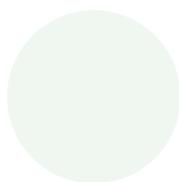
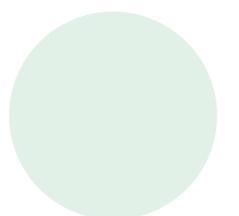


Characteristics of States' Monitoring and Improvement Practices

State Responses to the Part B and Part C Mail Survey
from the Evaluation of States' Monitoring and Improvement
Practices Under the *Individuals with Disabilities Education Act*



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October 2007

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Introduction

The National Center for Special Education Research (NCSER) at the Institute of Education Sciences (IES) is conducting a 5-year evaluation of states' monitoring and improvement practices under the *Individuals with Disabilities Education Act (IDEA)*. The ultimate goal of this evaluation is to provide information to the Office of Special Education and Rehabilitative Services (OSERS) about guidance it can offer that will help states improve their monitoring and improvement systems. This is expected to increase states' compliance with Parts B and C of *IDEA*¹ and to improve outcomes for children with disabilities and their families.

For this evaluation, “monitoring and improvement system” is meant to be a comprehensive term that captures what states do to evaluate their implementation of *IDEA*. Each state has two monitoring and improvement systems—one for Part B and one for Part C. In general, states' monitoring and improvement systems may include the process for designing the practices and procedures that constitute the system, how those practices and procedures are implemented and evaluated, and the means by which monitoring and improvement information is disseminated to stakeholders and the public.

This report presents data collected through the mail surveys conducted in the first phase of the evaluation. These surveys were designed to provide general information about a range of topics related to the monitoring and improvement systems used by states during 2004-05. This report is designed to provide OSERS (specifically the Office of Special Education Programs [OSEP]), states, the regional resource centers that provide technical assistance to states, and others familiar with monitoring under *IDEA* with a summary of the survey data collected about state monitoring and improvement practices in 2004-05. Future reports will discuss the later phases of the evaluation.

Monitoring Requirements Under *IDEA*

Under *IDEA*, states are responsible for ensuring compliance with the statute and providing general supervision of all programs providing Part B and Part C services. However, prior to *IDEA* 2004, the law did not define or explain monitoring practices and provided little guidance for enforcement. In designing the mail survey, it was expected that many states looked to OSEP as a model for their monitoring and improvement systems. Therefore, the mail survey included a variety of questions that reflect the principles of OSEP's Continuous Improvement Monitoring Process and Continuous Improvement Focused Monitoring System. These principles include

- targeting resources on the performance issues with the highest likelihood of improving results for children with disabilities;

¹ *IDEA Part C: Infants and Toddlers with Disabilities* serves infants and toddlers ages birth through 2 with disabilities and their families. *IDEA Part B: Assistance for Education of All Children with Disabilities* serves children and youth ages 3 through 21 with disabilities.

- focusing on a small number of priorities or focus areas (e.g., free appropriate public education (FAPE) in the least restrictive environment, child find, disproportionate representation, and graduation and dropout rates);²
- supporting each priority area with measurable indicators of performance; and
- defining standard, uniform performance benchmarks for each indicator.

Many of these monitoring principles are now codified in the law. As reauthorized in 2004, Section 1416 of *IDEA* identifies two primary focuses of monitoring: (1) improving the educational results and functional outcomes for children with disabilities and (2) ensuring that the program requirements of the law are met. Section 1416 places particular emphasis on those program requirements most closely related to improving educational results for children with disabilities. To address these two primary focus areas of monitoring, the law requires states to monitor local educational agencies (LEAs) by using quantifiable indicators to measure performance in each of three priority areas:

- provision of FAPE in the least restrictive environment;
- the exercise of general supervisory authority, including child find, effective monitoring, the use of resolution sessions, mediation, voluntary binding arbitration, and a system of transition services (post-secondary school transition services for Part B and transition out of early intervention for Part C); and
- disproportionate representation of racial and ethnic groups in special education and related services, to the extent that the representation is the result of inappropriate identification.

Section 1416 also requires states to establish measurable and rigorous targets for the indicators used to measure performance in each of these priority areas and requires that they annually report to the public on the performance of each LEA on those targets. The law makes clear that these requirements apply to both Part B and Part C.

The Evaluation of States' Monitoring and Improvement Practices

The evaluation of states' monitoring and improvement practices under *IDEA* will:

- describe the strengths and weaknesses of current state monitoring activities;
- provide the basis for making recommendations for system improvements and targeting technical assistance; and
- examine the relationship between monitoring system quality and observed improvements in compliance with *IDEA* and outcomes for children with disabilities.

It will not evaluate states' compliance with the requirements of *IDEA*.

² See *Individuals with Disabilities Education Act of 1997*, 20 U.S.C. §1400 et seq. (1997) and *Individuals with Disabilities Education Improvement Act of 2004*, 20 U.S.C. §1400 et seq. (2004) for more information about these priorities/focus areas.

The evaluation is being implemented in three phases. During the first phase, a mail survey was used to gain a general understanding of states' monitoring and improvement systems for Parts B and C of *IDEA*. During the second phase, site visits will be conducted with a systematic random sample of 20 states to gather in-depth information on the quality of both their Part B and Part C monitoring systems. During the third and final phase, the relationship between the quality of states' monitoring systems and improvements in their compliance with Parts B and C of *IDEA* as well as outcomes for children with disabilities and their families will be examined.

Mail Survey Data Collection

The mail surveys included approximately 100 questions in the following eight categories:

- Context for Monitoring and Improvement (Part C questionnaire only);
- Design for Monitoring and Improvement Activities;
- Data Collection and Analysis;
- Staffing and Training;
- Role of Stakeholders;
- Reporting;
- Process for State and Local Improvement; and
- History of Monitoring and Improvement.

In addition to providing evaluators with an inventory of what states did to monitor local programs and plan improvements, the mail survey data also contributed necessary contextual information for the site visit data collections. To the extent possible, the survey data will also be used to verify whether key findings from the site visits can be generalized to the 50 states and the District of Columbia. Surveys were mailed to Part B state directors and Part C coordinators in fall 2005 and were completed by all 50 states and the District of Columbia (51 of 51 surveys for Part B and 51 of 51 surveys for Part C), with minimal item nonresponse.³ A complete description of the mail survey data collection methodology is provided in appendix A.

Although the mail survey was originally designed in 2005 and surveyed states about their monitoring and improvement practices prior to the implementation of *IDEA* 2004, the information collected by the mail survey can be used to inform stakeholders and to provide a baseline regarding the degree to which states' were already implementing the *IDEA* 2004 monitoring requirements. The highlights discussed in this report are therefore organized in a way to inform key issues and questions about some of the *IDEA* 2004 requirements.

³ Although mailed to the Part B state directors and Part C coordinators, the surveys were completed by the state staff member designated by the state director.

Highlights

The mail survey collected data about states' monitoring and improvement practices in 2004-05, which was before the 2004 amendments to *IDEA* took effect.⁴ However, the mail survey data can be used to provide some information about the number of states that were already implementing the new requirements prior to reauthorization. These data are summarized in the highlights below. In addition, the highlights identify monitoring practices that have increased since the amendments to *IDEA* in 1997 and provide a general inventory of the monitoring and improvement practices in place in 2004-05.

Complete data obtained from the mail surveys are included in the appendices. Appendices B and C present the Part B and Part C Monitoring Evaluation Questionnaire forms, respectively. The tables in appendices D and E present data collected on each of the survey questions. They are ordered and numbered to correspond to the Part B and Part C survey items.

Activities Related to *IDEA* 2004 Monitoring Requirements

In 2004-05, on what compliance/performance areas did states focus their monitoring efforts? Did these focus areas include the priority areas identified by IDEA 2004?

- According to data from the mail surveys, in 2004-05 most states reported focusing their monitoring and improvement efforts on a select set of areas or priorities (44 states or 86 percent for Part B and 38 states or 75 percent for Part C). See tables D-1 and E-7.
- For Part B, the most commonly reported focus area or priority for monitoring was FAPE in the least restrictive environment (35 states or 80 percent of the 44 states that reported focus areas). See table D-3.
- Other Part B focus areas frequently identified by states related to child outcomes: access to the general curriculum (30 states), graduation rates (29 states), performance on assessments (28 states), and dropout rates (27 states). See table D-3.
- Some of the priority areas mandated by *IDEA* 2004 were identified by fewer than 27 states. Twenty six states indicated that they focused on the disproportionate representation of racial/ethnic groups in special education. Child find was identified as a focus area by 16 states; dispute resolution (e.g., resolution sessions, mediation, voluntary binding arbitration) was identified as a focus area by 11 states, and postsecondary transition was identified as a focus area by 23 states. See table D-3.
- For Part C, the most commonly reported focus area for monitoring was the individualized family service plan requirements and procedures (35 states or 92 percent of the 38 states that reported having focus areas). See table E-9.

⁴ The 2004 amendments to *IDEA* took effect on July 1, 2005, except for Section 602 pertaining to the definition of highly qualified special education teachers, which took effect on December 3, 2004. Although this was after the reference period for the mail survey, the survey included questions related to many of the new monitoring requirements.

- Other Part C focus areas frequently identified by states included transition to preschool (33 states), natural environments (32 states), child find (29 states), and transition to other settings (27 states). Twelve states reported focusing on dispute resolution, and 9 states reported focusing on disproportionate representation of racial/ethnic groups. See table E-9.

According to IDEA 2004, states should monitor using quantifiable indicators and establish measurable and rigorous targets for those indicators to measure performance in each of the priority areas. Prior to the implementation of this requirement, did states define indicators for their focus areas and targets for each of their indicators?

- For Part B, in 2004-05, 37 states reported that they had specific indicators for each of their focus areas (84 percent of the 44 states that reported having focus areas). Of these states, 29 reported targets for each indicator. See tables D-5 and D-6.
- For Part C, 32 states reported that they had specific indicators for each of their focus areas (84 percent of the 38 states that reported having focus areas). Of these states, 29 reported targets for each indicator. See tables E-11 and E-12.

*IDEA 2004 calls for states to publicly report the performance of each LEA on the targets for the indicators used to measure performance in the priority areas. Prior to reauthorization, how many states reported the results of their monitoring and improvement planning to the public?*⁵

- For Part B, 24 states reported that they had publicly released⁶ either individual or aggregated LEA scores on compliance indicators; 10 states reported that they had publicly released LEA ranks on either individual or aggregated compliance indicators; and 18 states reported that they had publicly released individual or aggregated LEA corrective actions. See table D-69.⁷
- For Part C, 22 states reported that they had publicly released either individual or aggregated monitoring unit scores on compliance indicators; 9 states reported that they had publicly released monitoring unit ranks on either individual or aggregated compliance indicators; and 11 states reported that they had publicly released individual or aggregated monitoring unit corrective actions. See table E-72.⁸

⁵ The mail survey did not ask whether states publicly reported the performance of each LEA on the targets used to measure performance. However, it did ask states how they made information about various other types of monitoring results and improvement planning activities publicly available.

⁶ Public release includes through print reports, public websites, or press releases.

⁷ The counts of states in this bullet are the result of cross-tabulations of the data reported in table D-69. These aggregate counts are not shown on that table.

⁸ The counts of states in this bullet are the result of cross-tabulations of the data reported in table E-72. These aggregate counts are not shown on that table.

Changes to Monitoring Since the Enactment of *IDEA* 1997

How has monitoring changed since the reauthorization of IDEA in 1997?

- In the Part B survey, most states reported an increase since 1997 in their use of data in planning monitoring and improvement activities (48 states). Most states also indicated that the focus on child outcomes has increased (48 states). Forty-six states indicated that there was an increase in the public's awareness of monitoring and improvement activities. At least 75 percent of states indicated an increase in each of the following activities: public awareness of monitoring and improvement activities (46 states); stakeholder (other than parents) input to the planning of monitoring procedures (44 states); and stakeholder involvement in data collection and analysis activities (39 states). See table D-89.
- In the Part C survey, most states also reported an increase since 1997 in their use of data in planning Part C monitoring and improvement activities (49 states) and an increase in the focus on child outcomes (42 states). The only other Part C activity that was reported to have increased in at least 75 percent of states was the emphasis on compliance issues such as process and procedural requirements (38 states). See table E-92.

Monitoring Activities and Data Sources

In 2004-05, what activities and data sources did states use to inform monitoring and improvement planning and implementation?

- **Child records reviews** are one means of ensuring compliance with the requirements of *IDEA*. For Part B, all 51 states reported the use of child records review as part of monitoring activities in the LEAs selected for monitoring.⁹ For Part C, all states but one reported reviewing child records in monitoring units¹⁰ selected for monitoring (50 states). See tables D-20 and E-24.
- **Site visits** are another method states use to monitor compliance with state and Federal requirements or to examine child outcomes. For Part B, all states reported conducting LEA site visits as part of their monitoring activities (51 states). Thirty-five states reported conducting site visits for all LEAs selected for monitoring. For Part C, 48 states reported conducting site visits as part of their monitoring activities. Thirty-one states reported conducting site visits for all monitoring units selected for monitoring. See tables D-26 and E-30.
- **Self-assessments** are detailed evaluations conducted by LEAs and monitoring units of their own areas of strength and areas in need of improvement regarding the provision of special education. For Part B, 42 states reported that they required at

⁹ One state did not respond to this Part B survey question, but later in the survey reported that it selected between 2 and 8 percent of child records for review. Therefore, we concluded that this state uses child records review.

¹⁰ Monitoring unit is the term used in the mail survey to refer to the organizational entity on which a particular state's monitoring mainly focused. Under Part C, the organizational entity that is directly monitored varies by state.

least some LEAs selected for monitoring to conduct a self-assessment. Thirty-six states reported that they required all LEAs selected for monitoring to conduct a self-assessment. For Part C, 28 states reported that they required at least some monitoring units selected for monitoring to conduct a self-assessment. Twenty-three states reported that they required all monitoring units selected for monitoring to conduct a self-assessment. See tables D-27 and E-31.

- **Other data sources.** The mail survey asked states how often they used each data source in a provided list. The list comprised data sources frequently available to states and others that evaluators identified as important to self-assessment and improvement planning. For Part B, the data sources most frequently identified as data the state usually or always used when monitoring an LEA or planning improvements were child or student folders (50 states), suspension-expulsion data (48 states), least restrictive environment data (47 states), teacher interviews or focus groups (46 states), and site-based administrator interviews or focus groups (46 states). For Part C, the data sources most frequently identified as data the state usually or always used when monitoring or planning improvements were child folders (50 states), child assessment data (42 states), dispute resolution data (39 states), interviews or focus groups with local program directors (37 states), and monitoring unit self-assessment reports (37 states). See tables D-29 and E-33.

Data Limitations

All survey data collections involve potential sources of error. The monitoring evaluation's mail survey is no exception. While data entry and coding errors were minimized through standard data quality assurance procedures (e.g., data entry with verification), other potential sources of error were more difficult to address and should be kept in mind by readers reviewing the survey data.

Definitions

Self-report surveys are affected by respondents' interpretation of the questions. For the monitoring evaluation's mail surveys, the organizational role of the respondent, for example, might affect his/her perceptions of monitoring and improvement planning in his/her state. In addition, although the survey included a glossary of terms, it is not clear that all respondents referred to that glossary when responding to the survey. In the course of the first wave of site visits, evaluators concluded that states do not share a common monitoring and improvement planning vocabulary. For example, many states use the term *focused monitoring* to describe their monitoring process. Some states use the term because they monitor using a select number of indicators to measure progress. Other states use the term because they monitor a small number of LEAs/monitoring units. These definitional ambiguities make it difficult to compare monitoring systems based on survey data.

Timeframe

The mail survey directed states to respond to all questions according to their monitoring procedures during the 2004-05 school year or monitoring cycle, even if those procedures have since changed. This retrospective timeframe¹¹ poses several challenges for the interpretation of the data. In addition to the expected effects of time on respondent memory, there is also a preference—observed during site visits—among state personnel to talk about what they are doing now. It is possible that some states responded to the mail survey based on their current monitoring procedures. Staff turnover, and the resulting loss of institutional memory, also poses a threat to the validity of the mail survey data. It is possible that in some states the respondent, or even all of the state-level monitoring staff, may not have been involved in monitoring during 2004-05. Finally, there is the potential impact of the reauthorization of *IDEA* on responses to the mail survey. It is conceivable that some states responded to the survey based on the new requirements of the law rather than reporting about their monitoring and improvement practices prior to reauthorization.

Data Collection Method

The format of a survey data collection results in an oversimplification of monitoring and improvement systems. The surveys were designed to collect a census of current monitoring activities. However, the actual complexity of these systems is difficult if not impossible to summarize through a questionnaire. This complexity is for the reason for including in-depth site visits in the evaluation design. The interactive dynamic of site visits is better suited for teasing out what states are doing when they monitor, what they monitor, and what they do with the results.

¹¹ The mail surveys were sent to states in fall of 2005, and some states did not return them until spring of 2006.

References

Individuals with Disabilities Education Act of 1997, 20 U.S.C. §1400 et seq. (1997).

Individuals with Disabilities Education Improvement Act of 2004, 20 U.S.C. §1400 et seq. (2004).

U.S. Department of Education, Office of Special Education Programs. (2003) *Continuous Improvement and Focused Monitoring System (CIFMS) Accountability Manual: Guidance for States, Lead Agencies, and Steering Committees*. U.S. Government Printing Office: Washington, D.C.

Appendix A

Mail Survey Data Collection Methods

The mail survey was the first step toward achieving the evaluation's first objective, to describe the nature and extent of the various monitoring activities implemented by states for Parts B and C of *IDEA*. The purpose of the mail survey data is to provide descriptive information and data across all 50 states and the District of Columbia about states' monitoring practices. The survey will also contribute the necessary contextual information for the site visit data collection.

Development of the Mail Surveys

Two questionnaires were developed for the mail survey data collection, one for Part B and one for Part C. The questionnaires asked about state monitoring and improvement activities in 2004-05, which at the time, was the most recently completed monitoring cycle. With the exception of a few items at the beginning of the Part C questionnaire that helped establish the Part C context in each state, the Part B and Part C questionnaires essentially included the same content.

Both questionnaires were constructed using an iterative approach. A review of the Federal and state *IDEA* monitoring literature, preliminary site visits to two states, and discussions with the study's Advisory Panel provided the initial ideas for structuring the questionnaires and developing items.

Following revision of preliminary drafts of the questionnaires, the Advisory Panel provided written feedback, as well as feedback via conference calls. The Advisory Panel members have expertise in program and/or education evaluation; state monitoring practices; parent advocacy; state Part C and B administration; technical assistance; special education law, regulations, and policy; and early intervention and preschool special education. Panel members were asked to provide input regarding the relevance and clarity of the questions, item organization, clarity of instructions, availability of the information requested, adequacy and appropriateness of item response options, and time required to complete the questionnaire.

Following Advisory Panel input, the questionnaires were revised, and then Westat conducted a pilot test of the mail survey instruments in five states. Pilot states were selected according to criteria hypothesized to be related to state monitoring and improvement systems, such as the size of the special education child count and geographic location, in order to test the instruments in a variety of settings. Also, for the Part C questionnaire, we chose states with different Part C lead agencies (health, education, and other). Thus, two states completed the Part B questionnaire, two states completed the Part C questionnaire, and one state, where the state department of education was the Part C lead agency, completed both the Part B questionnaire and the Part C questionnaire.

