Idaho parents gather information from other parents and currently the statewide parent group is working on a new questionnaire to improve the quality of information collected from parents in future monitoring visits.

Among States that use non-SEA members on teams, opinions and practices vary concerning who can have access to student-specific data. In some States--Indiana is an

example-- only SEA personnel have access to student records. In effect the same is true of Delaware because IEPs are reviewed in every district in October of each year by SEA staff for the State child count and student records are not reviewed as part of the onsite monitoring team process in that State. In other States such as Colorado, non-SEA professionals on teams have access to student records but parent members do not because their role is limited to findings about parent involvement and parent issues in the district being monitored. North Carolina provides non-SEA team members with a letter from the State Department of Education authorizing access to records. Since parents are not used on teams in that State, the practice pertains only to LEA peer members. In Minnesota, the attorney general has issued an opinion that individuals acting in the capacity of a team member are the same as SEA employees and can have access to records during a monitoring visit. Other States see no conflict in allowing non-SEA team members access to student-specific data. This is true of California and Idaho although the latter requires team members to sign an access log in any student record they review.

States that use non-SEA members on teams express strong support for this approach. Terms such as 'field colleague' and 'significant others' that were used by some State personnel to refer to these added individuals communicate the importance attached to their participation. States contacted for their input into this study cited many advantages and almost no disadvantages when asked for their perception of this practice. State monitoring staff said the use of individuals other than employees of the SEA on onsite monitoring teams helps to:

- focus the process on how a district serves children rather than just whether they meet the letter of the law;
- de-emphasize the negative, adversarial connotations that the monitoring process usually carries;
- supplement a small SEA monitoring staff allowing for more comprehensive and accurate evaluation of compliance in districts; and,
- provide positive public relations for the SEA with school personnel, parents and other community constituencies.

State monitoring staff singled out the use of LEA peers on monitoring teams as especially beneficial. They said that LEA peers can:

- help to forge a partnership changing the relationship between the SEA and the LEA or IEU;

- make the monitoring process more tolerable to local units because the peers are closer to current field experience and frequently have more credibility with school staff than SEA personnel;
- provide technical assistance from the peers to their colleagues even if only informally and foster the development of professional networking for program improvement; and,
- provide inservice for the peers themselves by providing a better understanding of compliance and guidance in improving their own district's program.

Most respondents in the SEAs felt that there were no disadvantages to the use of non-SEA members on teams. A few cited some problems that could occur, but in all cases they were not seen as significant. The difficulties (usually expressed as only theoretically possible and not actually encountered) mentioned by State monitoring personnel were:

- some non-SEA individuals do not understand compliance as a legal concept;
- the presence of non-SEA members on the team can lead to a 'we-they' division if a team member appears to 'side with' the LEA or IEU being monitored;
- sometimes non-SEA members are 'too tough' or 'too lenient' on compliance;
- some people have strong biases or personal issues that interfere with their ability to be objective about the LEA/IEU; and,
- managing a team composed of different types of members is not as easy as dealing with SEA peers who are familiar working partners.

The most common model of onsite monitoring involves a site visit with the sole goal of overseeing only those programs and services designed for students with disabilities. However, this is not true in all States. For example, in California, special education is but one component in a combined compliance procedure that addresses all categorically funded programs. The visiting team has only one member representing special education and that place may be filled by either a SEA specialist or a professional educator who has been trained in the compliance process. A single report is issued of which special education is only one part. An intensive self-review, although voluntary, is strongly emphasized as part of this Coordinated Compliance Monitoring Review Process to better prepare the district and streamline the procedures for the State. Detailed

recommendations for conducting this self-review are contained in California's Special Education State Plan. The State of Virginia also uses a coordinated onsite process to monitor all federally-funded programs at the same time, but the special education contingent on the team includes both the SEA team leader and volunteers from other LEAs (usually districts that will be visited in the following year) who have completed a regional training program.

In New Mexico, compliance monitoring for special education is part of an accreditation process in which all components of a district, not just the federal programs, are reviewed. The State Plan for 1992-1994 cites the New Mexico requirement that the State Board of Education "annually assess and evaluate for accreditation purposes in at least one-third of all public schools to assure compliance with all applicable regulations." (p. 63) Arkansas also uses a State accreditation system for all regular education programs. Special education is not included in the system, but the SEA is looking at incorporating special education compliance procedures in the future. Under the Arkansas State Accreditation System, an LEA can continue to operate for only two years if it is out of accreditation. During this two-year period, the State carries out a series of direct intervention steps imposing corrections to bring the LEA back into compliance with accreditation standards.

Monitoring practices in Iowa and Michigan follow a somewhat atypical design as a result of the delivery of services to students with disabilities through intermediate education units. In Michigan, the State funds a staff monitoring position located in each IEU (known as Intermediate School Districts or ISDs). It is the responsibility of each ISD to monitor its member LEAs on a 2-year cycle, and then the State monitors each of the 19 ISDs using a 3 year cycle. Similarly in Iowa, the IEU (known as an Area Education Agency or AEA) monitors its member LEAs and the State monitors the AEA. The Iowa SEA team will visit a small sample of the LEAs included in the AEA during its onsite monitoring.

Another variation in monitoring practice exists in New Hampshire and Utah where the State contracts with non-SEA employees to plan and conduct compliance visits although in both cases an SEA staff member accompanies the team on the visit. Utah issues a request for proposals and currently contracts with a university. New Hampshire contracts with a special education collaborative for its monitoring team activities although the State is now re-thinking the way in which it will meet its monitoring obligation in the future and every aspect of the compliance review process will be reconsidered. In both of these cases, the contractor performs such functions as gathering data, forming teams and drafting reports, but the SEA member acts as team leader and maintains responsibility for compliance decisions and the final report.

The use of computers has brought important changes in the monitoring process. Most States use the data gathered for Federal reporting requirements in their compliance monitoring, but there is variation in their capacity to make effective use of that data. Some States such as Vermont analyze this data and use the results to design visit activities tailored to the individual LEA while others, such as New Hampshire, use the data to verify, in whole or in part, the implementation of requirements such as I.RE. Some States, however, use data gathered for Federal reporting only minimally in the monitoring of LEA compliance. SEA monitoring staff in Colorado have indicated a desire to find ways to use federal data reports more effectively as a part of their process.