During the pilot, states were asked to complete the questionnaire as if they were participating in the actual study. States were asked to use a form to provide feedback about problematic questions, the clarity of questions, availability of information requested, adequacy and appropriateness of item response options, and the time to complete the questionnaire. After piloting the questionnaires and reviewing the feedback forms, we contacted participants by

telephone for additional information, if problematic questions were identified or other comments were provided. Based on information gathered through the pilot test, the questionnaires underwent another round of revisions, were reviewed internally, and then finalized. The final Part B and Part C questionnaires focused on the following topics (see appendices B and C for the complete questionnaires):

- Context for Monitoring and Improvement (Part C questionnaire only);
- Design for Monitoring and Improvement Activities;
- Data Collection and Analysis;
- Staffing and Training;
- Role of Stakeholders;
- Reporting;
- Process for State and Local Improvement; and
- History of Monitoring and Improvement.

Data Collection

Several weeks before the questionnaires were to be sent to states, Westat sent a letter from OSEP and NCSER officials that briefly explained the evaluation study and outlined the expectation of participation in this study. Westat then prepared packets to be mailed to Part B and C administrators in the 50 states and the District of Columbia; packets contained a letter of introduction, the questionnaire (Part B or C), and a postage-paid return envelope. The letters stated the purpose and importance of the study, the types of data to be collected, and how the data would be used. The letters also provided a toll-free telephone number and a project email address, so respondents could call or email if they had questions about how to complete the questionnaires. The questionnaire packets were then sent out to Part B and Part C administrators in late fall of 2005.

A few weeks after mailing the questionnaire packets, postcards were sent to states to encourage participation and to ask them to contact us if they did not receive the questionnaires or if they had any questions. Over the next couple of months, we continued to follow up with states via telephone calls, email messages, and postcards. A second packet was mailed to states that did not return their questionnaires; this packet included a letter reminding participants of the expectation of participation, a second copy of the questionnaire, and a postage-paid return envelope. Following the second mailing, if the questionnaire was still not completed and returned, senior project staff called to solicit the administrators' cooperation in completing the questionnaire and to answer any questions or concerns they may have had.

Following the data collection procedures outlined above, we achieved a 100 percent response rate for both Part B and Part C; that is, we received 51 out of 51 questionnaires for Part B and 51 out of 51 questionnaires for Part C. Thus, the mail survey data collection is a census of Part B state directors and Part C coordinators in each of the 50 states and the District of Columbia.

Once the completed questionnaires were received, they were reviewed for completeness. If there were any missing data or problematic data (e.g., selecting multiple response options when only one should have been selected, not following skip patterns), the respondent was contacted, and the items were either completed or corrected.

Data Analysis

This report is based on descriptive statistical analysis of state responses to the Monitoring Evaluation's Part B and Part C questionnaires. For each survey item, the number and percentage of states selecting each response option were calculated. When questions did not apply to all states as the result of skip patterns within the questionnaire, the percentage of applicable states was also calculated. For example, only states that used a focused approach to monitoring were asked about their specific areas of focus. Therefore, for these questions the percentage of states using a focused approach was calculated for each focus area. The results presented in this report represent the universe of potential respondents. Thus, no tests of significance are needed.

Appendix B

Part B Monitoring Evaluation Questionnaire

AN EVALUATION OF STATES' MONITORING AND IMPROVEMENT PRACTICES UNDER THE *INDIVIDUALS WITH DISABILITIES EDUCATION ACT (IDEA)*

Monitoring Evaluation Questionnaire Part B

Contract # ED04CO0140

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number. The valid OMB control number of this information collection is 1850-0807. The time required to complete this information collection is estimated to average 1 hour per response, including the time to review instructions, search existing data resources, gather the data needed and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Institute of Education Sciences, U.S. Department of Education, 555 New Jersey Ave, NW, Washington, DC 20208.

OMB No. 1850-0807 Approval Expires: 09/30/2006

Monitoring Evaluation Questionnaire

Part B

Definition of Terms Used in the Survey

LEA: a local education agency or other local entity that represents a unit for monitoring purposes, including autonomous charter schools.

Monitoring: the SEA's investigation, reporting, and correction of an individual LEA that has been selected according to a regular cycle or because the entity fails to meet some compliance or performance criteria; usually but not necessarily includes a monitoring site visit.

Monitoring site visit: visit to LEAs organized by the SEA to monitor compliance with state and federal requirements or examine child outcomes.

Self-assessment: some level of self-review conducted by an LEA or other local entity that may include record reviews, data collection, or analysis and that would be in conjunction with the overall monitoring and local improvement activities required by the SEA.

Noncompliance: failure to be in compliance with the processes and procedures required by law or with requirements to provide appropriate services.

Systemic noncompliance: a pattern of noncompliance within an LEA (i.e., local systemic noncompliance) or across the state (i.e., statewide systemic noncompliance), related to the processes and procedures required by law or the provision of appropriate services, that points to a need for systemic remedies.

Compliance indicator: a statement that quantifies a goal or priority related to compliance with the processes and procedures required by law or with requirements to provide appropriate services and that signals whether the goal is being achieved.

Child/family outcome indicator: a statement that quantifies a goal or priority related to improvements in child (or family) outcomes and that signals whether the goal is being achieved.

Corrective action: required steps for remedying findings of noncompliance with the processes and procedures required by law or with the requirements to provide appropriate services.

Local improvement plan: a strategy or set of strategies for an LEA that address local performance goals or priorities and that may or may not be related to noncompliance.

State improvement plan: a strategy or set of strategies for an SEA that addresses state-level or statewide performance goals or priorities and that may or may not be related to noncompliance.

NOTE: Please respond to all items with a focus on the monitoring cycle that corresponds to the 2004-2005 school year, even if your practices or procedures have changed since that time.

NOTE: In responding to this questionnaire, please adhere to the definitions above, even if the terms or their definitions differ from your normal usage. For example, consider the term *LEA* to include local education agencies or any other entity that is a unit for monitoring purposes.

Design for Monitoring and Improvement Activities

1. Did the SEA use an approach to monitoring and local improvement planning that focused on a select set of areas or priorities?

1 Yes

2 No → SKIP to Item 7

2. Were the areas or priorities the same for all LEAs in the state (as opposed to being developed specifically for each LEA)?

1 Yes

2 No

3. On what areas did the SEA particularly focus? [Check all that apply.]

- 01 Child Find
- 02 Access to the general education curriculum
- 03 Least restrictive environment/placement
- 04 IEP/IFSP requirements and procedures
- 05 Dispute resolution
- 06 Procedural safeguards
- 07 Staffing levels
- 08 Personnel qualifications
- 09 Performance on child/student assessments
- 10 Disproportionality of racial/ethnic groups
- 11 Transition to preschool
- 12 Transition to kindergarten
- 13 Dropout rates
- 14 Graduation rates
- 15 Suspension and expulsion
- 16 Postsecondary transition
- 17 Other: _____
- 18 Other: _____

4. How did the SEA select the focus areas? [Check all that apply.]

- 01 Analyzed Section 618 state-reported data
- 02 Compiled and analyzed data from mediations, due process hearings, and complaints
- 03 Analyzed results from statewide and other large-scale assessments
- 04 Analyzed AYP subgroup data
- 05 Analyzed results from the recent monitoring of LEAs
- 06 Analyzed information contained in LEA applications for Part B funds
- 07 Analyzed LEA self-assessments
- 08 Analyzed LEA policies and procedures
- 09 Analyzed findings from surveys of stakeholders
- 10 Consulted with or followed the recommendations of OSEP staff
- 11 Consulted with or followed the recommendations of a state-level steering committee
- 12 Consulted with or followed the recommendations of an advisory group
- 13 Other: _____
- 14 Other: _____

5. Did the SEA have specific indicators (compliance indicators or child/family outcome indicators) for each focus area?

- 1 Yes
- 2 No → **SKIP to Item 7**

6. Did the SEA have specific targets (i.e., specified levels of performance) related to the specific indicators for each focus area?

- 1 Yes, we had specific targets for all focus areas.
- 2 Yes, we had specific targets for some, but not all, focus areas.
- 3 No, we had no specific targets.

7. Was monitoring of LEAs under IDEA coordinated with the monitoring activities of other programs?

- 1 Yes
- 2 No → SKIP to Item 9

8. With which other programs was monitoring under IDEA coordinated? [Check all that apply.]

- 1 General education (overall)
- 2 Title I
- 3 Head Start
- 4 Mental Health
- 5 Developmental Disabilities
- 6 Other: _____
- 7 Other: _____

9. Every state’s monitoring and improvement activities focus on accountability. Broadly speaking, this accountability focuses to varying degrees on (A) process and procedural requirements, (B) requirements to provide appropriate services (plans are appropriate and services are provided), and (C) child outcomes. In the table below, estimate the percentage of the SEA’s overall monitoring and improvement effort that was devoted to each focus. The total should add to 100 percent.

| Accountability Area | Percent of Effort |
|---|-------------------|
| A. Ensuring that process and procedural requirements are met | ____% |
| B. Ensuring that requirements to provide appropriate services are met | ____% |
| C. Improving child outcomes directly by improving practices | ____% |
| TOTAL: | 100% |

10. Did the SEA identify statewide systemic noncompliance that required special attention and systemic remedies?

- 1 Yes
- 2 No → SKIP to Item 12

11. How did the SEA attempt to identify statewide systemic noncompliance? [Check all that apply.]

- 01 Analysis of statewide quantitative data on child outcomes (e.g., AYP subgroup data) across LEAs
- 02 Analysis of LEA self-assessments
- 03 Statewide surveys of parents or other stakeholders
- 04 Public forums
- 05 Surveys of parents or other stakeholders conducted during the monitoring of LEAs
- 06 Analysis of interview, focus group, and other qualitative data collected during monitoring activities with LEAs
- 07 Record reviews during monitoring activities with LEAs
- 08 Systematic reviews of formal complaints, mediations, due process hearings, and other legal actions
- 09 Other: _____
- 10 Other: _____

12. Did the SEA identify local systemic noncompliance (within LEAs) that required special attention and systemic remedies?

- 1 Yes
- 2 No → **SKIP to Item 14**

13. How did the SEA identify local systemic noncompliance? [Check all that apply.]

- 01 Analysis of quantitative data on student/child outcomes (e.g., AYP subgroup data)
- 02 Analysis of the LEA’s self-assessment
- 03 Survey of parents from the LEA
- 04 Public forums
- 05 Survey of other stakeholders from the LEA
- 06 Analysis of interview, focus group, and other qualitative data collected during monitoring activities
- 07 Record reviews during monitoring activities with the LEA
- 08 Systematic reviews of formal complaints, mediations, due process hearings, and other legal actions
- 09 Other: _____
- 10 Other: _____

Data Collection and Analysis

14. In the table below, indicate the number of LEAs, by type, that fell under the SEA’s General Supervision responsibility for the 2004-2005 school year. Count every LEA, regardless of whether it was monitored in the 2004-2005 school year. Count each LEA only once.

| Type of LEA | Number That SEA Was Responsible For |
|---|-------------------------------------|
| Public LEAs or districts | |
| Cooperatives, intermediate units, service centers, etc. | |
| State-operated schools/programs | |
| Charter schools that are autonomous LEAs | |
| Private schools [count only those for which a regular LEA is not responsible] | |
| Other entities: _____ | |
| TOTAL: | |

15. Which of the following best describes the procedures the SEA was using to select LEAs for monitoring (as of the 2004-2005 school year)?

- 1 All LEAs were monitored each year. → **SKIP to Item 20**
- 2 A regular cycle (e.g., every 3 years) determined all of the LEAs to be monitored each year.
- 3 A cycle determined all of the LEAs to be monitored each year, but the cycle was not regular—the frequency of the monitoring for each LEA was determined by prior compliance or performance. → **SKIP to Item 17**
- 4 Prior compliance or performance alone determined which LEAs were monitored each year. → **SKIP to Item 17**
- 5 A cycle determined some of the LEAs selected for monitoring each year; others were selected based on prior compliance or performance. → **SKIP to Item 17**

16. If all LEAs to be monitored were selected according to a regular cycle, the cycle was every _____ years. → SKIP to Item 18

17. Where prior compliance or performance contributed to the selection of LEAs for monitoring, the selection criteria used by the SEA were related to which of the following? [Check all that apply.]

- 1 Process and procedural requirements (e.g., failure to complete paperwork or to meet timeliness requirements)
- 2 Provision of services or facilitation of the provision of services (e.g., provision of speech therapy, or provision of services in the least restrictive environment)
- 3 Child outcomes (e.g., AYP scores, graduation rates)
- 4 Complaints, mediations, due process hearings, or other legal actions
- 5 Specific areas designated by the state as priorities (e.g., provision of transition services, disproportionality of racial/ethnic groups)
- 6 Other: _____

18. For the LEAs that the SEA did not select for monitoring, which of the following activities occurred in connection with the state’s monitoring efforts, for at least some LEAs? [Check all that apply.]

- 1 The SEA collected and analyzed data from the LEAs on compliance indicators (i.e., data related to the processes and procedures required by law).
- 2 The SEA collected and analyzed data from the LEAs on child outcome indicators.
- 3 The SEA collected and analyzed data from the LEAs on dispute resolution.
- 4 The SEA conducted a desk audit or review of data or documents from the LEAs.
- 5 The LEAs conducted a self-assessment (self-review) and reported the results to the SEA.
- 6 None of the above occurred.

19. In the table below, indicate by type how many LEAs the SEA selected for monitoring.

| Type of LEA | Number That SEA Selected for Monitoring |
|---|---|
| Public LEAs or districts | |
| Cooperatives, intermediate units, etc. | |
| State-operated schools/programs | |
| Charter schools that are autonomous LEAs | |
| Private schools (count only those for which a regular LEA is not responsible) | |
| Other entities: _____ | |
| TOTAL: | |

20. For the LEAs selected for monitoring, were child records reviewed?

- 1 Yes
- 2 No → **SKIP to Item 26**

21. Was random sampling used to select any of the child records to be reviewed for any LEA?

- 1 Yes
- 2 No → **SKIP to Item 25**

22. Which best describes the random sampling used?

- 1 Simple random sampling was used, which means one group of records was selected from all child records, and all records had an equal chance of being selected. → **SKIP to Item 25**
- 2 Stratified random sampling was used, which means multiple groups of records were selected from categories of children sorted according to particular characteristics such as age, disability, or race/ethnicity.
- 3 Other: _____
 _____ → **SKIP to Item 25**

23. What categories (or strata) were used for the stratified random sampling? [Check all that apply.]

- 1 Disability category
- 2 Age or grade level
- 3 Race or ethnicity
- 4 Educational environment
- 5 Date of identification
- 6 Transfers
- 7 Triennials
- 8 English language learners
- 9 Other: _____

24. Was oversampling (i.e., selection of a disproportionately large number from a particular category or strata) used for any of the categories?

- 1 Yes, for the following categories: _____, _____, _____
- 2 No

25. What were the lowest and highest percentages of child records selected for review among the LEAs monitored in 2004-2005?

Lowest percentage of child records reviewed in any monitored LEA: _____%.

Highest percentage of child records reviewed in any monitored LEA: _____%.

26. For the LEAs selected for monitoring, did monitoring involve a site visit?

- 1 Monitoring included a site visit for all selected LEAs.
- 2 Monitoring included a site visit for some LEAs, following a regular cycle.
- 3 Monitoring included a site visit for some LEAs, based on decision criteria.
- 4 Monitoring never included a site visit.

27. Were LEAs selected for monitoring required to conduct self-assessments that were incorporated into the overall monitoring and local improvement activities conducted by the SEA?

- 1 Yes, all were.
- 2 Yes, some were, but not all.
- 3 No. → **SKIP to Item 29**

28. Did the SEA provide a standard self-assessment procedure (e.g., a standard set of elements to address, procedures for addressing those elements) for the LEA to follow?

- 1 Yes
- 2 No

29. In the table below, indicate how often the SEA used each of the following data sources when monitoring an LEA or when planning improvements. [Check one box in each row; disregard the shaded numbers.]

| Data Source | Frequency of Use for Monitoring or Improvement Planning | | | |
|--|---|--------|---------|--------|
| | Never | Rarely | Usually | Always |
| Parent survey | 1 | 2 | 3 | 4 |
| Parent interviews or focus groups | 1 | 2 | 3 | 4 |
| Teacher survey | 1 | 2 | 3 | 4 |
| Teacher interviews or focus groups | 1 | 2 | 3 | 4 |
| Advocate survey | 1 | 2 | 3 | 4 |
| Advocate interviews or focus groups | 1 | 2 | 3 | 4 |
| Site-based administrator (principal) survey | 1 | 2 | 3 | 4 |
| Site-based administrator (principal) interviews or focus groups | 1 | 2 | 3 | 4 |
| Central office/program office administrator survey | 1 | 2 | 3 | 4 |
| Central office/program office administrator interviews or focus groups | 1 | 2 | 3 | 4 |
| LEA self-assessment reports | 1 | 2 | 3 | 4 |
| Public hearings | 1 | 2 | 3 | 4 |
| Review of child or student folders, including review of IEPs/IFSPs | 1 | 2 | 3 | 4 |
| Review of dispute resolution data (complaints, mediations, due process hearings) | 1 | 2 | 3 | 4 |
| Review of LRE (least restrictive environment) data | 1 | 2 | 3 | 4 |
| Review of child/student assessment data | 1 | 2 | 3 | 4 |
| Review of suspension-expulsion data | 1 | 2 | 3 | 4 |
| Review of dropout data or graduation data | 1 | 2 | 3 | 4 |
| Review of AYP data | 1 | 2 | 3 | 4 |
| Other: _____ | 1 | 2 | 3 | 4 |
| Other: _____ | 1 | 2 | 3 | 4 |

30. Were findings from Part C monitoring activities used for monitoring or improvement planning related to the Part C to Part B transition?

- 1 Yes
- 2 No

31. Did the state have an electronic database of individual child records (i.e., records that included individual student/child identifiers) from which information was extracted and analyzed for monitoring and improvement planning?

- 1 Yes
- 2 No → **SKIP to Item 35**

32. Indicate in the table below which data were included in the database for which age group. [Circle Yes or No in each box.]

| Child Age Group | Data Available to SEA in Electronic Form | | | |
|-----------------|--|---|---|--|
| | Some or all child records were available for <u>all</u> LEAs | Some or all child records were available for <u>some</u> LEAs | Available child records included IEPs/IFSPs for <u>all</u> LEAs | Available child records included IEPs/IFSPs for <u>some</u> LEAs |
| Birth through 2 | 1 Yes 2 No | 1 Yes 2 No | 1 Yes 2 No | 1 Yes 2 No |
| 3 through 5 | 1 Yes 2 No | 1 Yes 2 No | 1 Yes 2 No | 1 Yes 2 No |
| 6 through 18 | 1 Yes 2 No | 1 Yes 2 No | 1 Yes 2 No | 1 Yes 2 No |
| 19 through 21 | 1 Yes 2 No | 1 Yes 2 No | 1 Yes 2 No | 1 Yes 2 No |

33. Did the database allow the tracking of children from Part C to Part B?

- 1 Yes
- 2 No

34. How often were the data updated?

- 1 Continuously
- 2 Monthly
- 3 Annually
- 4 Other: _____

→ **After completing Item 34, SKIP to Item 39**

35. Does the state have plans to establish an electronic database of individual child records?

- 1 Yes
- 2 No → **SKIP to Item 39**

36. Will the planned electronic database include child records from all LEAs?

- 1 Yes
2 No

37. What ages will be included in the planned electronic database?

_____ through _____

38. On what date will the planned database be fully operational?

39. Did the SEA have available for monitoring and improvement planning detailed information (including summaries of issues, topics, or resolutions) from any of the following? [Check all that apply.]

- 1 Complaints
2 Mediations
3 Due process hearings
4 Compensatory education
5 Compliance findings
6 Corrective actions
7 Local improvement plans

40. Were data regarding dispute resolution analyzed to determine whether statewide systemic noncompliance had occurred?

- 1 Yes
2 No

41. Were data regarding dispute resolution analyzed to determine whether local systemic noncompliance (within LEAs) had occurred?

- 1 Yes
2 No

42. Did findings from monitoring and improvement activities lead to further evaluation in specific areas where statewide systemic noncompliance or deficiencies in performance were found?

- 1 Yes
2 No → **SKIP to Item 44**

43. Who conducted such an evaluation?

- 1 The SEA conducted the evaluation.
2 An advisory group or steering committee conducted the evaluation.
3 The SEA contracted with an independent external evaluator to conduct the evaluation.
4 The SEA required LEAs to conduct self-evaluations focused on the problem area.
5 Other: _____

Staffing and Training

44. Did the SEA have an individual whose primary responsibility was to coordinate monitoring activities?

- 1 Yes
2 No → **SKIP to Item 47**

45. What is that person's name? Name: _____

46. To whom did that individual report? [Please indicate the person's name and position.]

Name: _____ Position: _____

47. Did the SEA have an individual whose primary responsibility was to coordinate improvement planning and implementation?

- 1 Yes
2 No → **SKIP to Item 50**

48. What is that person's name? Name: _____

49. To whom did that individual report? [Please indicate the person's name and position.]

Name: _____ Position: _____

50. Did the SEA provide training to LEAs regarding the requirements and procedures for collecting and reporting data used for monitoring?

- 1 Yes
2 No → **SKIP to Item 52**

51. How frequently were personnel from LEAs trained on the requirements and procedures for collecting and reporting data used for monitoring?

- 1 Only when requirements and procedures changed
2 Each time the LEA was selected for monitoring
3 Every year, regardless of the monitoring cycle
4 Every _____ years, regardless of the monitoring cycle
5 Other: _____

52. Did the SEA provide training to LEAs regarding the requirements and procedures for collecting and reporting data used for local improvement activities?

- 1 Yes
2 No → **SKIP to Item 54**

53. How frequently were personnel from LEAs trained on the requirements and procedures for collecting and reporting data used for local improvement?

- 1 Only when requirements and procedures changed
2 Each time the LEA was selected for monitoring
3 Every year, regardless of the monitoring cycle
4 Every _____ years, regardless of the monitoring cycle
5 Other: _____

Role of Stakeholders

54. In the table below, indicate who served on the teams that monitored LEAs, participated in monitoring site visits, and participated in local improvement planning or implementation. [Check all boxes that apply; disregard the shaded numbers.]

| Persons | Served on Monitoring Teams | Participated in Monitoring Site Visits | Participated in Local Improvement Planning or Implementation |
|---|-----------------------------------|---|---|
| Staff from the SEA | 1 | 2 | 3 |
| Staff from the Part C lead agency | 1 | 2 | 3 |
| Staff from other state agencies | 1 | 2 | 3 |
| Parents of children with disabilities | 1 | 2 | 3 |
| Advocates for persons with disabilities | 1 | 2 | 3 |
| Special education teachers | 1 | 2 | 3 |
| General education teachers | 1 | 2 | 3 |
| Early intervention specialists | 1 | 2 | 3 |
| Related service providers | 1 | 2 | 3 |
| Principals or other school-based administrators | 1 | 2 | 3 |
| Part C local program directors | 1 | 2 | 3 |
| District-level general education administrators | 1 | 2 | 3 |
| Special education administrators | 1 | 2 | 3 |
| Representatives of professional organizations or associations | 1 | 2 | 3 |
| Outside consultants | 1 | 2 | 3 |
| Other: _____ | 1 | 2 | 3 |
| Other: _____ | 1 | 2 | 3 |

55. How did the SEA or LEA select the specific parents of children with disabilities or disability advocates to serve on monitoring teams? [Check all that apply.]

- 1 No parents of children with disabilities or disability advocates served on teams.
- 2 The SEA/LEA selected specific individuals as representatives from a variety of organizations.
- 3 The SEA/LEA invited organizations to appoint individuals to participate.
- 4 The SEA/LEA selected specific individuals to represent a variety of disabilities, without regard to organizational affiliation.
- 5 The SEA/LEA selected individuals from all persons who volunteered.
- 6 Other: _____

56. Did individuals who served on monitoring teams participate in training sessions or in a training program about monitoring?

- 1 Yes, all did.
- 2 Yes, some did.
- 3 No. → **SKIP to Item 59**

57. When were they trained? [Check all that apply.]

- 1 Once, upon initial involvement
- 2 Prior to serving on each monitoring team
- 3 Prior to each site visit
- 4 Cyclically (e.g., annually, biannually)
- 5 Other: _____

58. On what topics were they trained? [Check all that apply.]

- 1 Relevant rules and regulations
- 2 Procedures for reviewing records
- 3 Interviewing techniques
- 4 Provision of technical assistance
- 5 Debriefing techniques
- 6 Report writing
- 7 Confidentiality
- 8 Other: _____
- 9 Other: _____

59. Did individuals who worked on local improvement planning and implementation participate in training sessions or in a training program about improvement planning and implementation?

- 1 Yes, all did.
- 2 Yes, some did.
- 3 No. → **SKIP to Item 61**

60. When were they trained? [Check all that apply.]

- 1 Once, upon initial involvement
- 2 Cyclically (e.g., annually, biannually)
- 3 Other: _____

61. Did the SEA have a state-level steering committee specifically devoted to providing input on monitoring and improvement activities?

- 1 Yes, we had a state-level steering committee specifically dedicated to that purpose.
- 2 No, we had no such group, but we used the state special education advisory committee or a similar group for that purpose.
- 3 No, we had no such group, nor did we use the state special education advisory committee or any other established group for that purpose. → **SKIP to Item 66**

62. Which of the following stakeholders served on the state-level committee? [Check all that apply.]

- 01 Individuals with disabilities
- 02 Parents of children with disabilities
- 03 Advocates for individuals with disabilities
- 04 Students with disabilities
- 05 Special education teachers
- 06 General education teachers
- 07 Early intervention personnel
- 08 Related services personnel
- 09 School-based general education administrators
- 10 Local special education administrators
- 11 Other district-level administrators
- 12 Assessment personnel
- 13 Personnel from other state or local agencies
- 14 School board members

63. How did the SEA select the specific individuals with disabilities, parents of children with disabilities, or disability advocates who participated on the state-level committee? [Check all that apply.]

- 1 No individuals with disabilities, parents of children with disabilities, or disability advocates served on the committee.
- 2 The SEA selected specific individuals as representatives from a variety of organizations.
- 3 The SEA invited organizations to appoint individuals to participate.
- 4 The SEA selected specific individuals to represent a variety of disabilities, without regard to organizational affiliation.
- 5 The SEA selected individuals from all persons who volunteered.
- 6 Other: _____

**64. In which of the following specific areas did the state-level committee provide input?
[Check all that apply.]**

- 1 Setting monitoring priorities for the state
- 2 Determining indicators or targets for the monitoring priorities
- 3 Determining criteria for selecting specific LEAs to be monitored
- 4 Selecting the specific LEAs to be monitored
- 5 Determining the extent of noncompliance by LEAs
- 6 Reviewing LEA response to corrective actions
- 7 Determining priorities for state or local improvement planning and implementation
- 8 Other: _____

65. Did members of the state-level committee serve on the teams that monitored LEAs?

- 1 Yes
- 2 No

Reporting

66. Which of the following methods did the SEA use to inform LEAs about the state's procedures for monitoring and improvement planning? [Check all that apply.]

- 1 Procedures, forms, instructions, and indicators were distributed in hard copy to all LEAs.
- 2 Procedures, forms, instructions, and indicators were available in hard copy on request.
- 3 Procedures, forms, instructions, and indicators were available on a Web site.
- 4 Announcements and explanations of changes were made at meetings.
- 5 Trainings on monitoring and improvement planning were held.
- 6 Other: _____

67. Which of the following methods did the SEA use to inform the public about the state’s procedures for monitoring and improvement planning? [Check all that apply.]

- 1 Procedures, forms, instructions, and indicators were available to the public on request.
- 2 Procedures, forms, instructions, and indicators were available on a public Web site.
- 3 Announcements and explanations of changes were made at meetings that all stakeholders could attend.
- 4 Trainings on monitoring and improvement planning procedures were held for stakeholders and the public.
- 5 Details of monitoring and improvement planning procedures were provided in press releases.
- 6 Other: _____

68. In the table below, indicate what types of reports the monitoring team provided to the LEAs that were monitored and when they were provided. [Check one box in each row; disregard the shaded numbers.]

| Type of Report | Time Report Was Provided | | | | |
|---|-----------------------------|----------------------------|---|---|--|
| | No such report was provided | At the end of a site visit | Within 1 month of completion of data collection | Within 1 to 3 months of completion of data collection | More than 3 months after completion of data collection |
| Face-to-face exit interview or debriefing | 1 | 2 | 3 | 4 | 5 |
| Oral report by telephone | 1 | 2 | 3 | 4 | 5 |
| Written report | 1 | 2 | 3 | 4 | 5 |

69. Indicate in the table below how information collected by the SEA regarding the results of monitoring and local improvement activities was made available to the general public. [Check all boxes that apply; disregard the shaded numbers.]

| Type of Information | Public Availability of Information | | | | | |
|--|------------------------------------|---|----------------|-----------------|-----------------------------|-------------------------------------|
| | Publicly available print reports | Postings on publicly accessible Web sites | Press releases | Only on request | Not available to the public | State did not have this information |
| Individual LEA self-assessment scores/results | 1 | 2 | 3 | 4 | 5 | 6 |
| Aggregated LEA self-assessment scores/results | 1 | 2 | 3 | 4 | 5 | 6 |
| Individual LEA scores on compliance indicators | 1 | 2 | 3 | 4 | 5 | 6 |
| Aggregated LEA scores on compliance indicators | 1 | 2 | 3 | 4 | 5 | 6 |
| LEA rank on individual compliance indicators | 1 | 2 | 3 | 4 | 5 | 6 |
| LEA rank on aggregated compliance indicators | 1 | 2 | 3 | 4 | 5 | 6 |
| Individual LEA corrective actions | 1 | 2 | 3 | 4 | 5 | 6 |
| Aggregated LEA corrective actions | 1 | 2 | 3 | 4 | 5 | 6 |
| Individual local improvement plans | 1 | 2 | 3 | 4 | 5 | 6 |
| Aggregated local improvement plans | 1 | 2 | 3 | 4 | 5 | 6 |
| Other: _____ | 1 | 2 | 3 | 4 | 5 | 6 |
| Other: _____ | 1 | 2 | 3 | 4 | 5 | 6 |

Process for State and Local Improvement

70. In the table below, indicate the types of analysis used to support decisions related to corrective actions and local improvement planning or implementation. [Check all boxes that apply; disregard the shaded numbers.]

| Type of Analysis | Used for Decisions Related to Corrective Actions | Used for Decisions Related to Local Improvement Planning or Implementation |
|---|--|--|
| Comparing levels of compliance or performance to targets set for that LEA | 1 | 2 |
| Comparing present levels of compliance or performance to the LEA's own baseline | 1 | 2 |
| Determining trends for the LEA and comparing those to the LEA's current compliance or performance | 1 | 2 |
| Comparing areas of strength to areas of weakness within the LEA | 1 | 2 |
| Comparing levels of compliance or performance to standards that apply to all LEAs in the state | 1 | 2 |
| Comparing levels of compliance or performance to the levels for other LEAs in the state | 1 | 2 |
| Other: _____ | 1 | 2 |

71. In the table below, estimate how frequently the actions listed were required of LEAs as part of corrective actions or as part of local improvement planning and implementation. [Check two boxes in each row; disregard the shaded numbers.]

| Action Required of LEAs | Frequency of Requirement Under <u>Corrective Actions</u> | | | | Frequency of Requirement for <u>Improvement Activities</u> | | | |
|--|--|--------------|---------|--------|--|--------------|---------|--------|
| | Never | Occasionally | Usually | Always | Never | Occasionally | Usually | Always |
| Convene panels or committees | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Implement existing policies and procedures | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Make additions or changes to policies or procedures | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Review and correct records (including IEPs/IFSPs) | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Provide or obtain professional development or training | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Provide or obtain technical assistance | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Systemically review records | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Collect additional data | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Conduct additional self-assessment | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Prepare additional reports for the SEA | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Hire additional staff or better qualified staff | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Other: _____ _____ | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Other: _____ _____ | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Other: _____ _____ | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |

72. Estimate in the table below how frequently the SEA took the actions listed in support of corrective actions or improvement planning and implementation by LEAs. [Check two boxes in each row; disregard the shaded numbers.]

| Action by the SEA | Frequency of Action Supporting <u>Corrective</u> Actions | | | | Frequency of Action Supporting <u>Improvement</u> Activities | | | |
|---|--|-------------------|---------|--------|--|-------------------|---------|--------|
| | Never | Occa- sionally | Usually | Always | Never | Occa- sionally | Usually | Always |
| Provided additional funds to the LEA | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Provided professional development or training for LEA personnel | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Provided technical assistance to LEA personnel | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Conducted additional data collection and analysis | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Conducted follow-up site visits or desk audits | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Prepared additional reports | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Facilitated interagency communication | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Other: _____ _____ | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Other: _____ _____ | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Other: _____ _____ | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |

73. What procedures did the SEA follow in monitoring progress on corrective actions?

- 1 Progress on corrective actions was not monitored by the SEA.
- 2 Progress on corrective actions was noted and addressed the next time the LEA was selected for monitoring but was not followed in the interim.
- 3 LEAs were required to take the initiative on corrective actions and report progress to the SEA.
- 4 SEA staff took the initiative to follow up with LEAs on corrective actions, possibly including conducting a follow-up visit to the LEA.
- 5 Other: _____

74. What procedures did the SEA follow in monitoring progress on local improvement plans?

- 1 Progress on plans was not monitored by the SEA.
- 2 Progress on plans was noted and addressed the next time the LEA was selected for monitoring but was not followed in the interim.
- 3 LEAs were required to take the initiative on improvement plans and report progress to the SEA.
- 4 SEA staff took the initiative to follow up with LEAs on improvement plans, possibly including conducting a follow-up visit to the LEA.
- 5 Other: _____

75. Did the SEA examine the relationship between (a) findings from a review of an LEA's compliance with the processes and procedures required by law and with requirements to provide appropriate services and (b) the LEA's child outcomes?

- 1 Yes
- 2 No → **SKIP to Item 77**

76. What kind of analysis did the SEA conduct? [Check all that apply.]

- 1 A cross-sectional statistical analysis comparing compliance data to outcome data across LEAs at a single point in time
- 2 A longitudinal statistical analysis comparing compliance data to outcome data over time within an LEA
- 3 A qualitative analysis that used expert informants to provide evidence of links between compliance and outcomes within an LEA
- 4 An informal analysis based on the judgment of SEA staff
- 5 Other: _____

77. How did the state reward individual LEAs for reducing noncompliance? [Check all that apply.]

- 1 Proclamation, public commendation, or award
- 2 Additional funds or monetary award
- 3 Less frequent monitoring
- 4 Other: _____
- 5 Other: _____
- 6 State used no rewards

78. Did the SEA have written guidelines or procedures outlining the specific incentives the state would use with LEAs to reduce noncompliance?

- 1 Yes
- 2 No

79. How did the state reward individual LEAs to encourage local improvement planning and implementation? [Check all that apply.]

- 1 Proclamation, public commendation, or award
- 2 Additional funds or monetary award
- 3 Less frequent monitoring
- 4 Other: _____
- 5 Other: _____
- 6 State used no rewards

80. Did the SEA have written guidelines or procedures outlining the specific incentives the state would use with LEAs to encourage local improvement activities?

- 1 Yes
- 2 No

81. What sanctions did the state have authority to use in the event of noncompliance by an LEA? [Check all that apply.]

- 1 Negotiating a compliance agreement
- 2 Imposing restrictions or special conditions on the use of funds
- 3 Withholding funds in whole or in part
- 4 Obtaining a "cease and desist" order
- 5 Referring the noncompliant entity to the state attorney general
- 6 Other: _____
- 7 Other: _____

82. What factors did the SEA consider in deciding whether to impose a sanction? [Check all that apply.]

- 1 Duration of noncompliance
- 2 Extent (breadth) of noncompliance
- 3 Severity of the noncompliance
- 4 Effort made to correct the problem
- 5 Whether the problem was related to provision of student services versus procedural requirements
- 6 Other: _____

83. Did the SEA have written guidelines or procedures outlining the specific sanctions that would occur for specific types of noncompliance?

- 1 Yes
- 2 No

84. Did the SEA use materials, procedural guidelines, or technical assistance related to monitoring and improvement planning that were provided by any of the following? [Check all that apply.]

- 01 Regional Resource Centers (RRCs)
- 02 Center for Appropriate Dispute Resolution in Special Education (CADRE)
- 03 National Center on Educational Outcomes (NCEO)
- 04 National Early Childhood Technical Assistance Center (NECTAC)
- 05 National Center for Special Education Accountability Monitoring (NCSEAM)
- 06 Early Childhood Outcome Center (ECO)
- 07 Other OSEP-funded projects: _____,

- 08 Other Department of Education-funded projects:
_____, _____
- 09 In-state university or university-affiliated consultants
- 10 Out-of-state university or out-of-state university-affiliated consultants
- 11 Private consultants or private organizations
- 12 Professional organizations: _____,

- 13 Other: _____
- 14 None of the above

85. In regard to the preparation of teachers and other personnel, did findings from monitoring influence practices at universities in the state?

- 1 Yes
- 2 No → **SKIP to Item 87**
- 3 Don't know → **SKIP to Item 87**

86. In what ways did findings from monitoring influence practices at universities in the state? [Check all that apply.]

- 1 Findings were considered by state agencies when deciding which personnel preparation programs to license or support.
- 2 Findings were used by faculty in deciding what type of technical assistance or professional development to offer.
- 3 Findings were used by the state in considering what university-based technical assistance or professional development to support.
- 4 Findings were used by faculty for curriculum planning.
- 5 Other: _____
- 6 Other: _____

87. Were monitoring findings used by other departments and divisions in the SEA or by other state agencies?

- 1 Yes
- 2 No → **SKIP to Item 89**
- 3 Don't know → **SKIP to Item 89**

88. List departments, divisions, or other agencies using monitoring findings:

History of Monitoring and Improvement

89. Indicate in the table below how monitoring has changed in the state since the enactment of the *IDEA* amendments of 1997. [Check one box in each row; disregard the shaded numbers.]

| | Greatly decreased | Slightly decreased | Stayed About the Same | Slightly increased | Greatly increased |
|---|-------------------|--------------------|-----------------------|--------------------|-------------------|
| Since 1997 . . . | | | | | |
| parent input to the planning of monitoring procedures has . . . | 1 | 2 | 3 | 4 | 5 |
| other stakeholder input to the planning of monitoring procedures has . . . | 1 | 2 | 3 | 4 | 5 |
| parent involvement in data collection and analysis activities has . . . | 1 | 2 | 3 | 4 | 5 |
| other stakeholder involvement in data collection and analysis activities has . . . | 1 | 2 | 3 | 4 | 5 |
| public awareness of monitoring and improvement activities has . . . | 1 | 2 | 3 | 4 | 5 |
| use of data in planning the SEA’s monitoring and improvement activities has . . . | 1 | 2 | 3 | 4 | 5 |
| the number or frequency of site visits to LEAs to collect information has . . . | 1 | 2 | 3 | 4 | 5 |
| the focus on child outcomes has . . . | 1 | 2 | 3 | 4 | 5 |
| the emphasis on compliance issues such as process and procedural requirements has . . . | 1 | 2 | 3 | 4 | 5 |
| public reporting of monitoring findings, by individual LEAs, has . . . | 1 | 2 | 3 | 4 | 5 |
| public reporting of monitoring findings, aggregated across LEAs, has . . . | 1 | 2 | 3 | 4 | 5 |
| the frequency of LEA self-assessments has . . . | 1 | 2 | 3 | 4 | 5 |
| other area (specify: _____) has . . . | 1 | 2 | 3 | 4 | 5 |
| other area (specify: _____) has . . . | 1 | 2 | 3 | 4 | 5 |

90. What special situations in the state have played a role in shaping monitoring and improvement activities since 1997? [Check all that apply.]