Technology has impacted not only the data gathering aspect of monitoring, but in some places has altered the way in which the onsite visits are handled. In Michigan, the compliance manual consists of a point-by-point list of State Rules which has been incorporated into a computer program as the standards for assessing compliance. The same materials are used for the monitoring of Michigan LEAs by the ISD and the monitoring of ISDs by the SEA. At the conclusion of the onsite visit, the final report and corrective action plan generated by the computer program from data entered during the visit are presented to the LEA or ISD at the exit meeting. The monitoring process is highly computerized in Arkansas also. The Arkansas program checklist contains specific indicators for compliance, and a non-compliance finding triggers the same corrective action requirement for any Arkansas LEA that is cited on a particular issue.

Focused/Targeted Monitoring

As mentioned earlier, the terms focused and targeted monitoring are interpreted in more than one way and are used to describe various strategies employed in State monitoring. All the States contacted for this study that indicated that they used focused or targeted monitoring made it clear that this approach is considered to be only one of several strategies in their compliance review programs.

In one application of targeted monitoring, a district may be scheduled for an 'extra' or off-cycle visit because of having a large number of formal complaints, or the incomplete or inadequate implementation of a previous corrective action plan. Such is the case in North Carolina where, as the State Plan states, "a full onsite Program Compliance Visit (PCV) will also occur if the SEA receives, in writing, ten complaints concerning a local education agency."

An issue may be identified for particular investigation as the result of State analysis of LEA data reports. In Arkansas, child count is reported by minority status and

handicapping condition and, if an LEA count deviates from expectations, the LEA must file a corrective action plan specifically designed to rectify this problem.

Another version of focused monitoring occurs when a State identifies a theme for the year to be addressed in each monitoring visit. For example, Louisiana selects four topics that all visiting teams are expected to attend to as part of their monitoring review during a year. For the last two years, the topics selected were related to findings in Louisiana's Federal monitoring visit. Typically, focused monitoring is also used in Arkansas where a theme issue for a year is identified through analysis of the computerized record of prior monitoring results. Another example is found in Idaho where the newly developed monitoring system gives districts the option to request one effectiveness area for targeted review and assistance. For the 1992-93 school year, the target will be assessment prior to IEP development and will involve a review of a district's efforts in prevention, screening, eligibility and IEP planning assessments.

Some States focus their monitoring by tailoring a cyclical visit specifically to a circumscribed list of items that have been identified as non-compliance issues for a district. The procedures followed in Vermont illustrate this approach. When a district is due for a cycle visit, all collected information for that LEA is reviewed and a monitoring plan is developed focusing on unresolved issues or areas in which insufficient data have been collected to verify compliance. Louisiana uses an intensive self-study as the basis for targeting areas for review during an onsite visit. Similarly, the new monitoring system being developed for Pennsylvania incorporates a self-study that is used to design a targeted review in the second year of their 6-year cycle, followed by the onsite visit the next year.

These focused and targeted monitoring techniques are viewed by states as a variation in, or an addition, to cyclical monitoring. This interpretation differs somewhat from the meaning attached to this approach by Rostetter (1988) in his paper, "What is This Thing Called Monitoring?" He describes focused monitoring as a process that can be an alternative to a cyclical onsite process provided that the SEA operates an effective management information system as the basis for a continuous and comprehensive monitoring system. Rostetter views focused monitoring as an in-depth investigation of complex issues such as least restrictive environment or over-representation of minorities in special education and he characterizes it as "a small part of a larger approach that replaces cyclical monitoring" (p. 12).

Some States have had their focused approach cited by OSEP as inadequate to assess every compliance issue as required. In response to the findings of their Federal

monitoring visit conducted during the 1989-90 school year, Illinois has revised its procedures using Rostetter's recommendations as a guide. The new structure will include focused review as part of a total system that also encompasses regular cyclical visits. Kentucky is also moving from a focused method to a more traditional monitoring approach as the result of a combination of factors. Aspects of the Kentucky Education Reform Act, passed in response to a court order requiring a complete change in the educational system, provoked some changes in monitoring as did the changes in personnel in that State and the findings of the 1992 Federal monitoring visit.

New Jersey has designed an entirely new monitoring approach that will result in a visit to every system each year. The new concept is based on building a close working relationship between the SEA and the LEAs and eliminating the 'gotcha' aspect of monitoring. The goal of this new monitoring system is to form a positive partnership to improve programs and services for students with disabilities rather than concentrate only on non-compliance. A new 4-year program review cycle has been designed with one-quarter of the requirements identified for attention each year. For example, the cluster of issues on which all systems will be reviewed³ in the 1992-93 school year includes district policies and procedures, the utilization of federal funds, and due process hearings. During the 1991-92 school year, the State provided intensive training and technical assistance in these areas for all districts, and each district completed a self-study. The program review during 1992-93 will entail onsite and offsite activities to verify the self-study and to identify effective practices and programs. Corrective action plans will be drawn up where needed and technical assistance will be provided. During the year that all districts are reviewed on the first cluster of issues, training and technical assistance will be provided on the second cluster of issues scheduled to be reviewed in the following year. This pattern will be followed throughout the cycle.

The information accumulated during the entire monitoring cycle for New Jersey LEAs will also be used in the future for input to the 'Thorough and Efficient Monitoring System,' a report required every seven years by the New Jersey Constitution on the entire public education system in the State. New Jersey has a total of 589 school districts that must be monitored as well as over 300 other entities that provide services or programs to students with disabilities. The current number of SEA staff responsible for monitoring consists of 6 full time equivalent staff in the State Capitol and 15 additional staff members located in regional offices.

³The word 'monitoring' will not be used in connection with the new approach in New Jersey. What was previously compliance monitoring will be known as program review.