- 01 None
- 02 Consent decree or settlement of a lawsuit
- 03 Pending litigation
- 04 State law that requires a specific monitoring methodology
- 05 State law that limits data collection by the SEA
- 06 State law that specifically limits extent of monitoring activities by the SEA
- 07 State law that limits the number of state agency staff devoted to monitoring activities
- 08 Limited state-level resources for monitoring due to other funding priorities
- 09 Other: _____
- 10 Other: _____

91. Has the performance of the SEA in conducting monitoring and improvement activities been formally evaluated since 1997?

- 1 Yes
- 2 No → **SKIP to Item 95**

92. How was the SEA's performance evaluated? [Check all that apply.]

- 1 The SEA conducted a self-evaluation.
- 2 An advisory group or steering committee evaluated the SEA's performance.
- 3 The SEA contracted with an independent external evaluator to assess the agency's performance.
- 4 Other: _____

93. Did this evaluation include an opportunity for LEAs to provide feedback on the SEA's performance?

- 1 Yes
- 2 No

97. Does the state have a plan for major changes in procedures for monitoring and improvement activities?

- 1 Yes, with changes scheduled to be put in place in the year _____ (e.g., 2006)
- 2 No

CONTACT INFORMATION

Please provide us with your name, title, address, phone number, and email address in case we need to contact you to clarify your responses to any of these questions.

Name _____

Title _____

Address _____

Phone _____

Fax _____

Email _____

Thank you for completing this questionnaire.

WESTAT
1650 Research Boulevard, Room RA 1221A
Rockville, MD 20850

Appendix C

Part C Monitoring Evaluation Questionnaire

AN EVALUATION OF STATES' MONITORING AND IMPROVEMENT PRACTICES UNDER THE *INDIVIDUALS WITH DISABILITIES EDUCATION ACT (IDEA)*

Monitoring Evaluation Questionnaire Part C

Contract # ED04CO0140

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number. The valid OMB control number of this information collection is 1850-0807. The time required to complete this information collection is estimated to average 3 hours per response, including the time to review instructions, search existing data resources, gather the data needed and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Institute of Education Sciences, U.S. Department of Education, 555 New Jersey Ave, NW, Washington, DC 20208.

OMB No. 1850-0807 Approval Expires: 09/30/2006

Monitoring Evaluation Questionnaire

Part C

Definition of Terms Used in the Survey

State lead agency: the state agency designated to carry out the general administration and supervision of programs and activities under Part C.

Monitoring: the state lead agency's investigation, reporting, and correction of a local or regional monitoring unit; usually but not necessarily includes a site visit.

Monitoring unit: the organizational entity on which a state's monitoring mainly focuses, which can be a local or regional unit; Item 3 on page 3 of this questionnaire provides additional explanation.

Monitoring site visit: visit to monitoring unit organized by the state lead agency to monitor compliance with state and federal requirements or examine child/family outcomes.

Self-assessment: some level of self-review conducted by a monitoring unit that may include record reviews, data collection, or analysis and that would be in conjunction with the overall monitoring and local improvement activities required by the state lead agency.

Noncompliance: failure to be in compliance with the processes and procedures required by law or with requirements to provide appropriate services.

Systemic noncompliance: a pattern of noncompliance within a monitoring unit (i.e., local systemic noncompliance) or across the state (i.e., statewide systemic noncompliance), related to the processes and procedures required by law or the provision of appropriate services, that points to a need for systemic remedies.

Compliance indicator: a statement that quantifies a goal or priority related to compliance with the processes and procedures required by law or with requirements to provide appropriate services and that signals whether the goal is being achieved.

Child/family outcome indicator: a statement that quantifies a goal or priority related to improvements in child/family outcomes and that signals whether the goal is being achieved.

Corrective action: required steps for remedying findings of noncompliance with the processes and procedures required by law or with the requirements to provide appropriate services.

Local improvement plan: a strategy or set of strategies for a monitoring unit that address local performance goals or priorities and that may or may not be related to noncompliance.

State improvement plan: a strategy or set of strategies for a state lead agency that addresses state-level or statewide performance goals or priorities and that may or may not be related to noncompliance.

NOTE: Please respond to all questions with a focus on the *last complete monitoring period*, even if your practices or procedures have changed since that time. Consider the last monitoring period to be the yearlong monitoring period that ended most recently. If, for example, the Part C monitoring year runs from October 1 to September 30, respond for the period that ended September 30, 2005. If, however, the Part C monitoring year corresponds to the calendar year, consider the last monitoring period to be the period that ended December 31, 2004.

NOTE: In responding to this questionnaire, please adhere to the definitions above, even if the terms or their definitions differ from your normal usage. For example, consider the term *compliance indicator* to refer to “a statement that quantifies a goal or priority related to compliance...and that signals whether the goal is being achieved” regardless of whether you use that exact term in your state.

Context for Monitoring and Improvement

1. In your state, what was the last complete monitoring period or cycle for Part C?

- 1 January 1 to December 31, 2004
- 2 July 1, 2004 to June 30, 2005
- 3 October 1, 2004 to September 30, 2005
- 4 Other: _____

2. Indicate in the table below, the persons who directly provided the specified Part C services. [Check all boxes that apply; disregard the shaded numbers.]

| Agency/Organization | Service | | | | |
|---|-----------|---------------|--------------------|----------------------|--------------------|
| | Screening | Family intake | Initial evaluation | Service coordination | Early intervention |
| State lead agency staff | 1 | 2 | 3 | 4 | 5 |
| Staff of one or more other state agencies | 1 | 2 | 3 | 4 | 5 |
| School district/LEA staff | 1 | 2 | 3 | 4 | 5 |
| Staff of public regional or local agencies (non-education) | 1 | 2 | 3 | 4 | 5 |
| Private vendors under contracts or grants directly from the state lead agency | 1 | 2 | 3 | 4 | 5 |
| Private vendors under contracts or grants directly from another state agency | 1 | 2 | 3 | 4 | 5 |
| Private vendors under contracts or grants directly from public regional or local agencies | 1 | 2 | 3 | 4 | 5 |
| Individual service lead agencies through a fee-for-service system | 1 | 2 | 3 | 4 | 5 |
| Other: _____ _____ | 1 | 2 | 3 | 4 | 5 |
| Other: _____ _____ | 1 | 2 | 3 | 4 | 5 |

Design for Monitoring and Improvement Activities

3. Under Part C, states vary in regard to the level of service providers or administrative entities that they directly monitor. For example, some states focus their monitoring activities mainly on local lead agencies that have authority to administer and coordinate services. Other states focus their monitoring on local providers that provide direct services under contracts with the state lead agency. Still other states focus their monitoring at multiple levels that provide different Part C services (e.g., a state may focus its monitoring on regional entities that conduct family intakes and on local entities that provide service coordination).

For the purposes of this survey, we use the term "monitoring unit" to mean the level or levels of organizational entity on which your monitoring mainly focuses. Because of the variation from state to state, we ask you to define below that term for your state.

Please define "monitoring unit" as it applies in your state:

NOTE: For the remainder of this survey, please apply the definition you have written above to questions that focus on "monitoring units." Every use of that term is highlighted in red type.

4. Overall, how many **monitoring units** (as you defined them in Item 3) was the state lead agency responsible for, whether or not any monitoring activities occurred for those units? _____
5. How many **monitoring units** did the state lead agency actually monitor during the monitoring period? _____

6. In addition to **monitoring units**, at what additional levels did the state lead agency focus any monitoring activities? [Check all that apply.]

- 1 State agencies other than the state lead agency
- 2 Regional public agencies
- 3 Local public agencies
- 4 Private vendors
- 5 Private individuals providing services under a fee-for-service system
- 6 Other: _____
- 7 Other: _____
- 8 The state lead agency focused on no additional levels

7. Did the state lead agency use an approach to monitoring and local improvement planning that focused on a select set of areas or priorities?

- 1 Yes
- 2 No → SKIP to Item 13

8. Were the areas or priorities the same for all **monitoring units** in the state (as opposed to being developed specifically for each **monitoring unit**)?

- 1 Yes
- 2 No

9. On what areas did the state lead agency particularly focus? [Check all that apply.]

- 01 Participation rate
- 02 Child Find
- 03 Dispute resolution
- 04 IFSP requirements and procedures
- 05 Staffing levels
- 06 Personnel qualifications
- 07 Natural environments
- 08 Performance on child assessments
- 09 Disproportionality of racial/ethnic groups
- 10 Transition to other settings
- 11 Transition to preschool
- 12 Other: _____
- 13 Other: _____
- 14 Other: _____

10. How did the state lead agency select the focus areas? [Check all that apply.]

- 01 Analyzed Section 618 state-reported data
- 02 Compiled and analyzed data from mediations, due process hearings, and complaints
- 03 Analyzed findings from the recent monitoring of **monitoring units**
- 04 Analyzed information contained in **monitoring unit** applications for Part C funds
- 05 Analyzed **monitoring unit** self-assessments
- 06 Analyzed **monitoring unit** policies and procedures
- 07 Analyzed findings from surveys of stakeholders
- 08 Consulted with or followed the recommendations of OSEP staff
- 09 Consulted with or followed the recommendations of a state-level steering committee
- 10 Consulted with or followed the recommendations of an advisory group
- 11 Other: _____
- 12 Other: _____

11. Did the state lead agency have specific indicators (compliance indicators or child/family outcome indicators) for each focus area?

- 1 Yes
2 No → **SKIP to Item 13**

12. Did the state lead agency have specific targets (i.e., specified levels of performance) related to the specific indicators for each focus area?

- 1 Yes, we had specific targets for all focus areas.
2 Yes, we had specific targets for some, but not all, focus areas.
3 No, we had no specific targets.

13. Was monitoring under IDEA coordinated with the monitoring activities of other programs?

- 1 Yes
2 No → **SKIP to Item 15**

14. With which other programs was monitoring under IDEA coordinated? [Check all that apply.]

- 01 State Education Agency (if the SEA is not the state lead agency)
02 Health Department
03 Maternal and Child Health
04 Medicaid
05 Head Start
06 Child Care
07 Child Welfare
08 Mental Health
09 Developmental Disabilities
10 Other: _____
11 Other: _____

15. Every state's monitoring and improvement activities focus on accountability. Broadly speaking, this accountability focuses to varying degrees on (A) process and procedural requirements, (B) requirements to provide appropriate services (plans are appropriate and services are provided), and (C) child/family outcomes. In the table below, estimate the percentage of the state lead agency's overall monitoring and improvement effort that was devoted to each focus. The total should add to 100 percent.

| Accountability Area | Percent of Effort |
|---|-------------------|
| A. Ensuring that process and procedural requirements are met | ____% |
| B. Ensuring that requirements to provide appropriate services are met | ____% |
| C. Improving child/family outcomes directly by improving practices | ____% |
| TOTAL: | 100% |

16. Did the state lead agency identify statewide systemic noncompliance that required special attention and systemic remedies?

- 1 Yes
 2 No → **SKIP to Item 18**

17. How did the state lead agency attempt to identify statewide systemic noncompliance? [Check all that apply.]

- 1 Analysis of statewide quantitative data on child/family outcomes across **monitoring units**
- 2 Analysis of **monitoring unit** self-assessments
- 3 Statewide surveys of parents or other stakeholders
- 4 Surveys of parents or other stakeholders conducted during the monitoring of **monitoring units**
- 5 Analysis of interview, focus group, and other qualitative data collected during monitoring activities with **monitoring units**
- 6 Record reviews during monitoring activities with **monitoring units**
- 7 Systematic reviews of formal complaints, mediations, due process hearings, and other legal actions
- 8 Other: _____
- 9 Other: _____

18. Did the state lead agency identify local systemic noncompliance (within **monitoring units**) that required special attention and systemic remedies?

- 1 Yes
 2 No → **SKIP to Item 20**

19. How did the state lead agency identify local systemic noncompliance? [Check all that apply.]

- 1 Analysis of quantitative data on child/family outcomes
 2 Analysis of the **monitoring unit's** self-assessment
 3 Survey of parents served by the **monitoring unit**
 4 Survey of other stakeholders from the **monitoring unit**
 5 Analysis of interview, focus group, and other qualitative data collected during monitoring activities
 6 Record reviews during monitoring activities with the **monitoring unit**
 7 Systematic reviews of formal complaints, mediations, due process hearings, and other legal actions
 8 Other: _____
 9 Other: _____

Data Collection and Analysis

20. Which of the following best describes the procedures the state lead agency was using to select **monitoring units** for monitoring (as of the *last complete monitoring period*)?

- 1 All **monitoring units** were monitored each year. → **SKIP to Item 24**
 2 A regular cycle (e.g., every 3 years) determined all of the **monitoring units** to be monitored each year.
 3 A cycle determined all of the **monitoring units** to be monitored each year, but the cycle was not regular—the frequency of the monitoring for each **monitoring unit** was determined by prior compliance or performance. → **SKIP to Item 22**
 4 Prior compliance or performance alone determined which **monitoring units** were monitored each year. → **SKIP to Item 22**
 5 A cycle determined some of the **monitoring units** selected for monitoring each year, others were selected based on prior compliance or performance. → **SKIP to Item 22**

21. If all **monitoring units** were selected for monitoring according to a regular cycle, the cycle was every _____ years. → SKIP to Item 23

22. Where prior compliance or performance contributed to the selection of **monitoring units** for monitoring, the selection criteria used by the state lead agency were related to which of the following? [Check all that apply.]

- 1 Process and procedural requirements (e.g., failure to complete paperwork or to meet timeliness requirements)
- 2 Provision of child/family services or facilitation of the provision of services (e.g., provision of speech therapy, provision of services in natural environments)
- 3 Child/family outcomes
- 4 Complaints, mediations, due process hearings, or other legal actions
- 5 Specific areas designated by the state as priorities (e.g., percentage of children identified, provision of transition services)
- 6 Other: _____

23. For the **monitoring units** that the state lead agency did not select for monitoring, which of the following activities occurred in connection with the state's overall monitoring efforts, for at least some **monitoring units**? [Check all that apply.]

- 1 The state collected and analyzed data from the **monitoring units** on compliance indicators (i.e., data related to the processes and procedures required by law).
- 2 The state collected and analyzed data from the **monitoring units** on child/family outcome indicators.
- 3 The state collected and analyzed data from the **monitoring units** on dispute resolution.
- 4 The state conducted a desk audit or review of data or documents from the **monitoring units**.
- 5 The **monitoring units** conducted a self-assessment (self-review) and reported the results to the state.
- 6 None of the above occurred.

24. For the **monitoring units** selected for monitoring, were child records reviewed?

- 1 Yes
- 2 No → SKIP to Item 30

25. Was random sampling used to select any of the child records to be reviewed for any **monitoring unit?**

- 1 Yes
 2 No → **SKIP to Item 29**

26. Which best describes the random sampling used?

- 1 Simple random sampling was used, which means one group of records was selected from all child records, and all records had an equal chance of being selected.
 → **SKIP to Item 29**
- 2 Stratified random sampling was used, which means multiple groups of records were selected from categories of children sorted according to particular characteristics such as age, disability, or race/ethnicity.
- 3 Other: _____
 _____ → **SKIP to Item 29**

27. What categories (or strata) were used for the stratified random sampling? [Check all that apply.]

- 1 Disability category
 2 Age
 3 Date of identification
 4 Race or ethnicity
 5 Setting
 6 Other: _____

28. Was oversampling (i.e., selection of a disproportionately large number from a particular category or strata) used for any of the categories?

- 1 Yes, for the following categories: _____, _____, _____
 2 No

29. What were the lowest and highest percentages of child records selected for review among the **monitoring units monitored in the last monitoring period?**

Lowest percentage of child records reviewed in a **monitoring unit**: _____%.

Highest percentage of child records reviewed in a **monitoring unit**: _____%.

30. For the **monitoring units selected for monitoring, did monitoring involve a site visit?**

- 1 Monitoring included a site visit for all selected **monitoring units**.
- 2 Monitoring included a site visit for some **monitoring units**, following a regular cycle.
- 3 Monitoring included a site visit for some **monitoring units**, based on decision criteria.
- 4 Monitoring never included a site visit.

31. Were the **monitoring units selected for monitoring required to conduct self-assessments that were incorporated into the overall monitoring and local improvement activities conducted by the state lead agency?**

- 1 Yes, all were.
- 2 Yes, some were, but not all.
- 3 No. → **SKIP to Item 33**

32. Did the state lead agency provide a standard self-assessment procedure (e.g., a standard set of elements to address, procedures for addressing those elements) for the **monitoring unit to follow?**

- 1 Yes
- 2 No

33. In the table below, indicate how often the state lead agency used each of the following data sources when monitoring a **monitoring unit** or when planning improvements. [Check one box in each row; disregard the shaded numbers.]

| Data Source | Frequency of Use for Monitoring or Improvement Planning | | | |
|--|---|--------|---------|--------|
| | Never | Rarely | Usually | Always |
| Parent survey | 1 | 2 | 3 | 4 |
| Parent interviews or focus groups | 1 | 2 | 3 | 4 |
| Early intervention specialist survey | 1 | 2 | 3 | 4 |
| Early intervention specialist interviews or focus groups | 1 | 2 | 3 | 4 |
| Advocate survey | 1 | 2 | 3 | 4 |
| Advocate interviews or focus groups | 1 | 2 | 3 | 4 |
| Site-based administrator (local program director) survey | 1 | 2 | 3 | 4 |
| Site-based administrator (local program director) interviews or focus groups | 1 | 2 | 3 | 4 |
| Monitoring unit self-assessment reports | 1 | 2 | 3 | 4 |
| Public hearings | 1 | 2 | 3 | 4 |
| Review of child folders, including review of IFSPs | 1 | 2 | 3 | 4 |
| Review of dispute resolution data (complaints, mediations, due process hearings) | 1 | 2 | 3 | 4 |
| Review of placement rate data | 1 | 2 | 3 | 4 |
| Review of child assessment data | 1 | 2 | 3 | 4 |
| Other: _____ | 1 | 2 | 3 | 4 |
| Other: _____ | 1 | 2 | 3 | 4 |

34. Did the state have an electronic database of individual child records (i.e., records that included individual child identifiers) from which information was extracted and analyzed for monitoring and improvement planning?

- 1 Yes
- 2 No → **SKIP to Item 38**

35. Indicate in the table below which data were included in the database for which age group. [Check all boxes that apply; disregard the shaded numbers.]

| Child Age Group | Data Available to State Lead Agency in Electronic Form | | | |
|-----------------|--|---|--|---|
| | Some or all child records were available for <u>all</u> monitoring units | Some or all child records were available for <u>some</u> monitoring units | Available child records included IFSPs for <u>all</u> monitoring units | Available child records included IFSPs for <u>some</u> monitoring units |
| Birth through 2 | 1 | 2 | 3 | 4 |
| 3 through 5 | 1 | 2 | 3 | 4 |

36. Did the database allow the tracking of children from Part C to Part B?

- 1 Yes
2 No

37. How often were the data updated?

- 1 Continuously
2 Monthly
3 Annually
4 Other: _____

→ After completing Item 37, SKIP to Item 42

38. Does the state have plans to establish an electronic database of individual child records?

- 1 Yes
2 No → SKIP to Item 42

39. Will the planned electronic database include child records from all **monitoring units**?

- 1 Yes
2 No

40. What ages will be included in the planned electronic database?

_____ through _____

41. On what date will the planned database be fully operational?

42. Did the state have available for monitoring and improvement planning detailed information (including summaries of issues, topics, or resolutions) from any of the following? [Check all that apply.]

- 1 Complaints
- 2 Mediations
- 3 Due process hearings
- 4 Compliance findings
- 5 Corrective actions
- 6 Local improvement plans

43. Were data regarding dispute resolution analyzed to determine whether statewide systemic noncompliance had occurred?

- 1 Yes
- 2 No

44. Were data regarding dispute resolution analyzed to determine whether local systemic noncompliance (within **monitoring units**) had occurred?

- 1 Yes
- 2 No

45. Did findings from monitoring and improvement activities lead to further evaluation in specific areas where statewide systemic noncompliance or deficiencies in performance were found?

- 1 Yes
- 2 No → SKIP to Item 47

46. Who conducted such an evaluation?

- 1 The state lead agency conducted the evaluation.
- 2 An advisory group or steering committee conducted the evaluation.
- 3 The state lead agency contracted with an independent external evaluator to conduct the evaluation.
- 4 The state lead agency required **monitoring units** to conduct self-evaluations focused on the problem area.
- 5 Other: _____

Staffing and Training**47. Did the state lead agency have an individual whose primary responsibility was to coordinate monitoring activities?**

- 1 Yes
- 2 No → **SKIP to Item 50**

48. What is that person's name? Name: _____

49. To whom did that individual report? [Please indicate the person's name and position.]

Name: _____ **Position:** _____

50. Did the state lead agency have an individual whose primary responsibility was to coordinate the improvement planning and implementation?

- 1 Yes
- 2 No → **SKIP to Item 53**

51. What is that person's name? Name: _____

52. To whom did that individual report? [Please indicate the person's name and position.]

Name: _____ **Position:** _____

53. Did the state lead agency provide training to **monitoring units regarding the requirements and procedures for collecting and reporting data used for monitoring?**

- 1 Yes
2 No → **SKIP to Item 55**

54. How frequently were personnel from **monitoring units trained on the requirements and procedures for collecting and reporting data used for monitoring?**

- 1 Only when requirements and procedures changed
2 Each time the **monitoring unit** was selected for monitoring
3 Every year, regardless of the monitoring cycle
4 Every _____ years, regardless of the monitoring cycle
5 Other: _____

55. Did the state lead agency provide training to **monitoring units regarding the requirements and procedures for collecting and reporting data used for local improvement activities?**

- 1 Yes
2 No → **SKIP to Item 57**

56. How frequently were personnel from **monitoring units trained on the requirements and procedures for collecting and reporting data used for local improvement?**

- 1 Only when requirements and procedures changed
2 Each time the **monitoring unit** was selected for monitoring
3 Every year, regardless of the monitoring cycle
4 Every _____ years, regardless of the monitoring cycle
5 Other: _____

Role of Stakeholders

57. In the table below, indicate who served on the teams that monitored **monitoring units, participated in monitoring site visits, and participated in local improvement planning or implementation. [Check all boxes that apply; disregard the shaded numbers.]**

| Persons | Served on Monitoring Teams | Participated in Monitoring Site Visits | Participated in Local Improvement Planning or Implementation |
|---|-----------------------------------|---|---|
| Staff from the state lead agency | 1 | 2 | 3 |
| Staff from the SEA (if not the state lead agency) | 1 | 2 | 3 |
| Staff from other state agencies (except Part C state lead agency) | 1 | 2 | 3 |
| Parents of children with disabilities | 1 | 2 | 3 |
| Advocates for persons with disabilities | 1 | 2 | 3 |
| Early intervention specialists | 1 | 2 | 3 |
| Related service lead agencies | 1 | 2 | 3 |
| Part C local program directors | 1 | 2 | 3 |
| Representatives of professional organizations or associations | 1 | 2 | 3 |
| Representatives from Health Department | 1 | 2 | 3 |
| Representatives from Maternal and Child Health | 1 | 2 | 3 |
| Representatives from Medicaid | 1 | 2 | 3 |
| Representatives from Head Start | 1 | 2 | 3 |
| Representatives from Child Care | 1 | 2 | 3 |
| Representatives from Child Welfare | 1 | 2 | 3 |
| Representatives from Mental Health | 1 | 2 | 3 |
| Representatives from Developmental Disabilities | 1 | 2 | 3 |
| Outside consultants | 1 | 2 | 3 |
| Other: _____ | 1 | 2 | 3 |
| Other: _____ | 1 | 2 | 3 |

58. How did the state lead agency or **monitoring unit select the specific parents of children with disabilities or disability advocates to serve on monitoring teams? [Check all that apply.]**

- 1 No parents of children with disabilities or disability advocates served on teams.
- 2 The state lead agency or **monitoring unit** selected specific individuals as representatives from a variety of organizations.
- 3 The state lead agency or **monitoring unit** invited organizations to appoint individuals to participate.
- 4 The state lead agency or **monitoring unit** selected specific individuals to represent a variety of disabilities, without regard to organizational affiliation.
- 5 The state lead agency or **monitoring unit** selected individuals from all persons who volunteered.
- 6 Other: _____

59. Did individuals who served on monitoring teams participate in training sessions or in a training program about monitoring?

- 1 Yes, all did.
- 2 Yes, some did.
- 3 No → **SKIP to Item 62**

60. When were they trained? [Check all that apply.]

- 1 Once, upon initial involvement
- 2 Prior to serving on each monitoring team
- 3 Prior to each site visit
- 4 Cyclically (e.g., annually, biannually)
- 5 Other: _____

61. On what topics were they trained? [Check all that apply.]

- 1 Relevant rules and regulations
- 2 Procedures for reviewing records
- 3 Interviewing techniques
- 4 Provision of technical assistance
- 5 Debriefing techniques
- 6 Report writing
- 7 Confidentiality
- 8 Other: _____
- 9 Other: _____

62. Did individuals who worked on local improvement planning and implementation participate in training sessions or in a training program about improvement planning and implementation?

- 1 Yes, all did.
- 2 Yes, some did.
- 3 No → **SKIP to Item 64**

63. When were they trained? [Check all that apply.]

- 1 Once, upon initial involvement
- 2 Cyclically (e.g., annually, biannually)
- 3 Other: _____

64. Did the state lead agency have a state-level steering committee specifically devoted to providing input on monitoring and improvement activities?

- 1 Yes, we had a state-level steering committee specifically dedicated to that purpose.
- 2 No, we had no dedicated group, but we used the State Interagency Coordinating Council for that purpose.
- 3 No, we had no dedicated group, but we used the state special education advisory committee or any other established group for that purpose.
- 4 No, we had no dedicated group, nor did we use any other group for that purpose. → **SKIP to Item 69**

65. Which of the following stakeholders served on the state-level committee?

- 01 Individuals with disabilities
- 02 Parents of children with disabilities
- 03 Advocates for individuals with disabilities
- 04 Early intervention personnel
- 05 Local program directors
- 06 Related services personnel
- 07 Assessment personnel
- 08 Staff from Maternal and Child Health
- 09 Staff from Medicaid
- 10 Staff from Head Start
- 11 Staff from Child Care
- 12 Staff from Child Welfare
- 13 Staff from Developmental Disabilities
- 14 Staff from other state or local agencies

66. How did the state lead agency select the specific individuals with disabilities, parents of children with disabilities, or disability advocates who participated on the state-level committee? [Check all that apply.]

- 1 No individuals with disabilities, parents of children with disabilities, or disability advocates served on the committee.
- 2 The state lead agency selected specific individuals as representatives from a variety of organizations.
- 3 The state lead agency invited organizations to appoint individuals to participate.
- 4 The state lead agency selected specific individuals to represent a variety of disabilities, without regard to organizational affiliation.
- 5 The state lead agency selected individuals from all persons who volunteered.
- 6 Other: _____

**67. In which of the following specific areas did the state-level committee provide input?
[Check all that apply.]**

- 1 Setting monitoring priorities for the state
- 2 Determining indicators or targets for the monitoring priorities
- 3 Determining criteria for selecting specific **monitoring units** to be monitored
- 4 Selecting the specific **monitoring units** to be monitored
- 5 Determining the extent of noncompliance by **monitoring units**
- 6 Reviewing **monitoring units'** responses to corrective actions
- 7 Determining priorities for local improvement planning and implementation
- 8 Other: _____

68. Did members of the state-level committee serve on the teams that monitored **monitoring units?**

- 1 Yes
- 2 No

Reporting

69. Which of the following methods did the state lead agency use to inform **monitoring units about the state's procedures for monitoring and improvement planning? [Check all that apply.]**

- 1 Procedures, forms, instructions, and indicators were distributed in hard copy to all **monitoring units**.
- 2 Procedures, forms, instructions, and indicators were available in hard copy on request.
- 3 Procedures, forms, instructions, and indicators were available on a Web site.
- 4 Announcements and explanations of changes were made at meetings.
- 5 Trainings on monitoring and improvement planning were held.
- 6 Other: _____

70. Which of the following methods did the state lead agency use to inform the public about the state’s procedures for monitoring and improvement planning? [Check all that apply.]

- 1 Procedures, forms, instructions, and indicators were available to the public on request.
- 2 Procedures, forms, instructions, and indicators were available on a public Web site.
- 3 Announcements and explanations of changes were made at meetings that all stakeholders could attend.
- 4 Trainings on monitoring and improvement planning procedures were held for stakeholders and the public.
- 5 Details of monitoring and improvement planning procedures were provided in press releases.
- 6 Other: _____

71. In the table below, indicate what types of reports the monitoring team provided to **monitoring units that were monitored and when they were provided. [Check one box in each row; disregard the shaded numbers.]**

| Type of Report | Time Report Was Provided | | | | |
|---|-----------------------------|----------------------------|---|---|--|
| | No such report was provided | At the end of a site visit | Within 1 month of completion of data collection | Within 1 to 3 months of completion of data collection | More than 3 months after completion of data collection |
| Face-to-face exit interview or debriefing | 1 | 2 | 3 | 4 | 5 |
| Oral report by telephone | 1 | 2 | 3 | 4 | 5 |
| Written report | 1 | 2 | 3 | 4 | 5 |

72. Indicate in the table below how information collected by the state lead agency regarding the results of monitoring and local improvement activities was made available to the general public. [Check all boxes that apply; disregard the shaded numbers.]

| Type of Information | Public Availability of Information | | | | | |
|--|------------------------------------|---|----------------|-----------------|-----------------------------|-------------------------------------|
| | Publicly available print reports | Postings on publicly accessible Web sites | Press releases | Only on request | Not available to the public | State did not have this information |
| Individual monitoring unit self-assessment scores/results | 1 | 2 | 3 | 4 | 5 | 6 |
| Aggregated monitoring unit self-assessment scores/results | 1 | 2 | 3 | 4 | 5 | 6 |
| Individual monitoring unit scores on compliance indicators | 1 | 2 | 3 | 4 | 5 | 6 |
| Aggregated monitoring unit scores on compliance indicators | 1 | 2 | 3 | 4 | 5 | 6 |
| Monitoring unit rank on individual compliance indicators | 1 | 2 | 3 | 4 | 5 | 6 |
| Monitoring unit rank on aggregated compliance indicators | 1 | 2 | 3 | 4 | 5 | 6 |
| Individual monitoring unit corrective actions | 1 | 2 | 3 | 4 | 5 | 6 |
| Aggregated monitoring unit corrective actions | 1 | 2 | 3 | 4 | 5 | 6 |
| Individual local improvement plans | 1 | 2 | 3 | 4 | 5 | 6 |
| Aggregated local improvement plans | 1 | 2 | 3 | 4 | 5 | 6 |
| Other: _____ | 1 | 2 | 3 | 4 | 5 | 6 |
| Other: _____ | 1 | 2 | 3 | 4 | 5 | 6 |

Process for State and Local Improvement

73. In the table below, indicate the types of analysis used to support decisions related to corrective actions and local improvement planning or implementation. [Check all boxes that apply; disregard the shaded numbers.]

| Type of Analysis | Used for Decisions Related to Corrective Actions | Used for Decisions Related to Local Improvement Planning or Implementation |
|---|--|--|
| Comparing levels of compliance or performance to targets set for that monitoring unit | 1 | 2 |
| Comparing present levels of compliance or performance to the monitoring unit's own baseline | 1 | 2 |
| Determining trends for the monitoring unit and comparing those to the monitoring unit's current compliance or performance | 1 | 2 |
| Comparing areas of strength to areas of weakness within the monitoring unit | 1 | 2 |
| Comparing levels of compliance or performance to standards that apply to all monitoring units in the state | 1 | 2 |
| Comparing levels of compliance or performance to the levels for other monitoring units in the state | 1 | 2 |
| Other: _____ | 1 | 2 |

74. In the table below, estimate how frequently the actions listed were required of **monitoring units** as part of corrective actions or as part of local improvement planning and implementation. [Check two boxes in each row; disregard the shaded numbers.]

| Action Required of Monitoring Units | Frequency of Requirement Under Corrective Actions | | | | Frequency of Requirement for Improvement Activities | | | |
|--|--|-------------------|---------|--------|--|-------------------|---------|--------|
| | Never | Occa- sionally | Usually | Always | Never | Occa- sionally | Usually | Always |
| Convene panels or committees | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Implement existing policies and procedures | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Make additions or changes to policies or procedures | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Review and correct records (including IFSPs) | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Provide or obtain professional development or training | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Provide or obtain technical assistance | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Systemically review records | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Collect additional data | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Conduct additional self-assessment | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Prepare additional reports for the state lead agency | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Hire additional staff or better qualified staff | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Other: _____ _____ | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Other: _____ _____ | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Other: _____ _____ | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |

75. Estimate in the table below how frequently the state lead agency took the actions listed in support of corrective actions or local improvement planning and implementation by **monitoring units**. [Check two boxes in each row; disregard the shaded numbers.]

| Action by the Lead Agency | Frequency of Action Supporting Corrective Actions | | | | Frequency of Action Supporting Improvement Activities | | | |
|--|---|--------------|---------|--------|---|--------------|---------|--------|
| | Never | Occasionally | Usually | Always | Never | Occasionally | Usually | Always |
| Provided additional funds to the monitoring unit | 1 | 2 | 3 | 4 | 1 | 2 | 4 | 4 |
| Provided professional development or training for monitoring unit personnel | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Provided technical assistance to monitoring unit personnel | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Conducted additional data collection and analysis | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Conducted follow-up site visits or desk audits | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Prepared additional reports | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Facilitated interagency communication | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Other: _____ _____ | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Other: _____ _____ | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Other: _____ _____ | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |

76. What procedures did the state lead agency follow in monitoring progress on corrective actions?

- 1 Progress on corrective actions was not monitored by the state lead agency.
- 2 Progress on corrective actions was noted and addressed the next time the **monitoring unit** was selected for monitoring but was not followed in the interim.
- 3 **Monitoring units** were required to take the initiative on corrective actions and report progress to the state lead agency.
- 4 State lead agency staff took the initiative to follow up with **monitoring units** on corrective actions, possibly including conducting a follow-up visit to the **monitoring unit**.
- 5 Other: _____

77. What procedures did the state lead agency follow in monitoring progress on local improvement plans?

- 1 Progress on plans was not monitored by the state lead agency.
- 2 Progress on plans was noted and addressed the next time the **monitoring unit** was selected for monitoring but was not followed in the interim.
- 3 **Monitoring units** were required to take the initiative on improvement plans and report progress to the state lead agency according to a schedule.
- 4 State lead agency staff took the initiative to follow up with **monitoring units** on improvement plans, possibly including conducting a follow-up visit to the **monitoring unit**.
- 5 Other: _____

78. Did the state lead agency examine the relationship between (a) findings from the review of a **monitoring unit's compliance with the processes and procedures required by law and requirements to provide appropriate services and (b) the **monitoring unit's** child/family outcomes?**

- 1 Yes
- 2 No → **SKIP to Item 80**

79. What kind of analysis did the state lead agency conduct? [Check all that apply.]

- 1 A cross-sectional statistical analysis comparing compliance data to outcome data across **monitoring units** at a single point in time
- 2 A longitudinal statistical analysis comparing compliance data to outcome data over time within a **monitoring unit**
- 3 A qualitative analysis that used expert informants to provide evidence of links between compliance and outcomes within a **monitoring unit**
- 4 An informal analysis based on the judgment of state lead agency staff
- 5 Other: _____

80. How did the state reward **monitoring units for reducing noncompliance? [Check all that apply.]**

- 1 Proclamations, public commendation, or awards
- 2 Additional funds or monetary awards
- 3 Less frequent monitoring
- 4 Other: _____
- 5 Other: _____
- 6 State used no rewards

81. Did the state lead agency have written guidelines or procedures outlining the specific incentives the state would use with **monitoring units to reduce noncompliance?**

- 1 Yes
- 2 No

82. How did the state reward **monitoring units to encourage local improvement planning and implementation? [Check all that apply.]**

- 1 Proclamations, public commendation, or awards
- 2 Additional funds or monetary awards
- 3 Less frequent monitoring
- 4 Other: _____
- 5 Other: _____
- 6 State used no rewards

83. Did the state lead agency have written guidelines or procedures outlining the specific incentives the state would use with **monitoring units to encourage local improvement activities?**

- 1 Yes
- 2 No

84. What sanctions did the state have authority to use in the event of noncompliance by a **monitoring unit? [Check all that apply.]**

- 1 Negotiating a compliance agreement
- 2 Imposing restrictions or special conditions on the use of funds
- 3 Withholding funds in whole or in part
- 4 Obtaining a “cease and desist” order
- 5 Referring the noncompliant entity to the state attorney general
- 6 Other: _____

85. What factors did the state lead agency consider in deciding whether to impose a sanction? [Check all that apply.]

- 1 Duration of noncompliance
- 2 Extent (breadth) of noncompliance
- 3 Severity of the noncompliance
- 4 Trend of noncompliance
- 5 Effort made to correct the problem
- 6 Whether the problem was related to provision of services versus procedural requirements
- 7 Other: _____

86. Did the state lead agency have written guidelines or procedures outlining the specific sanctions that would occur for specific types of noncompliance?

- 1 Yes
- 2 No

87. Did the state lead agency use materials, procedural guidelines, or technical assistance related to monitoring and improvement planning that were provided by any of the following? [Check all that apply.]

- 01 Regional Resource Centers (RRCs)
- 02 Center for Appropriate Dispute Resolution in Special Education (CADRE)
- 03 National Early Childhood Technical Assistance Center (NECTAC)
- 04 National Center for Special Education Accountability Monitoring (NCSEAM)
- 05 Early Childhood Outcome Center (ECO)
- 06 Other OSEP-funded projects: _____,

- 07 Other Department of Education-funded projects: _____,

- 08 In-state university or university-affiliated consultants
- 09 Out-of-state university or out-of-state university-affiliated consultants
- 10 Private consultants or private organizations
- 11 Professional organizations: _____,

- 12 Other: _____
- 13 None of the above

88. In regard to the preparation of early intervention and other personnel, did findings from monitoring influence practices at universities in the state?