Monitoring Beyond Federal Requirements

Although only 35.4 percent of the selected States indicated in the RRC Survey that their monitoring 'goes beyond legal obligations,' different responses were expressed for this question in discussions with State monitoring personnel. Most States maintain that providing technical assistance to their LEAs/IEUs as a part of the monitoring process⁴ is an indication that their compliance review procedure goes beyond federal requirements. For example, the Arkansas Compliance Monitoring Procedural Manual states, "The basic purpose of monitoring is to determine the district's compliance with State and Federal legislation governing programs for the handicapped. However, as a result of the process employed, monitoring also serves as one form of technical assistance" (p.1). Monitoring staff in Arkansas also contend that their data collection procedures are proactive with respect to compliance issues in that they maintain individual district statistics by categories such as minority status and handicapping condition that are more comprehensive than Federal requirements. These data can be used by the LEA and the SEA to identify areas of potential non-compliance.

All States prepare a report to identify problems found and specify the compliance status of the local entity being monitored, but some States include more than compliance issues in the report. North Carolina and Utah make recommendations with suggestions for improvements in local programs and services that are not related directly to Federal requirements. These States see this practice as a form of assistance to their districts that exceeds the essential Federal requirements for monitoring activities. In Ohio, SEA team members return to a district a few weeks after an onsite compliance visit to work with LEA personnel to develop a corrective action plan. SEA monitors see these procedures as the most valid part of the process.

Federal Regulations define many mandates relative to the IEP and require that each State Plan include "The procedures that the SEA follows in monitoring and evaluating those programs." [34 CFR § 300.130 (b)(2)] However, SEAs vary in their implementation of the meaning of this requirement. The IEP has become more than "...a written statement for a child with a disability..." [34 CFR § 300.340 (a)] that results from an evaluation and a meeting. For example, in compliance reviews the IEP is used as evidence of LEA adherence to procedure, and it has also been used as a legal document in disputes between parents and LEAs that have become court cases. Lately, many States are looking into the potential use of IEPs in outcomes measurement. Michigan plans to carry out a pilot project during 1992-93 that will involve studying the goals in IEPs evaluating their appropriateness, their implementation, and the ways in which goal attainment is judged.

⁴The RRC Survey contained a separate question, "We provide TA as a part of our monitoring process." A total of 95.8% of the States in this study answered affirmatively to that question.

For purposes of State funding, Delaware conducts a separate IEP review every September during which a thorough review of IEPs in all districts is carried out. Delaware's *Requirements and Criteria for Determining Compliance With the September 30 Audit* contains standards for the IEP that require monitors to address quality issues such as the appropriateness of IEP goals.

This study gathered a number of examples of SEA experimentation with measures of quality as a part of their monitoring reviews. A new voluntary component called an exemplary program review is being added to the process in Idaho this year. The program, currently under development by the Idaho Association of Special Education Administrators (IASEA), entails an onsite visit to qualify a district for recognition as an exemplary program. This practice will be part of the newly revised SEA Program Review Process in Idaho, and the SEA recognizes the exemplary status review that will be implemented by the IASEA as the major activity in year 3 of the 5-year monitoring cycle. Louisiana districts can volunteer to have achievement on the State Effectiveness Standards verified as a part of the monitoring visit. Monitors in Pennsylvania select a student with disabilities for intensive study as a part of the monitoring visit. The student's records are reviewed and that student is shadowed for a full day by a monitor who prepares a description of the service delivery and the student's performance for the monitoring report. Another strategy for reviewing quality occurs in Vermont where State law requires every school to have an instructional planning team as a component of regular education to assist teachers in handling instructional and behavioral issues related to specific students. A major motivation for including this component in Vermont's reform legislation was the prevention of over-referral to special education. During compliance visits, the involvement of that team with the special education program in the school is reviewed.

Using information about student outcomes in compliance monitoring was the topic that received the most attention in conversation at the 1992 National Monitoring Conference. Most States said they were "struggling" with this concept or were "talking about it," but very few had actually incorporated outcomes measures into their program review process. SEA staff expressed concerns about additional burdens that monitoring for outcomes would entail since they assume that monitoring for statutory and regulatory compliance would still be required. Iowa and Ohio have pilot projects to use the IEP in outcomes measurement, but expressed many frustrations including concern about the type of information for measuring outcomes and how it would be collected. Texas is in the process of designing an entirely new "outcomes-based" monitoring system wherein compliance with Federal and State requirements will be only one component. In contrast, North Carolina personnel described their experience with "quality reviews" which were abandoned about seven years ago. Districts that had agreed to undergo voluntary quality reviews were exempted from a compliance review. Among the reasons this practice was eliminated by North Carolina was the opinion of many local districts that they needed the

forceful consequences of compliance monitoring to use as leverage to obtain or protect the resources they needed for services for students with disabilities.

There is no question that a significant amount of attention in many States is concentrated on the development of student outcomes assessment within regular education. The reform rhetoric usually includes the requirement that these innovations apply to "all" students. However, as the work of the National Center on Educational Outcomes at the University of Minnesota has documented (McGrew et al, 1992), students with disabilities are usually omitted from the data that is used for at least part of the measurement of student outcomes. A pilot project in New Mexico will experiment with the use of outcomes as the basis for accrediting local districts, but there are no plans developed yet to include special education in the outcomes-based accreditation system.

The extensive changes in Kentucky are a good example of the direction in which educators are trying to move. The Kentucky Reform Act of 1990 set 6 goals and established 75 valued outcomes for all students. The Kentucky Instructional Results Information System (KIRIS) has developed a policy that strictly limits student exclusion from testing and mandates the use of alternative assessments that are being designed for students with disabilities. The criteria for exclusion were decided by a committee composed of school district, university and State personnel and include only three conditions under which a student may be exempted from the regular testing program: the student must be identified as a student with disabilities participating in a special "certificate" program, or in an English-speaking school less than two years, or placed in a home and hospital program. All students who do not meet these criteria must participate in the State Assessment Program.

Other Aspects of Monitoring Practices

Seventeen of the 48 States reviewed for this study include a commendations section in the monitoring report at the end of a compliance visit, while some States have discontinued the practice. For the most part, these compliments refer to specific programs and are intended to soften the negative impact of the non-compliance component of the report. With few exceptions, States avoid mentioning individuals although conclusions can frequently be drawn as to the identity of the person responsible for the program being commended. Monitoring personnel who use commendations acknowledged an awareness of the need to avoid statements that could appear to be evaluating teachers or other staff. Arkansas has recently discontinued this practice claiming that the issuance of commendations is not appropriate to a compliance activity and that it is too difficult to eliminate subjective judgments based on personalities as the basis for the commendations.