- 01 Yes
- 02 No → **SKIP to Item 90**
- 03 Don't know → **SKIP to Item 90**

89. In what ways did findings from monitoring influence practices at universities in the state? [Check all that apply.]

- 1 Findings were considered by state agencies when deciding which personnel preparation programs to license or support.
- 2 Findings were used by faculty in deciding what type of technical assistance or professional development to offer.
- 3 Findings were used by the state in considering what university-based technical assistance or professional development to support.
- 4 Findings were used by faculty for curriculum planning.
- 5 Other: _____
- 6 Other: _____

90. Were monitoring findings used by other departments and divisions in the state lead agency or by other state agencies?

- 1 Yes
- 2 No → **SKIP to Item 92**
- 3 Don't know → **SKIP to Item 92**

91. List departments, divisions, or other agencies using monitoring findings:

History of Monitoring and Improvement

92. Indicate in the table below how monitoring has changed in the state since the enactment of the *IDEA* amendments of 1997. [Check one box in each row; disregard the shaded numbers.]

| | Greatly decreased | Slightly decreased | Stayed About the Same | Slightly increased | Greatly increased |
|--|-------------------|--------------------|-----------------------|--------------------|-------------------|
| Since 1997 . . . | | | | | |
| parent input to the planning of monitoring procedures has . . . | 1 | 2 | 3 | 4 | 5 |
| other stakeholder input to the planning of monitoring procedures has . . . | 1 | 2 | 3 | 4 | 5 |
| parent involvement in data collection and analysis activities has . . . | 1 | 2 | 3 | 4 | 5 |
| other stakeholder involvement in data collection and analysis activities has . . . | 1 | 2 | 3 | 4 | 5 |
| public awareness of monitoring and improvement activities has . . . | 1 | 2 | 3 | 4 | 5 |
| use of data in planning the state lead agency’s monitoring and improvement activities has . . . | 1 | 2 | 3 | 4 | 5 |
| the number or frequency of site visits to monitoring units to collect information has . . . | 1 | 2 | 3 | 4 | 5 |
| the focus on child/family outcomes has . . . | 1 | 2 | 3 | 4 | 5 |
| the emphasis on compliance issues such as process and procedural requirements has . . . | 1 | 2 | 3 | 4 | 5 |
| public reporting of monitoring findings, by individual monitoring units , has . . . | 1 | 2 | 3 | 4 | 5 |
| public reporting of monitoring findings, aggregated across monitoring units , has . . . | 1 | 2 | 3 | 4 | 5 |
| the frequency of monitoring unit self-assessments has . . . | 1 | 2 | 3 | 4 | 5 |
| other area (specify: _____) has . . . | 1 | 2 | 3 | 4 | 5 |
| other area (specify: _____) has . . . | 1 | 2 | 3 | 4 | 5 |

93. What special situations in the state have played a role in shaping monitoring and improvement activities since 1997? [Check all that apply.]

- 1 None
- 2 Consent decree or settlement of a lawsuit
- 3 Pending litigation
- 4 State law that requires a specific monitoring methodology
- 5 State law that limits data collection by the state lead agency
- 6 State law that specifically limits extent of monitoring activities by the state lead agency
- 7 State law that limits the number of state lead agency staff devoted to monitoring activities
- 8 Other: _____
- 9 Other: _____

94. Has the performance of the state lead agency in conducting monitoring and improvement activities been formally evaluated since 1997?

- 1 Yes
- 2 No → **SKIP to Item 98**

95. How was the state lead agency's performance evaluated? [Check all that apply.]

- 1 The state lead agency conducted a self-evaluation.
- 2 An advisory group or steering committee evaluated the state lead agency's performance.
- 3 The state lead agency contracted with an independent external evaluator to assess the agency's performance.
- 4 Other: _____

96. Did this evaluation include an opportunity for **monitoring units to provide feedback on the state lead agency's performance?**

- 1 Yes
- 2 No

97. How was it decided that an evaluation was needed? [Check all that apply.]

- 1 State lead agency performance is evaluated every _____ year(s) according to a fixed schedule.
- 2 An advisory group or steering committee decided an evaluation was needed.
- 3 State lead agency administrators decided an evaluation was needed.
- 4 Evaluation occurs only in response to impending OSEP monitoring activities in the state.
- 5 Other: _____

98. What was the last year the state lead agency made major revisions to the state's procedures for monitoring and improvement activities? _____

99. Please describe important changes, if any, that you have made to the state's monitoring and improvement activities since the last monitoring period (i.e., since the time period covered by this survey).

100. Does the state have a plan for additional major changes in procedures for monitoring and improvement activities?

- 1 Yes, with changes scheduled to be put in place in the year _____ (e.g., 2006)
- 2 No

CONTACT INFORMATION

Please provide us with your name, title, address, phone number, and email address in case we need to contact you to clarify your responses to any of these questions.

Name _____

Title _____

Address _____

Phone _____

Fax _____

Email _____

Thank you for completing this questionnaire.

WESTAT
1650 Research Boulevard, Room RA 1221A
Rockville, MD 20850

Appendix D

Data Tables for Part B Monitoring Evaluation Questionnaire

Table D-1. Number and percentage of states whose monitoring and improvement planning focused on a select set of areas or priorities: School year 2004-05

| Response options | Percent of | |
|--|------------------|----------------------|
| | Number of states | all states [N=51] |
| Focused on a select set of areas or priorities | 44 | 86 |
| Did not use focus areas | 7 | 14 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-2. Number and percentage of states using the same focus areas or priorities for all LEAs in the state: School year 2004-05

| Response options | Number of states | Percent of | |
|--|------------------|----------------------|---------------------------------------|
| | | All states [N=51] | States using focus areas [n=44] |
| Did not use focus areas | 7 | 14 | † |
| Same focus areas/priorities for all LEAs | 41 | 80 | 93 |
| Not the same focus areas/priorities for all LEAs | 3 | 6 | 7 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-3. Number and percentage of states using specific focus areas for monitoring and improvement planning, by focus area: School year 2004-05

| Focus area | Number of states | Percent of | |
|--|------------------|----------------------|---------------------------------------|
| | | All states [N=51] | States using focus areas [n=44] |
| Did not use focus areas | 7 | 14 | † |
| Child find | 16 | 31 | 36 |
| Access to the general education curriculum | 30 | 59 | 68 |
| LRE/placement | 35 | 69 | 80 |
| IEP/IFSP requirements/procedures | 26 | 51 | 59 |
| Dispute resolution | 11 | 22 | 25 |
| Procedural safeguards | 14 | 27 | 32 |
| Staffing levels | 8 | 16 | 18 |
| Personnel qualifications | 16 | 31 | 36 |
| Performance on child/student assessments | 28 | 55 | 64 |
| Disproportionality of racial/ethnic groups | 26 | 51 | 59 |
| Transition to preschool | 20 | 39 | 45 |
| Transition to kindergarten | 7 | 14 | 16 |
| Dropout rates | 27 | 53 | 61 |
| Graduation | 29 | 57 | 66 |
| Suspension and expulsion | 26 | 51 | 59 |
| Postsecondary transition | 23 | 45 | 52 |
| Eligibility evaluation ¹ | 2 | 4 | 5 |
| Discipline ¹ | 1 | 2 | 2 |
| Staff development ¹ | 1 | 2 | 2 |
| Psychological counseling ¹ | 1 | 2 | 2 |
| Extended school year ¹ | 2 | 4 | 5 |
| Other focus areas | 9 | 18 | 20 |

†Not applicable.

¹This category did not appear in the questionnaire. It was constructed from other state specified responses.

NOTE: States could select more than one focus area, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring and Evaluation Questionnaire.

Table D-4. Number and percentage of states using various methods to select focus areas for monitoring and improvement planning, by method of selection: School year 2004-05

| Method of selection | Number of states | Percent of | |
|--|------------------|----------------------|---------------------------------------|
| | | All states [N=51] | States using focus areas [n=44] |
| Did not use focus areas | 7 | 14 | † |
| Analyzed Section 618 data | 33 | 65 | 75 |
| Compiled/analyzed dispute resolution data | 21 | 41 | 48 |
| Analyzed assessment results | 26 | 51 | 59 |
| Analyzed AYP subgroup data | 16 | 31 | 36 |
| Analyzed results from recent LEA monitoring | 25 | 49 | 57 |
| Analyzed LEA applications for funds | 9 | 18 | 20 |
| Analyzed LEA self-assessments | 21 | 41 | 48 |
| Analyzed LEA policies/procedures | 13 | 25 | 30 |
| Analyzed findings from stakeholder surveys | 7 | 14 | 16 |
| Consulted with/followed recommendations of OSEP staff | 18 | 35 | 41 |
| Consulted with/followed recommendations of state-level committee | 20 | 39 | 45 |
| Consulted with/followed recommendations of an advisory group | 24 | 47 | 55 |
| Used other methods | 10 | 20 | 23 |

†Not applicable.

NOTE: States could select more than one method, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-5. Number and percentage of states with specific indicators for each focus area: School year 2004-05

| Response options | Number of states | Percent of | |
|----------------------------------|------------------|----------------------|---------------------------------------|
| | | All states [N=51] | States using focus areas [n=44] |
| Did not use focus areas | 7 | 14 | † |
| Had specific indicators | 37 | 73 | 84 |
| Did not have specific indicators | 7 | 14 | 16 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-6. Number and percentage of states with specific targets related to the indicators for each focus area: School year 2004-05

| Response options | Number of states | Percent of | |
|---|------------------|----------------------|---|
| | | All states [N=51] | States with specific indicators [n=37] |
| Did not use focus areas | 7 | 14 | † |
| Did not have specific indicators | 7 | 14 | † |
| Specific targets for all focus areas | 19 | 37 | 51 |
| Specific targets for some, but not all, focus areas | 10 | 20 | 27 |
| No specific targets | 8 | 16 | 22 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.**Table D-7. Number and percentage of states that coordinated monitoring of LEAs under IDEA with monitoring activities of other programs: School year 2004-05**

| Response options | Number of states | Percent of all states |
|--|------------------|-----------------------|
| | | [N=51] |
| Coordinated with other programs | 19 | 37 |
| Did not coordinate with other programs | 32 | 63 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-8. Number and percentage of states that coordinated monitoring under IDEA with other programs, by program type: School year 2004-05

| Program type | Number of states | Percent of | |
|--|------------------|----------------------|----------------------------------|
| | | All states [N=51] | States that coordinate [n=19] |
| Did not coordinate monitoring with other programs | 32 | 63 | † |
| General education (overall) | 13 | 25 | 68 |
| Title 1 | 13 | 25 | 68 |
| Head Start | 0 | 0 | 0 |
| Mental Health | 1 | 2 | 5 |
| Developmental Disabilities | 2 | 4 | 11 |
| Charter schools ¹ | 1 | 2 | 5 |
| Statewide correspondence schools ¹ | 1 | 2 | 5 |
| Vocational/technical educational programs ¹ | 4 | 8 | 21 |
| Civil Rights programs ¹ | 1 | 2 | 5 |
| English Language Education ¹ | 1 | 2 | 5 |
| Nutrition programs ¹ | 1 | 2 | 5 |
| Homeless education assistance programs ¹ | 1 | 2 | 5 |
| Other program type | 2 | 4 | 11 |

†Not applicable.

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one type of program, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-9. Number and percentage of states devoting monitoring and improvement efforts to various accountability areas, by accountability area and percent of effort: School year 2004-05

| Accountability area and percent of effort | Number of states | Percent of all states [N=51] |
|--|------------------|------------------------------|
| Ensuring that process and procedural requirements are met | | |
| 0% | 1 | 2 |
| 1-20% | 8 | 16 |
| 21-40% | 28 | 55 |
| 41-60% | 10 | 20 |
| 61-80% | 4 | 8 |
| 81-99% | 0 | 0 |
| 100% | 0 | 0 |
| Ensuring that requirements to provide appropriate services are met | | |
| 0% | 1 | 2 |
| 1-20% | 11 | 22 |
| 21-40% | 28 | 55 |
| 41-60% | 10 | 20 |
| 61-80% | 1 | 2 |
| 81-99% | 0 | 0 |
| 100% | 0 | 0 |
| Improving child outcomes directly by improving practices | | |
| 0% | 2 | 4 |
| 1-20% | 19 | 37 |
| 21-40% | 20 | 39 |
| 41-60% | 6 | 12 |
| 61-80% | 3 | 6 |
| 81-99% | 0 | 0 |
| 100% | 1 | 2 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-10. Number and percentage of states that identified statewide systemic noncompliance requiring special attention and systemic remedies: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--|------------------|------------------------------|
| Identified statewide noncompliance | 26 | 51 |
| Did not identify statewide noncompliance | 25 | 49 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-11. Number and percentage of states using various methods to identify statewide systemic noncompliance, by method used: School year 2004-05

| Method | Number of states | Percent of | |
|---|------------------|-------------------|---|
| | | All states [N=51] | States that identified statewide noncompliance [n=26] |
| Did not identify statewide noncompliance | 25 | 49 | † |
| Analyzed statewide quantitative child outcome data | 15 | 29 | 58 |
| Analyzed LEA self-assessments | 14 | 27 | 54 |
| Used statewide parent/stakeholder surveys | 6 | 12 | 23 |
| Used public forums | 6 | 12 | 23 |
| Used parent/stakeholder surveys conducted during LEA monitoring | 10 | 20 | 38 |
| Analyzed qualitative data collected during LEA monitoring | 16 | 31 | 62 |
| Used record reviews during LEA monitoring | 23 | 45 | 88 |
| Used systemic review of dispute resolution data | 21 | 41 | 81 |
| Used other methods | 4 | 8 | 15 |

†Not applicable.

NOTE: States could select more than one method, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-12. Number and percentage of states that identified local systemic noncompliance that required special attention and systemic remedies: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--------------------------------------|------------------|------------------------------|
| Identified local noncompliance | 48 | 94 |
| Did not identify local noncompliance | 3 | 6 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-13. Number and percentage of states that identified local systemic noncompliance, by method used: School year 2004-05

| Method | Number of states | Percent of | |
|---|------------------|----------------------|---------------------------------------|
| | | All states [N=51] | States using focus areas [n=48] |
| Did not identify local noncompliance | 3 | 6 | † |
| Analyzed quantitative child outcomes data | 31 | 61 | 65 |
| Analyzed LEA self-assessments | 36 | 71 | 75 |
| Used survey of parents from LEA | 26 | 51 | 54 |
| Used public forums | 14 | 27 | 29 |
| Used survey of other stakeholders from LEA | 14 | 27 | 29 |
| Analyzed qualitative data collected during LEA monitoring | 37 | 73 | 77 |
| Used record reviews during LEA monitoring | 47 | 92 | 98 |
| Used systemic review of dispute resolution data | 39 | 76 | 81 |
| Analyzed policies, plans, procedures ¹ | 3 | 6 | 6 |
| Used other methods | 6 | 12 | 13 |

†Not applicable.

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one method, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-14. Number and percentage of states with different numbers of LEAs under their General Supervision responsibility, by type of LEA: School year 2004-05

| Type of LEA | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Public LEAs or districts | | |
| 1-99 | 17 | 33 |
| 100-199 | 12 | 24 |
| 200-499 | 11 | 22 |
| 500-999 | 8 | 16 |
| 1,000 or more | 2 | 4 |
| Cooperatives, intermediate units, service centers, etc. | | |
| 0 | 23 | 45 |
| 1-20 | 14 | 27 |
| 21-40 | 9 | 18 |
| 41-60 | 2 | 4 |
| 61-80 | 1 | 2 |
| 81-100 | 0 | 0 |
| More than 100 | 1 | 2 |
| State-operated schools/programs | | |
| 0 | 6 | 12 |
| 1-5 | 35 | 69 |
| 6-10 | 3 | 6 |
| 11-50 | 4 | 8 |
| 51-100 | 2 | 4 |
| 101-500 | 0 | 0 |
| More than 500 | 0 | 0 |
| Charter schools that are autonomous LEAs | | |
| 0 | 22 | 43 |
| 1-5 | 8 | 16 |
| 6-10 | 2 | 4 |
| 11-50 | 8 | 16 |
| 51-100 | 4 | 8 |
| 101-500 | 6 | 12 |
| More than 500 | 0 | 0 |
| Private schools [only those for which a regular LEA is not responsible] | | |
| 0 | 29 | 57 |
| 1-5 | 5 | 10 |
| 6-10 | 1 | 2 |
| 11-50 | 4 | 8 |
| 51-100 | 3 | 6 |
| 101-500 | 8 | 16 |
| More than 500 | 0 | 0 |

Table D-14. Number and percentage of states with different numbers of LEAs under their General Supervision responsibility, by type of LEA: School year 2004-05—Continued

| Type of LEA | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Juvenile and adult corrections LEAs or districts ¹ | | |
| 0 | 48 | 94 |
| 1-5 | 1 | 2 |
| 6-10 | 2 | 4 |
| 11-50 | 0 | 0 |
| 51-100 | 0 | 0 |
| 101-500 | 0 | 0 |
| More than 500 | 0 | 0 |
| Other entities | | |
| 0 | 38 | 75 |
| 1-5 | 9 | 18 |
| 6-10 | 0 | 0 |
| 11-50 | 2 | 4 |
| 51-100 | 1 | 2 |
| 101-500 | 0 | 0 |
| More than 500 | 0 | 0 |
| Total number of LEAs under SEA's General Supervision | | |
| 1-99 | 14 | 27 |
| 100-199 | 9 | 18 |
| 200-499 | 13 | 25 |
| 500-999 | 9 | 18 |
| 1,000 or more | 5 | 10 |

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-15. Number and percentage of states using various procedures to select LEAs for monitoring: School year 2004-05

| Procedures | Number of states | Percent of all |
|--|------------------|------------------|
| | | states [N=51] |
| Monitored all LEAs each year | 3 | 6 |
| Used regular cycle to select LEAs | 20 | 39 |
| Used cycle to select LEAs, but cycle was not regular; frequency of monitoring for each LEA determined by prior compliance or performance | 5 | 10 |
| Used prior compliance or performance alone to select LEAs | 13 | 25 |
| Used a cycle to select some LEAs; others selected based on prior compliance or performance | 9 | 18 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-16. Number and percentage of states using a regular cycle to select LEAs for monitoring, by length of cycle: School year 2004-05

| Length of cycle | Number of states | Percent of | |
|-----------------------------|------------------|----------------------|--|
| | | All states [N=51] | States using a regular cycle [n=20] |
| Did not use a regular cycle | 31 | 61 | † |
| 2 years | 1 | 2 | 5 |
| 3 years | 1 | 2 | 5 |
| 4 years | 3 | 6 | 15 |
| 5 years | 9 | 18 | 45 |
| 6 years | 6 | 12 | 30 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-17. Number and percentage of states that used various compliance or performance criteria to select LEAs for monitoring, by selection criteria: School year 2004-05

| Selection criteria | Number of states | Percent of | |
|--|------------------|----------------------|---|
| | | All states [N=51] | States that used prior compliance/performance [n=28] |
| Did not use prior compliance/performance | 23 | 45 | † |
| Process and procedural requirements | 12 | 24 | 43 |
| Provision of services | 14 | 27 | 50 |
| Child outcomes data | 20 | 39 | 71 |
| Dispute resolution data | 17 | 33 | 61 |
| SEA designated priorities | 20 | 39 | 71 |
| Other selection criteria | 2 | 4 | 7 |

†Not applicable.

NOTE: States could select more than one selection criterion, therefore, the Percent columns will not sum to 100.
SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-18. Number and percentage of states that used various monitoring-related activities for LEAs not selected for monitoring, by activity: School year 2004-05

| Activity | Number of states | Percent of | |
|---|------------------|----------------------|-------------------------------------|
| | | All states [N=51] | States that selected LEAs [n=48] |
| All LEAs monitored | 3 | 6 | † |
| Collected/analyzed compliance indicator data | 23 | 45 | 48 |
| Collected/analyzed child outcome indicator data | 29 | 57 | 60 |
| Collected/analyzed dispute resolution data | 30 | 59 | 63 |
| Conducted desk audit or review of data/documents | 22 | 43 | 46 |
| LEA conducted self-assessment and reported results to SEA | 19 | 37 | 40 |
| None of the above occurred | 6 | 12 | 13 |

†Not applicable.

NOTE: States could select more than one activity, therefore, the Percent columns will not sum to 100.
SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-19. Number and percentage of states selecting different numbers of LEAs for monitoring, by type of LEA: School year 2004-05

| Type of LEA | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Public LEAs or districts | | |
| 0 | 0 | 0 |
| 1-5 | 6 | 12 |
| 6-10 | 10 | 20 |
| 11-50 | 16 | 31 |
| 51-100 | 8 | 16 |
| 101-500 | 6 | 12 |
| More than 500 | 1 | 2 |
| Cooperatives, intermediate units, etc. | | |
| 0 | 32 | 63 |
| 1 | 4 | 8 |
| 2 | 3 | 6 |
| 3 | 3 | 6 |
| 4 or more | 5 | 10 |
| State-operated schools/programs | | |
| 0 | 33 | 65 |
| 1 | 6 | 12 |
| 2 | 3 | 6 |
| 3 | 2 | 4 |
| 4 or more | 3 | 6 |
| Charter schools that are autonomous LEAs | | |
| 0 | 30 | 59 |
| 1-5 | 6 | 12 |
| 6-10 | 4 | 8 |
| 11-50 | 5 | 10 |
| 51-100 | 2 | 4 |
| 101-500 | 0 | 0 |
| More than 500 | 0 | 0 |
| Private schools [for which a regular LEA is not responsible] | | |
| 0 | 34 | 67 |
| 1-5 | 5 | 10 |
| 6-10 | 1 | 2 |
| 11-50 | 5 | 10 |
| 51-100 | 1 | 2 |
| 101-500 | 1 | 2 |
| More than 500 | 0 | 0 |
| Juvenile and adult corrections LEAs or districts ¹ | | |
| 0 | 46 | 90 |
| 1 | 3 | 6 |
| 2 | 2 | 4 |
| 3 | 0 | 0 |
| 4 or more | 0 | 0 |

Data Tables for Part B Monitoring Evaluation Questionnaire

Table D-19. Number and percentage of states selecting different numbers of LEAs for monitoring, by type of LEA: School year 2004-05—Continued

| Type of LEA | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Other entities | | |
| 0 | 43 | 84 |
| 1 | 0 | 0 |
| 2 | 1 | 2 |
| 3 | 0 | 0 |
| 4 or more | 3 | 6 |
| Total number of LEAs selected for monitoring | | |
| 1-10 | 9 | 18 |
| 11-20 | 9 | 18 |
| 21-50 | 10 | 20 |
| 51-100 | 8 | 16 |
| 101-200 | 8 | 16 |
| More than 200 | 3 | 6 |

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-20. Number and percentage of states that reviewed child records in LEAs selected for monitoring: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|----------------------------|------------------|---------------------------------|
| Child records reviewed | 50 | 98 |
| Child records not reviewed | 0 | 0 |
| Nonresponse | 1 | 2 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-21. Number and percentage of states that used random sampling to select child records for review: School year 2004-05

| Response options | Number of states | Percent of | |
|----------------------------|------------------|----------------------|--|
| | | All states [N=51] | States that reviewed records [n=50] |
| Child records not reviewed | 0 | 0 | † |
| Random sampling used | 46 | 90 | 90 |
| Random sampling not used | 4 | 8 | 8 |
| Nonresponse | 1 | 2 | 2 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-22. Number and percentage of states that used random sampling to select child records for review, by type of random sampling used: School year 2004-05

| Type of random sampling | Number of states | Percent of | |
|---------------------------------------|------------------|----------------------|--|
| | | All states [N=51] | States that used random sampling [n=46] |
| Random sampling not used ¹ | 5 | 10 | † |
| Simple random sampling used | 5 | 10 | 11 |
| Stratified random sampling used | 38 | 75 | 83 |
| Other type of sampling used | 3 | 6 | 7 |

†Not applicable.

¹Includes child records not reviewed and nonresponse.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-23. Number and percentage of states that used stratified random sampling, by categories (strata) used: School year 2004-05

| Categories (strata) | Number of states | Percent of | |
|---|------------------|----------------------|---|
| | | All states [N=51] | States that used stratified random sampling [n=38] |
| Did not use stratified random sampling ¹ | 13 | 25 | † |
| Disability category | 35 | 69 | 92 |
| Age or grade level | 38 | 75 | 100 |
| Race or ethnicity | 18 | 35 | 47 |
| Educational environment | 28 | 55 | 74 |
| Date of identification | 9 | 18 | 24 |
| Transfers | 10 | 20 | 26 |
| Triennials | 10 | 20 | 26 |
| English language learners | 9 | 18 | 24 |
| Other category (strata) used | 6 | 12 | 16 |

†Not applicable.

¹In addition to other types of sampling, this includes child records not reviewed and nonresponse.

NOTE: States could select more than one category, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-24a. Number and percentage of states that used oversampling for one or more categories: School year 2004-05

| Response options | Number of states | Percent of | |
|---|------------------|----------------------|---|
| | | All states [N=51] | States that used stratified random sampling [n=38] |
| Did not use stratified random sampling ¹ | 13 | 25 | † |
| Used oversampling | 13 | 25 | 34 |
| Did not use oversampling | 25 | 49 | 66 |

†Not applicable.

¹In addition to other types of sampling, this includes child records not reviewed and nonresponse.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-24b. Number and percentage of states that oversampled specific categories, by category: School year 2004-05

| Category | Number of states | Percent of | |
|---|------------------|----------------------|--|
| | | All states [N=51] | States that used oversampling [n=13] |
| Did not use stratified random sampling ¹ | 13 | 25 | † |
| Oversampling not used | 25 | 49 | † |
| Disability category | 7 | 14 | 54 |
| Race/ethnicity | 3 | 6 | 23 |
| Initial evaluations | 1 | 2 | 8 |
| Speech/language | 2 | 4 | 15 |
| Age or grade level | 2 | 4 | 15 |
| Related services | 1 | 2 | 8 |
| English language learners | 1 | 2 | 8 |
| Educational environment | 1 | 2 | 8 |
| Previous year's dropouts | 1 | 2 | 8 |

†Not applicable.

¹In addition to other types of sampling, this includes child records not reviewed and nonresponse.

NOTE: States could oversample more than one category, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table D-25. Number and percentage of states that reviewed various percentages of child records, by lowest and highest percentage of records reviewed in an LEA: School year 2004-05

| Percent of records | Number of states | Percent of all states [N=51] |
|---------------------------|------------------|---------------------------------|
| Lowest percentage | | |
| ≤1% | 3 | 6 |
| 1-4% | 17 | 33 |
| 5-9% | 10 | 20 |
| 10-19% | 12 | 24 |
| 20-50% | 3 | 6 |
| 51-99% | 0 | 0 |
| 100% | 1 | 2 |
| Highest percentage | | |
| 1-9% | 3 | 6 |
| 10-19% | 12 | 24 |
| 20-29% | 10 | 20 |
| 30-39% | 3 | 6 |
| 40-49% | 2 | 4 |
| 50-99% | 2 | 4 |
| 100% | 13 | 25 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-26. Number and percentage of states where LEA monitoring involved a site visit: School year 2004-05

| Responses options | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Site visit for all selected LEAs | 35 | 69 |
| Site visit for some LEAs, following a regular cycle | 2 | 4 |
| Site visit for some LEAs, based on decision criteria | 11 | 22 |
| Monitoring never include a site visit | 0 | 0 |
| More than one response selected | 3 | 6 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-27. Number and percentage of states where selected LEAs were required to conduct self-assessments: School year 2004-05

| Response options | Percent of | |
|---|------------------|----------------------|
| | Number of states | all states [N=51] |
| All selected LEAs conducted self-assessments | 36 | 71 |
| Some selected LEAs conducted self-assessments | 6 | 12 |
| No selected LEAs conducted self-assessments | 9 | 18 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-28. Number and percentage of states that provided a standard self-assessment procedure for LEAs to follow: School year 2004-05

| Response options | Percent of | | |
|--|------------------|----------------------|--|
| | Number of states | All states [N=51] | States where LEAs conducted self-assessments [n=42] |
| LEAs did not conduct self-assessments | 9 | 18 | † |
| SEA provided a standard procedure | 41 | 80 | 98 |
| SEA did not provide a standard procedure | 1 | 2 | 2 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-29. Number and percentage of states using various data sources when monitoring LEAs or planning improvements, by data source and frequency of use: School year 2004-05

| Data source and frequency | Number of states | Percent of all states [N=51] |
|---|------------------|------------------------------|
| Parent survey | | |
| Never | 11 | 22 |
| Rarely | 5 | 10 |
| Usually | 8 | 16 |
| Always | 27 | 53 |
| Parent interviews or focus groups | | |
| Never | 8 | 16 |
| Rarely | 6 | 12 |
| Usually | 10 | 20 |
| Always | 27 | 53 |
| Teacher survey | | |
| Never | 26 | 51 |
| Rarely | 3 | 6 |
| Usually | 7 | 14 |
| Always | 15 | 29 |
| Teacher interviews or focus groups | | |
| Never | 3 | 6 |
| Rarely | 2 | 4 |
| Usually | 13 | 25 |
| Always | 33 | 65 |
| Advocate survey | | |
| Never | 41 | 80 |
| Rarely | 9 | 18 |
| Usually | 1 | 2 |
| Always | 0 | 0 |
| Advocate interviews or focus groups | | |
| Never | 36 | 71 |
| Rarely | 10 | 20 |
| Usually | 5 | 10 |
| Always | 0 | 0 |
| Site-based administrator (principal) survey | | |
| Never | 28 | 55 |
| Rarely | 3 | 6 |
| Usually | 5 | 10 |
| Always | 15 | 29 |
| Site-based administrator (principal) interviews or focus groups | | |
| Never | 3 | 6 |
| Rarely | 2 | 4 |
| Usually | 17 | 33 |
| Always | 29 | 57 |

Table D-29. Number and percentage of states using various data sources when monitoring LEAs or planning improvements, by data source and frequency of use: School year 2004-05—Continued

| Data source and frequency | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Central office/program office administrator survey | | |
| Never | 29 | 57 |
| Rarely | 4 | 8 |
| Usually | 6 | 12 |
| Always | 12 | 24 |
| Central office/program office administrator interviews or focus groups | | |
| Never | 5 | 10 |
| Rarely | 3 | 6 |
| Usually | 11 | 22 |
| Always | 32 | 63 |
| LEA self-assessment reports | | |
| Never | 5 | 10 |
| Rarely | 2 | 4 |
| Usually | 12 | 24 |
| Always | 32 | 63 |
| Public hearings | | |
| Never | 38 | 75 |
| Rarely | 8 | 16 |
| Usually | 1 | 2 |
| Always | 4 | 8 |
| Review of child or student folders, including review of IEPs/IFSPs | | |
| Never | 0 | 0 |
| Rarely | 0 | 0 |
| Usually | 4 | 8 |
| Always | 46 | 90 |
| Nonresponse | 1 | 2 |
| Review of dispute resolution data | | |
| Never | 2 | 4 |
| Rarely | 5 | 10 |
| Usually | 9 | 18 |
| Always | 35 | 69 |
| Review of LRE data | | |
| Never | 1 | 2 |
| Rarely | 3 | 6 |
| Usually | 6 | 12 |
| Always | 41 | 80 |
| Review of child/student assessment data | | |
| Never | 3 | 6 |
| Rarely | 3 | 6 |
| Usually | 7 | 14 |
| Always | 38 | 75 |

Table D-29. Number and percentage of states using various data sources when monitoring LEAs or planning improvements, by data source and frequency of use: School year 2004-05—Continued

| Data source and frequency | Number of states | Percent of all states [N=51] |
|---|------------------|------------------------------|
| Review of suspension-expulsion data | | |
| Never | 2 | 4 |
| Rarely | 1 | 2 |
| Usually | 13 | 25 |
| Always | 35 | 69 |
| Review of dropout data or graduation data | | |
| Never | 3 | 6 |
| Rarely | 4 | 8 |
| Usually | 10 | 20 |
| Always | 34 | 67 |
| Review of AYP data | | |
| Never | 7 | 14 |
| Rarely | 6 | 12 |
| Usually | 10 | 20 |
| Always | 28 | 55 |
| Other data sources | | |
| Never | 36 | 71 |
| Rarely | 0 | 0 |
| Usually | 6 | 12 |
| Always | 9 | 18 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-30. Number and percentage of states where findings from Part C monitoring activities were used for monitoring or improvement planning related to Part C to Part B transition: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|-----------------------|------------------|------------------------------|
| Findings were used | 15 | 29 |
| Finding were not used | 36 | 71 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-31. Number and percentage of states where SEA had electronic database of individual child records that was used for monitoring and improvement planning: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|----------------------------------|------------------|---------------------------------|
| Had electronic database | 26 | 51 |
| Did not have electronic database | 25 | 49 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-32a. Number and percentage of states whose electronic database of individual child records included child records for various age groups, by child age group and availability: School year 2004-05

| Child age group and availability | Number of states | Percent of | |
|--|------------------|----------------------|--|
| | | All states [N=51] | States with electronic database of child records [n=26] |
| No electronic database of individual child records | 25 | 49 | † |
| Age birth through 2 | | | |
| Some/all child records available for all LEAs | 7 | 14 | 27 |
| Some/all child records available for some LEAs | 3 | 6 | 12 |
| No child records available for this age group | 18 | 35 | 69 |
| Age 3 through 5 | | | |
| Some/all child records available for all LEAs | 20 | 39 | 77 |
| Some/all child records available for some LEAs | 11 | 22 | 42 |
| No child records available for this age group | 3 | 6 | 12 |
| Age 6 through 18 | | | |
| Some/all child records available for all LEAs | 23 | 45 | 88 |
| Some/all child records available for some LEAs | 11 | 22 | 42 |
| No child records available for this age group | 2 | 4 | 8 |
| Age 19 through 21 | | | |
| Some/all child records available for all LEAs | 23 | 45 | 88 |
| Some/all child records available for some LEAs | 11 | 22 | 42 |
| No child records available for this age group | 2 | 4 | 8 |

† Not applicable.

NOTE: Some states selected the *some* LEAs response option and the *all* LEAs response option, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-32b. Number and percentage of states whose electronic database of individual child records included IEPs/IFSPs for various age groups, by child age group and availability: School year 2004-05

| Child age group and availability | Number of states | Percent of | |
|--|------------------|-------------------|---|
| | | All states [N=51] | States with electronic database of child records [n=26] |
| No electronic database of individual child records | 25 | 49 | † |
| Age birth through 2 | | | |
| Records included IEPs/IFSPs for all LEAs | 3 | 6 | 12 |
| Records included IEPs/IFSPs for some LEAs | 3 | 6 | 12 |
| No records included IEPs/IFSPs for this age group | 22 | 43 | 85 |
| Age 3 through 5 | | | |
| Records included IEPs/IFSPs for all LEAs | 10 | 20 | 38 |
| Records included IEPs/IFSPs for some LEAs | 6 | 12 | 23 |
| No records included IEPs/IFSPs for this age group | 16 | 31 | 62 |
| Age 6 through 18 | | | |
| Records included IEPs/IFSPs for all LEAs | 11 | 22 | 42 |
| Records included IEPs/IFSPs for some LEAs | 6 | 12 | 23 |
| No records included IEPs/IFSPs for this age group | 15 | 29 | 58 |
| Age 19 through 21 | | | |
| Records included IEPs/IFSPs for all LEAs | 11 | 22 | 42 |
| Records included IEPs/IFSPs for some LEAs | 6 | 12 | 23 |
| No records included IEPs/IFSPs for this age group | 15 | 29 | 58 |

† Not applicable.

NOTE: Some states selected the *some* LEAs response option and the *all* LEAs response option, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-33. Number and percentage of states where the electronic database of individual child records that was used for monitoring allowed tracking of children from Part C to Part B: School year 2004-05

| Responses options | Number of states | Percent of | |
|---|------------------|----------------------|---|
| | | All states [N=51] | States with electronic database [n=26] |
| Did not have electronic database | 25 | 49 | † |
| Database allowed tracking from Part C to Part B | 9 | 18 | 35 |
| Database did not allow tracking from Part C to Part B | 17 | 33 | 65 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-34. Number and percentage of states where SEA had electronic database of individual child records that was used for monitoring and improvement planning, by frequency of updates: School year 2004-05

| Frequency of updates | Number of states | Percent of | |
|----------------------------------|------------------|----------------------|---|
| | | All states [N=51] | States with electronic database [n=26] |
| Did not have electronic database | 25 | 49 | † |
| Continuously | 10 | 20 | 38 |
| Monthly | 0 | 0 | 0 |
| Annually | 7 | 14 | 27 |
| Other frequency | 9 | 18 | 35 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-35. Number and percentage of states where the SEA has plans to establish electronic database of individual child records for use in monitoring and improvement planning: School year 2004-05

| Response options | Number of states | Percent of | |
|-------------------------------------|------------------|-------------------|---|
| | | All states [N=51] | States without electronic database [n=25] |
| Already has electronic database | 26 | 51 | † |
| Plans to establish database | 18 | 35 | 72 |
| Does not plan to establish database | 7 | 14 | 28 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-36. Number and percentage of states where planned database will include child records from all LEAs: School year 2004-05

| Response options | Number of states | Percent of | |
|-------------------------------------|------------------|-------------------|---------------------------------|
| | | All states [N=51] | States planning database [n=18] |
| Already has electronic database | 26 | 51 | † |
| Does not plan to establish database | 7 | 14 | † |
| Database will include all LEAs | 17 | 33 | 94 |
| Database will not include all LEAs | 1 | 2 | 6 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-37. Number and percentage of states that will include different age ranges in the planned electronic database, by planned age range: School year 2004-05

| Planned age range | Number of states | Percent of | |
|-------------------------------------|------------------|----------------------|---|
| | | All states [N=51] | States planning to establish database [n=18] |
| Already has electronic database | 26 | 51 | † |
| Does not plan to establish database | 7 | 14 | † |
| Birth through 21 | 5 | 10 | 28 |
| Birth through 26 | 1 | 2 | 6 |
| 2 through 25 | 1 | 2 | 6 |
| 3 through 18 | 1 | 2 | 6 |
| 3 through 20 | 1 | 2 | 6 |
| 3 through 21 | 6 | 12 | 33 |
| 3 through 22 | 2 | 4 | 11 |
| Pre-K through 21 | 1 | 2 | 6 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-38. Number and percentage of states with established date for planned database to be fully operational, by planned date: School year 2004-05

| Planned date | Number of states | Percent of | |
|-------------------------------------|------------------|----------------------|---|
| | | All states [N=51] | States planning to establish database [n=18] |
| Already has electronic database | 26 | 51 | † |
| Does not plan to establish database | 7 | 14 | † |
| 2005 | 1 | 2 | 6 |
| 2006 | 6 | 12 | 33 |
| 2007 | 3 | 6 | 17 |
| 2008 | 1 | 2 | 6 |
| Don't know | 7 | 14 | 39 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-39. Number and percentage of states with specific information available for monitoring and improvement planning, by information source: School year 2004-05

| Information source | Number of states | Percent of all states [N=51] |
|-------------------------|------------------|---------------------------------|
| Complaints | 48 | 94 |
| Mediations | 39 | 76 |
| Due process hearings | 46 | 90 |
| Compensatory education | 12 | 24 |
| Compliance findings | 44 | 86 |
| Corrective actions | 43 | 84 |
| Local improvement plans | 39 | 76 |

NOTE: States could select more than one information source, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-40. Number and percentage of states that analyzed dispute resolution data to determine whether statewide systemic noncompliance had occurred: School year 2004-05

| Responses options | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Analyzed dispute resolution data | 34 | 67 |
| Did not analyze dispute resolution data | 17 | 33 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-41. Number and percentage of states that analyzed dispute resolution data to determine whether local systemic noncompliance had occurred: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Analyzed dispute resolution data | 44 | 86 |
| Did not analyze dispute resolution data | 7 | 14 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-42. Number and percentage of states where findings from monitoring and improvement activities led to further evaluation in specific areas where statewide systemic noncompliance was found: School year 2004-05

| Response options | Percent of | |
|---|------------------|----------------------|
| | Number of states | all states [N=51] |
| Findings led to further evaluation | 20 | 39 |
| Findings did not lead to further evaluation | 31 | 61 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-43. Number and percentage of states that conducted further evaluation of specific areas where statewide systemic noncompliance was found, by entity conducting the evaluation: School year 2004-05

| Entity conducting evaluation | Number of states | Percent of | |
|--------------------------------------|------------------|----------------------|---|
| | | All states [N=51] | States that evaluated further [n=20] |
| Did not conduct further evaluation | 31 | 61 | † |
| SEA | 12 | 24 | 60 |
| Advisory group or steering committee | 0 | 0 | 0 |
| Independent external evaluator | 0 | 0 | 0 |
| LEAs self-evaluated | 0 | 0 | 0 |
| Other entity conducted evaluation | 8 | 16 | 40 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-44. Number and percentage of states that had an individual whose primary responsibility was to coordinate monitoring activities: School year 2004-05

| Response options | Percent of | |
|---------------------------------|------------------|----------------------|
| | Number of states | all states [N=51] |
| Had such an individual | 48 | 94 |
| Did not have such an individual | 3 | 6 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-45. Name of person whose primary responsibility was to coordinate monitoring activities: School year 2004-05

| Name | Number of states | Percent of | |
|---------------------------------|------------------|----------------------|--|
| | | All states [N=51] | States with such an individual [n=48] |
| Did not have such an individual | 3 | 6 | † |
| Name ¹ | 48 | 94 | 100 |

†Not applicable.