Some monitoring personnel expressed the opinion that incorporating commendations or best practices into a monitoring report is inappropriate because the purpose of the visit is to verify compliance and the report should include only exceptions to requirements and citations for non-compliance.

Some States accumulate information about 'best practices' during monitoring visits and disseminate this information to other districts. In Idaho, an annual report describing the successful practices found in monitoring visits is distributed statewide. Louisiana does likewise and has devised a specific form for use by members of monitoring teams who write a description of a program or practice that could serve as a model. These forms are compiled and disseminated annually throughout the State. In some States, other units within the special education divisions accumulate and disseminate information on model programs and sometimes the monitoring staff provides input into such reports.

Very little difference was found among States in the application of sanctions for LEA non-compliance. States acknowledge their power to use fiscal sanctions but, except in rare instances, this consequence is not invoked. Rather, SEAs negotiate the correction of problems applying pressure through other means such as close follow up, additional onsite visits and the targeting of technical assistance. Fiscal sanctions are applied for any errors found in an LEA child count in which ineligible students had been counted for funding purposes. Most States said that, although the threat of a loss of funds is an ever-present source of persuasion, they did not consider the actual withholding of funds to be an appropriate strategy for bringing districts into compliance except in cases of continued refusal to implement corrective actions.

The loss of resources for monitoring was mentioned by some States as a significant barrier to their effectiveness. Connecticut sees the effects of the current recession as having multiple effects on the SEA and the LEA. Districts are encountering severe budget deficiencies that result in reduced services to students with disabilities. The resultant lack of services provokes increased numbers of complaints to the SEA which, for Connecticut, triggers an off-cycle review. At the same time, the SEA has reduced resources to carry out its monitoring activities and has only limited ability to respond with reviews and assistance. Other States have also suffered reductions in monitoring capacity: California staff was recently reduced from 10 to 7, and restructuring in Kentucky lowered the number of monitors in the SEA. Budget reductions in Massachusetts and North Carolina have recently resulted in the elimination of the SEA regional structure that those States feel will severely limit monitoring capacity.

Discussion and Conclusions

Discussion of Monitoring Issues

During the course of this study, many general observations were made about issues related to monitoring. It was frequently stated that compliance procedures as they have evolved are extremely adversarial in nature and picky in detail. It is significant that, since the inception of Federal monitoring procedures, non-compliance of the State monitoring system has been a finding for every State that OSEP has reviewed.

State personnel point to the difficulty in making compliance decisions and the lack of clear standards for making those judgments. For example, if there is one error on an IEP document, is that sufficient to warrant a non-compliance finding? Texas had previously overlooked such minor errors, but were advised in their Federal monitoring CAP in 1986 that they had to cite as non-compliance every instance of LEA violation identified by State monitors. Texas monitors feel that a more reasonable approach would concentrate on the discovery of systemic problems rather than isolated incidents of non-compliance that could be attributed to human error or unique circumstances.

Many State monitoring personnel criticize the amount of resources that are consumed in the traditional cyclical visit approach to monitoring. However, they find it difficult to comply with the requirement of Federal monitors to verify each LEA's implementation of every mandated element without a regular onsite component as a part of the State monitoring procedure. It is commonly believed that States could have a more intensive impact on program improvement if a more individualized and flexible approach to district oversight were acceptable to meet the conditions for monitoring.

Many States are in the process of designing new compliance monitoring systems for special education or making major revisions to their existing procedures. Maryland is one of these States and their new procedures are intended to result in 'continuous' monitoring incorporating a greater emphasis on focused and targeted monitoring. In Ohio, an intensive review of all State rules is under way and may result in one set of rules covering all aspects of education in the State. Probably the most extensive redesign of the monitoring approach will result from implementation of New Jersey's new plan (for details, see page 10). These examples and other practices discussed throughout this report serve to highlight a basic issue: What exactly is the purpose of compliance monitoring?

Compliance monitoring involves the verification of an entity's adherence to the standards contained in a statute or in regulations that have the force of law. According to Rostetter (1988), the precise and complete definition of compliance monitoring is:

The collection of information on a continuous basis, from all agencies serving handicapped students, to make compliance determinations concerning all State and Federal requirements; the correction of identified deficiencies within a reasonable period of time; and, the enforcement of legal obligations imposed by State or Federal law. (p. 8)

Examination of State practices reveals that the evaluation of program effectiveness is often equated with compliance monitoring. A recent Project FORUM report, *State Procedures for the Evaluation of Special Education Program Effectiveness* documented this fact stating, "...the majority of States continue to use compliance monitoring procedures as a program evaluation tool to a significant degree, and findings from monitoring activities, presumably, as evidence of the effectiveness of special education programs and services" (p. 10), and concluded that "...it is important to remember that monitoring data may contribute information to the evaluation process, but by itself, it does not indicate the quality or effectiveness of special education services" (p. 11).

Any attempt to include program quality or student outcomes in the compliance monitoring system involves some additional problems. A monitoring system is limited to a consideration of whether the required policies as described in a State Plan are in place and are being implemented. The result is an 'either-or' determination based on specific, objective criteria. Conversely, outcomes are measured along a continuum. Decisions about the appropriateness of programs and services for specific children is a professional judgment involving the application and interpretation of standards and criteria. Documented student outcomes measure the success of those services. While there may be some quantifiable components involved in outcome assessment, e.g., test scores, judgments about student outcomes also rely on some degree of subjectivity. Determining the extent to which a student met a standard such as 'demonstrated ability to work productively as a member of a group' is based on a description of the student's performance within a range and is not an all or nothing decision. Further, in any discussion of the relationship between monitoring and outcomes, it is important to note that there is no standard in statute or regulations that a program or service for students with disabilities must yield a specific outcome. Therefore, under the current structure, there would be an internal contradiction in a compliance monitoring system that is 'outcomes-based.'

The national interest in student outcomes as a fundamental ingredient of educational reform efforts does, however, offer some opportunity for making changes in compliance monitoring that may result in less emphasis on input and process variables in special education. For example, will students with disabilities be included in school districts' reforms, particularly the measurement of outcomes? If so, if students are succeeding in achieving expected outcomes, does this eliminate the need for the monitoring of policies and procedures? Can procedures be assumed to be appropriate and therefore 'in compliance' if outcomes are acceptable?

Successful transition to outcome-based monitoring is contingent upon the willingness of schools to make the changes necessary to shift to an emphasis on quality issues. If there is relaxation of monitoring requirements in special education to facilitate reforms and consider issues of quality, will schools be willing and able to make the necessary changes to redirect their efforts? Although there is no prior experience in special education to use in estimating the probabilities that such a modification could succeed, a parallel situation did occur in the federally funded Chapter 1 program. The 1988 amendments to the Chapter 1 regulations incorporated changes to emphasize program effectiveness components, but they had only minimal effect on program operations. In an analysis of the effects of these amendments in Chapter 1 programs, Herrington and Orland (1991) attributed the small impact of program effectiveness reforms at least in part to the conflict between the intent of the reforms and the administrative environment of regulatory compliance. They concluded that "habits of compliance-orientation no doubt change slowly even under strong pressures," and they observed that there was a measure of protection in staying with a regulatory framework (p. 177).

Many of the State personnel contacted for this study noted that a school system could theoretically be in total compliance with laws and regulations and still not be providing effective special education programs and services. This observation illustrates a current dilemma inherent in compliance monitoring. The continued exclusive emphasis on procedural aspects cannot guarantee any improvement in outcomes for students with disabilities. Yet, what is the best strategy in planning to meet the requirements of the law for monitoring while, at the same time, providing services that can enhance the level of achievement for students?

Conclusions and Recommendations

State monitoring personnel have a unique status that has resulted in their isolation within the special education community of their own States. They must oversee the work of school districts and 'discipline' them for deficiencies in meeting the letter of the law. They, in turn, are subject to the same 'discipline' from Federal monitors for the way in

which they design and carry out their monitoring activities. This status brings about a critical need for support and collegial sharing that has not historically been fulfilled.

The convening of national monitoring conferences that have been held the last two years, and the follow-up workgroups devoted to monitoring that are being formed by the Regional Resource Centers are strategies that are beginning to address these pressing needs. State monitoring personnel have requested opportunities for expanded exchange among peers, and improved communication, coordination and joint problem solving between and among Federal and State monitoring staffs. The need is clear for a continuous dialogue that encompasses individuals at all levels of monitoring.

Technical assistance is another need clearly verbalized by State monitoring personnel. Recent Federal efforts in this regard such as advance orientation meetings for States that will be monitored and Federal staff participation in conferences and regional meetings were recognized by States as an important contribution to satisfying this need.

A strong recommendation that emerges from this study pertains to the use of technology in monitoring activities. There is a critical need for wider availability of the equipment and the knowledge that can streamline monitoring processes and eliminate the repetitiveness of data gathering. Some States have developed sophisticated techniques for using technology to manage one or more aspects of monitoring that could be adopted by others. A way must be found to provide resources for technology to more States to avoid the re-invention of effective procedures that are already available.

As States struggle with reform and restructuring projects, the issues of compliance with Federal and State statutes and regulations will become more prominent and problematic. A re-examination of the concept of compliance monitoring, its implementation at all levels, and its role in assuring FAPE should be a major activity of special education's participation in educational reform.

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APPENDIX

Analysis of RRC Survey Results

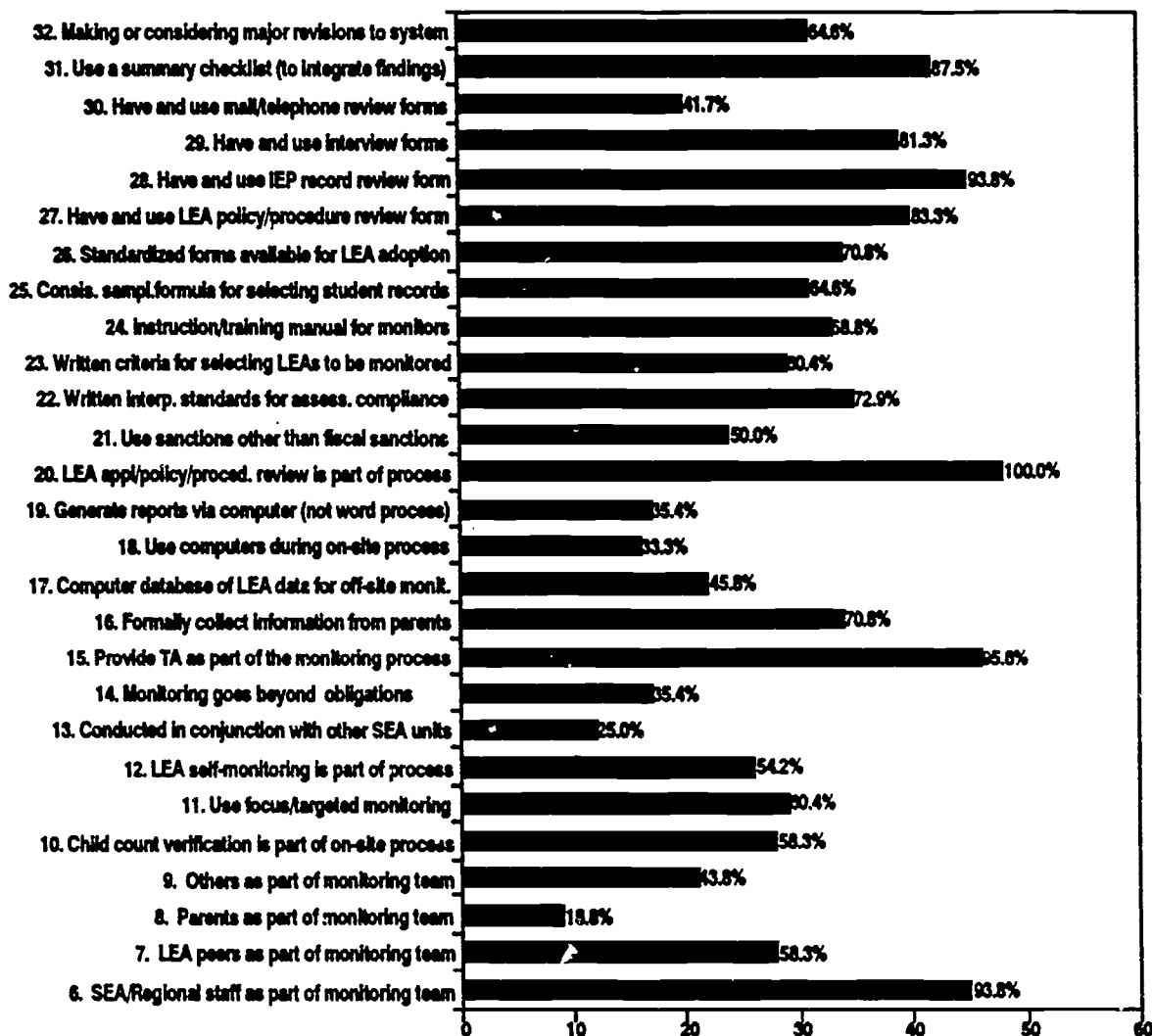
In preparation for the National Monitoring Conference of June, 1992, the six Regional Resource Centers developed *Profiles of State Monitoring Systems* reporting the survey responses of 49 States, the District of Columbia and 8 U.S. Territories. The item responses were presented in that publication on a three-page matrix with a summary section including further details that had been provided by the respondents. For the purposes of this study, responses from Hawaii, the District of Columbia and the Territories (which are unitary systems) were not included because their situations differ from all the other States whose monitoring systems are based on a relationship with independent local education agencies or intermediate education units. A table containing the item responses from the matrix for the other 48 replying States that were further analyzed for this study and a list of the original survey questions are included as an appendix to this report.

The incidence of positive responses to 27 of the yes/no survey items for the selected States was tabulated and is illustrated in Figure #1. Three of the survey items (#7, #8 and #9) address the composition of State onsite monitoring teams. Almost all (93.8 percent) States include State Educational Agency (SEA) staff on their teams while LEA peers are used by 58.3 percent, parents are used by 18.8 percent, and others, such as representatives of higher education, advisory council members, etc., are included as team members by 43.8 percent of the States.

Of the States included in this analysis, 60.4 percent indicated that they used focused or targeted monitoring. However it is difficult to generalize about this response because there is a wide variation in the application of these terms among the States. The practices employed by States in using a focused or targeted approach to monitoring were explored further in follow-up conversations with State monitoring personnel. The perspectives revealed during these conversations are included with the extended analysis in subsequent sections of this report.

Another item on the RRC Survey asked respondents to answer yes or no to the statement, "Our monitoring goes beyond legal obligations (e.g., includes quality, best practices, outcomes)." Of the States in this study, 35.4 percent responded positively, but it is difficult to interpret this result because of the variation in meaning brought to this question by the respondents. This topic was also one of the subjects discussed with monitoring personnel in selected States and is described in more depth later in this report.

Figure 1
Incidence of Positive Responses to
RRC Survey on Monitoring



Only 50 percent of the States indicated that they use sanctions other than fiscal sanctions when a district is found to be out of compliance with Federal or State requirements. Again, further discussion with States provided clarification on this issue. Direct fiscal sanctions are rarely invoked by States for non-compliance findings other than child count errors even though this option is recognized as a consequence by LEAs and IEUs and the threat of its enforcement acts as an incentive to make the changes necessary for compliance with laws and regulations.

In response to the final item on the survey, 64.6 percent of the States indicated that they were making or considering major revisions to their compliance monitoring systems. It was clear from contacts with State personnel that monitoring procedures are viewed as evolving on a continuous basis even if a State is not undergoing the development of a completely new system.

The remainder of this Appendix is composed of a list of the items used in the RRC survey and a table containing the responses of the selected States to all the items in the survey. Minor corrections were made to items such as IDEA child count based on updated information obtained in discussions with State personnel.

SEA Monitoring Practices

Survey Items Used in Table of Results

1. Total number of entities that must be monitored (includes LEAs, SOPs, IEUs, Corrections, RESAs, etc.) _____.
2. IDEA child count taken Dec.1, 1991 for ages 3-2 _____.
3. Full Time Equivalent (FTE) staff employed for monitoring (Note: 1.0 FTE might represent several people part time) located in State capitol _____.
4. Full Time Equivalent (FTE) staff employed for monitoring (Note: 1.0 FTE might represent several people part time) located in regions _____.
5. Current cycle (in years) for comprehensive onsite visits _____.
6. SEA/Region staff used as part of monitoring teams? Y/N
7. LEA peers used as part of monitoring teams? Y/N
8. Parents used as part of monitoring teams? Y/N
9. Others (e.g., IHE Faculty, contracted personnel) used as part of monitoring teams? Y/N.
10. Child count verification is part of our onsite process. Y/N
11. We use focused/targeted monitoring. Y/N
12. LEA self-monitoring is part of our process. Y/N
13. Our monitoring is conducted in conjunction with other SEA units. Y/N
14. Our monitoring goes beyond legal obligations (e.g., includes quality, best practices, outcomes). Y/N
15. We provide TA as part of our monitoring process. Y/N
16. We formally collect information from parents (e.g., via surveys, interviews, public forums). Y/N

17. We use a computer database of LEA data for off-site monitoring . Y/N
18. We use computers during our onsite process. Y/N
19. We generate our reports via computer (other than work processor). Y/N
20. LEA application/policy/procedure review is a part of our monitoring process. Y/N
21. We use sanctions other than fiscal sanctions. Y/N
22. We have written interpretive standards for assessing compliance. Y/N
23. We have written criteria for selecting LEAs to be monitored. Y/N
24. We have an instruction/training manual for monitors. Y/N
25. We use a consistent sampling formula for selecting student records. Y/N
26. We have standardized forms available for LEA adoption. Y/N
27. We have and use an LEA policy and procedure review form. Y/N
28. We have and use an IEP record review form. Y/N
29. We have and use interview forms. Y/N ____ types.
30. We have and use mail or telephone survey forms. Y/N ____ types.
31. We have and use a summary checklist (to integrate findings). Y/N
32. We are making or considering major revisions to our system. Y/N

Source: Survey form used to collect data for the report, *Profiles of State Monitoring Systems*, prepared by the Regional Resource Center Program for the National Monitoring Conference, June 1992.

SEA MONITORING PRACTICES - ADAPTED FROM RRC SURVEY, JUNE, 1992

ITEMS FROM MONITORING SURVEY		AK	AL	AR	AZ	CA	CO	CT	DE	FL	GA	IA	ID	IL	IN	KS	KY
1.	Total # of entities that must be monitored	1	200	331	230	1,023	76	163	21	106	196	450	150	92	359	91	178
2.	IDEA child count Dec. 1, 1991 for ages 3-21	12,567	97,937	49,230	59,281	489,716	55,430	61,970	11,563	243,546	105,206	60,016	21,661	201,987	110,943	44,395	78,967
3.	FTE monitoring staff located in state capitols	3	4	8	5	5	5	5	5	4	6	1.5-2.0	5	6	3	6	
4.	FTE monitoring staff located in regions	0	0	3	3	4	0	0	0	0	0	0	4	1	0	0	4
5.	Cycle (yrs.) for comprehensive on-site visits	5	5	3	6	3	5	4	4	4	5	3	3	5	5	5	5
6.	SEA/Regional staff as part of monitoring team	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.	LEA peers as part of monitoring team	N	N	Y	Y	Y	Y	N	Y	Y	N	N	Y	Y	Y	Y	N
8.	Parents as part of monitoring team	N	N	N	N	N	Y	N	N	N	N	N	Y	N	Y		N
9.	Others as part of monitoring team	N	N	N	N	Y	Y	N	Y	N	N	N	Y	N	Y	Y	N
10.	Child count verification is part of on-site process	Y	Y	Y	Y	N		N	Y	N	Y	N	N	Y	Y	N	N
11.	Use focus/targeted monitoring	N	N	Y	Y	N	N	Y	Y	Y	Y	Y	Y	Y	N	N	Y
12.	LEA self-monitoring is part of process	N	N	Y	Y	Y	N	Y	N	Y	Y	Y	Y	Y	N	N	Y
13.	Conducted in conjunction with other SEA units	Y	N	N	N	Y	N	Y	N	Y	N	N	N	N	Y	N	N
14.	Monitoring goes beyond legal obligations	N	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	N	N
15.	Provide TA as part of the monitoring process	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.	Formally collect information from parents	Y	Y	N	Y	Y	Y	N	N	N	Y	Y	Y	Y	Y	Y	N
17.	Computer database of LEA data for off-site monit.	N	Y	Y	N	Y	Y	N	N	Y	N	N	Y	N	N	Y	N
18.	Use computers during on-site process	N	N	N	N	N	N	N	N	Y	N	Y	Y	Y	Y	N	N
19.	Generate reports via computer (not word process)	N	Y	Y	N	N	N	N	N	N	N	N	Y	N	Y	Y	N
20.	LEA app/policy/proced. review is part of process	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
21.	Use sanctions other than fiscal sanctions	Y	Y	Y	Y	N	Y	N	N	Y	N	N	Y	N	Y	Y	Y
22.	Written interp. standards for assess. compliance	Y	Y		N	Y	Y	N	N	Y	Y	Y	Y	Y	N	Y	Y
23.	Written criteria for selecting LEAs to be monitored	N	N	Y	N	Y	Y	N	N	Y	Y	Y	Y	Y	N	Y	N
24.	Instruction/training manual for monitors	N	Y	Y	Y	Y	N	N	N	Y	Y	N	Y	Y	Y	Y	Y
25.	Consis. sampl.formula for selecting student records	N	Y	Y	Y	N	N	N	N	Y	Y	N	Y	Y	Y	Y	Y
26.	Standardized forms available for LEA adoption	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N
27.	Have and use LEA policy/procedure review form	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N
28.	Have and use IEP record review form	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
29.	Have and use interview forms	N	Y		Y	Y	Y	N		N	Y	Y	Y	Y	Y	Y	N
30.	Have and use mail/telephone review forms	N	N		Y	N	N	N		N	Y	N	N	Y	Y	Y	N
31.	Use a summary checklist (to integrate findings)	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	N	Y	N
32.	Making or considering major revisions to system	Y	Y	Y	Y	N		Y	Y	Y	N		Y	Y	N		Y

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ITEMS FROM MONITORING SURVEY

	LA	MA	MD	ME	MI	MN	MO	MS	MT	NC	ND	NE	NH	NJ	NM	NV
1. Total # of entities that must be monitored	70	400	29	160	57	110	544	161	569	190	38	783	176	950	555	20
2. IDEA child count Dec. 1, 1991 for ages 3-21	74,437	136,640	88,069	26,908	156,926	80,432	102,288	60,384	17,568	125,460	11,886	35,167	19,276	178,324	37,907	19,957
3. FTE monitoring staff located in state capitol	1	2	3	4	2	8	12	10	2.5	5	1	3	1	6	2	1
4. FTE monitoring staff located in regions	4	0	0	0	57	0	0	9	0	0	0	2	1	18	0	0
5. Cycle (yrs.) for comprehensive on-site visits	3	7	3	5	3	6	5	5	5	5	5	3	5	4	3	3
6. SEA/Regional staff as part of monitoring team	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y
7. LEA peers as part of monitoring team	Y	Y	Y	Y	Y	Y		N	Y	Y	N	Y	Y	N	N	Y
8. Parents as part of monitoring team	Y	Y	N	N	Y	Y		N	Y	N	N	N	N	N	N	
9. Others as part of monitoring team	Y	Y	Y	N	Y	Y	Y	N	Y	N	N	Y	Y	N	N	N
10. Child count verification is part of on-site process	Y	Y	Y	N	N	Y	N	Y	Y	Y	Y	N	N	Y	N	Y
11. Use focus/targeted monitoring	Y	Y	N	N	Y	Y	Y	Y	N	N	N	Y	N	Y	Y	N
12. LEA self-monitoring is part of process	Y	N	N	Y	Y	Y	N	Y	N	Y	N	N	Y	Y	N	Y
13. Conducted in conjunction with other SEA units	N	Y	N	N	N	Y	Y	N	N	N	N	N	N	Y	Y	N
14. Monitoring goes beyond legal obligations	Y	N	N	N	Y	Y	Y	N	N	Y	N	N	N	N	N	Y
15. Provide TA as part of the monitoring process	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
16. Formally collect information from parents	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	N	Y	Y	Y	Y
17. Computer database of LEA data for off-site monit.	Y	Y	Y	N	Y	N	Y	Y	N	N	N	N	Y	Y	N	Y
18. Use computers during on-site process	Y	N	N	N	Y	N	Y	N	Y	N	Y	N	N	N	Y	N
19. Generate reports via computer (not word process)	Y	N	N	N	Y	Y	N	N	Y	N	N	N	N	Y	Y	N
20. LEA appl./policy/proced. review is part of process	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
21. Use sanctions other than fiscal sanctions	N	Y	N	N	N	Y	N	Y	N	Y	N	N	Y	Y	Y	N
22. Written interp. standards for assess. compliance	Y	Y	N	N	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	N
23. Written criteria for selecting LEAs to be monitored	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	N		N	N
24. Instruction/training manual for monitors	N	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	N	N	Y	N	Y
25. Consis. sampl.formula for selecting student records	Y	Y	Y	N	Y	Y	Y	Y	N	Y	N	Y	N	Y	N	Y
26. Standardized forms available for LEA adoption	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y
27. Have and use LEA policy/procedure review form	Y	Y	Y	N	Y	Y	N	Y	N	Y	Y		N	Y	Y	Y
28. Have and use IEP record review form	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y
29. Have and use interview forms	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y
30. Have and use mail/telephone review forms	Y	Y	Y	Y	N	Y	N	N	Y	N	Y	N	Y	Y	Y	Y
31. Use a summary checklist (to integrate findings)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
32. Making or considering major revisions to system	N	Y	Y	N	Y	Y		Y		N			Y	Y	Y	N

ITEMS FROM MONITORING SURVEY

	NY	OH	OK	OR	RI	SC	SD	TN	TX*	UT	VA	VT	WA	WI	WV	WY
1. Total # of entities that must be monitored	1,500	708	589	384	59	124	230	161	400	49	203	77	455	441	80	74
2. IDEA child count Dec. 1, 1991 for ages 3-21	306,511	207,156	67,209	47,101	20,582	78,668	14,620	107,918	353,120	47,317	118,849	10,110	86,470	87,735	42,737	11,446
3. FTE monitoring staff located in state capitol		13	5	4	1	4	6	2	15	2	12	2	1	6	4	2
4. FTE monitoring staff located in regions	39	0	2	0	0	0	5	7	0.2	3	0	0	10	0	0	0
5. Cycle (yrs.) for comprehensive on-site visits	5	3	3	6	5	4	4	5	5	3	5	5	3	3	4	3
6. SEA/Regional staff as part of monitoring team	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	N	Y	Y
7. LEA peers as part of monitoring team	N	N	N	Y	Y	N	Y	N	Y	N	Y	Y	N	N	N	Y
8. Parents as part of monitoring team	N	N	N	N	Y	N	N	N	N	N	N	N	N	N	N	N
9. Others as part of monitoring team	N	N	Y	Y	Y	N	Y	N	N	Y	N	Y	N	N	N	N
10. Child count verification is part of on-site process	N	Y	Y	Y	Y	Y	Y	N	Y	N	N	Y	N	N	Y	Y
11. Use focus/targeted monitoring	Y	Y	N	N	Y	Y	Y	Y	N	N	Y	Y	N	N	Y	Y
12. LEA self-monitoring is part of process	Y	N	N	N	N	Y	N	Y	N	N	Y	Y	Y	Y	N	Y
13. Conducted in conjunction with other SEA units	Y	N	N	N	N	N	N	N	Y	N	N	N	N	N	N	N
14. Monitoring goes beyond legal obligations	N	Y	N	N	N	N	N	N	N	Y	N	Y	N	N	N	N
15. Provide TA as part of the monitoring process	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	N	Y	Y
16. Formally collect information from parents	N	Y	Y	N	Y	N	Y	N	Y	Y	N	Y	Y	N	Y	N
17. Computer database of LEA data for off-site monit.	N	N	N	Y	Y	N	Y	N	N	N	N	Y	N	N	Y	N
18. Use computers during on-site process	N	N	N	Y	N	N	Y	N	N	Y	Y	N	Y	N	N	N
19. Generate reports via computer (not word process)	N	N	Y	Y	N	N	Y	N	Y	Y	N	N	Y	N	N	N
20. LEA appl./policy/proced. review is part of process	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
21. Use sanctions other than fiscal sanctions	N	N	Y	N	Y	N	Y	Y	N	N	N	Y	N	N	Y	Y
22. Written interp. standards for assess. compliance	N	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	N
23. Written criteria for selecting LEAs to be monitored	N	Y	N	Y	Y	Y	Y	N	Y	N	Y	N	N	Y	Y	N
24. Instruction/training manual for monitors	N	Y	Y	Y	Y	N	Y	Y	Y	N	Y	Y	Y	N	N	Y
25. Consis. sampl.formula for selecting student records	N	N	N	Y	Y	N	Y	N	Y	Y	Y	Y	Y	Y	N	Y
26. Standardized forms available for LEA adoption	N	N	Y	Y	N	Y	N	Y	Y	N	N	Y	N	Y	N	Y
27. Have and use LEA policy/procedure review form	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y
28. Have and use IEP record review form	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y
29. Have and use interview forms	Y	Y	Y	Y	Y	N	Y	Y	N	Y	Y	Y	Y	Y	Y	Y
30. Have and use mail/telephone review forms	N	N	N	N	N	N	Y	N	N	Y	N	Y	Y	N	N	N
31. Use a summary checklist (to integrate findings)	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	N	Y	N	Y
32. Making or considering major revisions to system	Y	Y	Y	Y	Y	Y		Y	Y		Y	N	Y	Y	Y	Y