¹The specific responses to this question are not included because they contain personal information or information that would identify states.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-46. Name and position of person supervising the individual whose primary responsibility was to coordinate monitoring activities: School year 2004-05

| Name and position | Number of states | Percent of | |
|---------------------------------|------------------|----------------------|--|
| | | All states [N=51] | States with such an individual [n=48] |
| Did not have such an individual | 3 | 6 | † |
| Name and position ¹ | 48 | 94 | 100 |

†Not applicable.

¹The specific responses to this question are not included because they contain personal information or information that would identify states.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-47. Number and percentage of states that had individual whose primary responsibility was to coordinate improvement planning and implementation: School year 2004-05

| Response options | Number of states | Percent of all states | |
|---------------------------------|------------------|--------------------------|--|
| | | [N=51] | |
| Had such an individual | 34 | 67 | |
| Did not have such an individual | 17 | 33 | |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-48. Name of person whose primary responsibility was to coordinate improvement planning and implementation: School year 2004-05

| Name | Number of states | Percent of | |
|---------------------------------|------------------|----------------------|--|
| | | All states [N=51] | States with such an individual [n=34] |
| Did not have such an individual | 17 | 33 | † |
| Name ¹ | 34 | 67 | 100 |

†Not applicable.

¹The specific responses to this question are not included because they contain personal information or information that would identify states.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-49. Name and position of person supervising the individual whose primary responsibility was to coordinate improvement planning and implementation: School year 2004-05

| Name and position | Number of states | Percent of | |
|---------------------------------|------------------|----------------------|--|
| | | All states [N=51] | States with such an individual [n=34] |
| Did not have such an individual | 17 | 33 | † |
| Name and position ¹ | 34 | 67 | 100 |

†Not applicable.

¹The specific responses to this question are not included because they contain personal information or information that would identify states.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring and Evaluation Questionnaire.

Table D-50. Number and percentage of states that provided training to LEAs on requirements and procedures for collecting and reporting data used for monitoring: School year 2004-05

| Responses options | Percent of all states | |
|----------------------------------|-----------------------|--------|
| | Number of states | [N=51] |
| Provided training to LEAs | 49 | 96 |
| Did not provide training to LEAs | 2 | 4 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-51. Number and percentage of states that provided training to LEAs on requirements and procedures for collecting and reporting data used for monitoring, by frequency of training: School year 2004-05

| Frequency of training | Number of states | Percent of | |
|---|------------------|-------------------|----------------------------------|
| | | All states [N=51] | States providing training [n=49] |
| Did not provide training to LEAs | 2 | 4 | † |
| Only when requirements/procedures changed | 0 | 0 | 0 |
| Each time LEA was selected for monitoring | 24 | 47 | 49 |
| Every year, regardless of the monitoring cycle | 22 | 43 | 45 |
| Every _____ years, regardless of monitoring cycle | 0 | 0 | 0 |
| Other frequency | 3 | 6 | 6 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-52. Number and percentage of states that provided training to LEAs on requirements and procedures for collecting and reporting data used for local improvement activities: School year 2004-05

| Response options | Percent of | |
|----------------------------------|------------------|----------------------|
| | Number of states | all states [N=51] |
| Provided training to LEAs | 44 | 86 |
| Did not provide training to LEAs | 7 | 14 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-53. Number and percentage of states that provided training to LEAs on requirements and procedures for collecting and reporting data used for local improvement activities, by frequency of training: School year 2004-05

| Frequency of training | Percent of | | |
|---|------------------|----------------------|-------------------------------------|
| | Number of states | All states [N=51] | States providing training [n=44] |
| Did not provide training to LEAs | 7 | 14 | † |
| Only when requirements and procedures changed | 4 | 8 | 9 |
| Each time LEA was selected for monitoring | 17 | 33 | 39 |
| Every year, regardless of the monitoring cycle | 20 | 39 | 45 |
| Every _____ years, regardless of monitoring cycle | 0 | 0 | 0 |
| Other | 3 | 6 | 7 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-54a. Number and percentage of states with various types of individuals serving on monitoring teams, by type of individual: School year 2004-05

| Type of individual | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Staff from the SEA | 50 | 98 |
| Staff from the Part C lead agency | 10 | 20 |
| Staff from other state agencies | 12 | 24 |
| Parents of children with disabilities | 17 | 33 |
| Advocates for persons with disabilities | 9 | 18 |
| Special education teachers | 25 | 49 |
| General education teachers | 13 | 25 |
| Early intervention specialists | 8 | 16 |
| Related service providers | 21 | 41 |
| Principals or other school-based administrators | 21 | 41 |
| Part C local program directors | 3 | 6 |
| District-level general education administrators | 13 | 25 |
| Special education administrators | 29 | 57 |
| Representatives of professional organizations or associations | 8 | 16 |
| Outside consultants | 16 | 31 |
| Other type of individual | 6 | 12 |

NOTE: States could select more than one type of individual, therefore, the Percent column will not sum to 100.
 SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-54b. Number and percentage of states with various types of individuals participating in monitoring site visits, by type of individual: School year 2004-05

| Type of individual | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Staff from the SEA | 50 | 98 |
| Staff from the Part C lead agency | 9 | 18 |
| Staff from other state agencies | 11 | 22 |
| Parents of children with disabilities | 21 | 41 |
| Advocates for persons with disabilities | 10 | 20 |
| Special education teachers | 30 | 59 |
| General education teachers | 22 | 43 |
| Early intervention specialists | 11 | 22 |
| Related service providers | 28 | 55 |
| Principals or other school-based administrators | 28 | 55 |
| Part C local program directors | 5 | 10 |
| District-level general education administrators | 22 | 43 |
| Special education administrators | 34 | 67 |
| Representatives of professional organizations or associations | 10 | 20 |
| Outside consultants | 17 | 33 |
| Other type of individual | 6 | 12 |

NOTE: States could select more than one type of individual, therefore, the Percent column will not sum to 100.
 SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-54c. Number and percentage of states with various types of individuals participating in local improvement planning or implementation, by type of individual: School year 2004-05

| Type of individuals | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Staff from the SEA | 43 | 84 |
| Staff from the Part C lead agency | 8 | 16 |
| Staff from other state agencies | 14 | 27 |
| Parents of children with disabilities | 28 | 55 |
| Advocates for persons with disabilities | 14 | 27 |
| Special education teachers | 38 | 75 |
| General education teachers | 35 | 69 |
| Early intervention specialists | 18 | 35 |
| Related service providers | 32 | 63 |
| Principals or other school-based administrators | 41 | 80 |
| Part C local program directors | 11 | 22 |
| District-level general education administrators | 35 | 69 |
| Special education administrators | 41 | 80 |
| Representatives of professional organizations or associations | 11 | 22 |
| Outside consultants | 17 | 33 |
| Other type of individual | 7 | 14 |

NOTE: States could select more than one type of individual, therefore, the Percent column will not sum to 100.
 SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-55. Number and percentage of states using various methods to select parents of children with disabilities or disability advocates to serve on monitoring teams, by selection method used: School year 2004-05

| Selection method | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| No parents/advocates selected | 27 | 53 |
| Selected specific individuals from a variety of organizations | 3 | 6 |
| Invited organizations to appoint individuals | 5 | 10 |
| Selected specific individuals without regard to organizational affiliation | 10 | 20 |
| Selected from individuals who volunteered | 10 | 20 |
| Used other method | 6 | 12 |

NOTE: States could select more than one method, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-56. Number and percentage of states where individuals serving on monitoring teams participated in training about monitoring: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| All individuals participated in training | 44 | 86 |
| Some individuals participated in training | 6 | 12 |
| No individuals participated in training | 1 | 2 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-57. Number and percentage of states where individuals serving on monitoring teams participated in training about monitoring, by frequency of training: School year 2004-05

| Frequency of training | Number of states | Percent of | |
|--|------------------|----------------------|----------------------------------|
| | | All states [N=51] | States that trained [n=50] |
| No individuals trained | 1 | 2 | † |
| Once, upon initial involvement | 19 | 37 | 38 |
| Prior to serving on each monitoring team | 21 | 41 | 42 |
| Prior to each site visit | 18 | 35 | 36 |
| Cyclically (e.g., annually, biannually) | 25 | 49 | 50 |
| Other frequency | 6 | 12 | 12 |

†Not applicable.

NOTE: States could select more than one frequency of training, therefore, the Percent columns will not sum to 100.
SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-58. Number and percentage of states where individuals serving on monitoring teams participated in training about monitoring, by training topic: School year 2004-05

| Training topic | Number of states | Percent of | |
|-----------------------------------|------------------|----------------------|----------------------------------|
| | | All states [N=51] | States that trained [n=50] |
| No individuals trained | 1 | 2 | † |
| Relevant rules and regulations | 46 | 90 | 92 |
| Procedures for reviewing records | 45 | 88 | 90 |
| Interviewing techniques | 40 | 78 | 80 |
| Provision of technical assistance | 19 | 37 | 38 |
| Debriefing techniques | 27 | 53 | 54 |
| Report writing | 20 | 39 | 40 |
| Confidentiality | 40 | 78 | 80 |
| Other topics | 16 | 31 | 32 |

†Not applicable.

NOTE: States could select more than one training topic, therefore, the Percent columns will not sum to 100.
SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-59. Number and percentage of states where individuals working on local improvement planning and implementation participated in training about monitoring: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|---|------------------|------------------------------|
| All individuals participated in training | 17 | 33 |
| Some individuals participated in training | 15 | 29 |
| No individuals participated in training | 19 | 37 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-60. Number and percentage of states where individuals working on local improvement planning and implementation participated in training about monitoring, by frequency of training: School year 2004-05

| Frequency of training | Number of states | Percent of | |
|---|------------------|-------------------|----------------------------|
| | | All states [N=51] | States that trained [n=50] |
| No individuals trained | 19 | 37 | † |
| Once, upon initial involvement | 16 | 31 | 50 |
| Cyclically (e.g., annually, biannually) | 13 | 25 | 41 |
| Other frequency | 11 | 22 | 34 |

†Not applicable.

NOTE: States could select more than one frequency of training, therefore, the Percent columns will not sum to 100.
 SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-61. Number and percentage of states with a state-level steering committee specifically devoted to monitoring and improvement activities: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Had state-level steering committee | 25 | 49 |
| Used state special education advisory committee or similar group | 19 | 37 |
| No such group or any other similar group | 7 | 14 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-62. Number and percentage of states including various stakeholders on the state-level steering committee, by type of stakeholder: School year 2004-05

| Type of stakeholder | Number of states | Percent of | |
|---|------------------|----------------------|--|
| | | All states [N=51] | States with steering committee [n=44] |
| Did not have state-level steering committee | 7 | 14 | † |
| Individuals with disabilities | 37 | 73 | 84 |
| Parents of children with disabilities | 43 | 84 | 98 |
| Advocates for individuals with disabilities | 40 | 78 | 91 |
| Students with disabilities | 9 | 18 | 20 |
| Special education teachers | 37 | 73 | 84 |
| General education teachers | 26 | 51 | 59 |
| Early intervention personnel | 32 | 63 | 73 |
| Related services personnel | 21 | 41 | 48 |
| School-based general education administrators | 28 | 55 | 64 |
| Local special education administrators | 43 | 84 | 98 |
| Other district-level administrators | 28 | 55 | 64 |
| Assessment personnel | 16 | 31 | 36 |
| Personnel from other state/local agencies | 41 | 80 | 93 |
| School board members | 5 | 10 | 11 |

†Not applicable.

NOTE: States could select more than one type of stakeholder, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-63. Number and percentage of states using various methods to select individuals with disabilities, parents of children with disabilities, and disability advocates for the state-level steering committee, by selection method used: School year 2004-05

| Selection method | Number of states | Percent of | |
|--|------------------|----------------------|--|
| | | All states [N=51] | States with steering committee [n=44] |
| No state-level steering committee | 7 | 14 | † |
| Individuals with disabilities, parents of children with disabilities or disability advocates did not serve on steering committee | 0 | 0 | 0 |
| Selected specific individuals from a variety of organizations | 30 | 59 | 68 |
| Invited organizations to appoint individuals | 19 | 37 | 43 |
| Selected specific individuals without regard to organizational affiliation | 12 | 24 | 27 |
| Selected from individuals who volunteered | 8 | 16 | 18 |
| Used other method | 11 | 22 | 25 |

†Not applicable.

NOTE: States could select more selection method, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-64. Number and percentage of states receiving steering committee input on specific areas, by area of input: School year 2004-05

| Area of input | Number of states | Percent of | |
|---|------------------|----------------------|--|
| | | All states [N=51] | States with steering committee [n=44] |
| No state-level steering committee | 7 | 14 | † |
| Setting monitoring priorities for the state | 33 | 65 | 75 |
| Determining indicators or targets for monitoring priorities | 26 | 51 | 59 |
| Determining criteria for selecting specific LEAs to be monitored | 15 | 29 | 34 |
| Selecting the specific LEAs to be monitored | 2 | 4 | 5 |
| Determining extent of noncompliance by LEAs | 5 | 10 | 11 |
| Reviewing LEA's responses to corrective actions | 3 | 6 | 7 |
| Determining priorities for state or local improvement planning and implementation | 22 | 43 | 50 |
| Other area of input | 3 | 6 | 7 |

†Not applicable.

NOTE: States could select more than one area of input, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-65. Number and percentage of states where members of state-level steering committee served on the teams monitoring LEAs: School year 2004-05

| Response options | Number of states | Percent of | |
|---|------------------|----------------------|--|
| | | All states [N=51] | States with steering committee [n=44] |
| No state-level steering committee | 7 | 14 | † |
| State-level committee members served on monitoring teams | 12 | 24 | 27 |
| State-level committee members did not serve on monitoring teams | 32 | 63 | 73 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-66. Number and percentage of states using specific methods to inform LEAs about procedures for monitoring and improvement planning, by method used: School year 2004-05

| Method | Number of states | Percent of all states [N=51] |
|--|------------------|------------------------------|
| Procedures, forms, instructions, and indicators distributed in hard copy to all LEAs | 39 | 76 |
| Procedures, forms, instructions, and indicators were available in hard copy on request | 23 | 45 |
| Procedures, forms, instructions, and indicators were available on public web site | 34 | 67 |
| Announcements and explanations of changes made at meetings | 40 | 78 |
| Trainings on monitoring and improvement planning held | 42 | 82 |
| Procedures, forms, instructions, and indicators distributed in electronic format to LEAs included in monitoring cycle ¹ | 7 | 14 |
| Other methods used | 2 | 4 |

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one method for informing LEAs, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-67. Number and percentage of states using various methods to inform the public about procedures for monitoring and improvement planning, by method used: School year 2004-05

| Method | Number of states | Percent of all states [N=51] |
|--|------------------|------------------------------|
| Procedures, forms, instructions, and indicators available on request | 41 | 80 |
| Procedures, forms, instructions, and indicators available on public web site | 36 | 71 |
| Announcements and explanation of changes made at meetings all stakeholders could attend | 23 | 45 |
| Trainings on monitoring and improvement planning procedures held for stakeholders and the public | 15 | 29 |
| Details of monitoring and improvement planning procedures provided in press releases | 1 | 2 |
| Other methods used | 5 | 10 |

NOTE: States could select more than one method, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-68. Number and percentage of states providing LEAs with different types of monitoring team reports, by type and timing of report: School year 2004-05

| Type and timing of report | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Face-to-face exit interview or debriefing | | |
| No such report was provided | 3 | 6 |
| At the end of a site visit | 44 | 86 |
| Within 1 month of completion of data collection | 0 | 0 |
| Within 1 to 3 months of completion of data collection | 2 | 4 |
| More than 3 months after completion of data collection | 2 | 4 |
| Oral report by telephone | | |
| No such report was provided | 37 | 73 |
| At the end of a site visit | 3 | 6 |
| Within 1 month of completion of data collection | 7 | 14 |
| Within 1 to 3 months of completion of data collection | 3 | 6 |
| More than 3 months after completion of data collection | 1 | 2 |
| Written report | | |
| No such report was provided | 0 | 0 |
| At the end of a site visit | 3 | 6 |
| Within 1 month of completion of data collection | 8 | 16 |
| Within 1 to 3 months of completion of data collection | 31 | 61 |
| More than 3 months after completion of data collection | 9 | 18 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-69. Number and percentage of states that made various types of monitoring results and local improvement activities publicly available, by type of information and dissemination method used School year 2004-05

| Information type and method | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Individual LEA self-assessment scores/results | | |
| Publicly available print reports | 6 | 12 |
| Postings on publicly accessible web sites | 4 | 8 |
| Press releases | 0 | 0 |
| Only on request | 25 | 49 |
| Not available to the public | 9 | 18 |
| Did not have this information | 7 | 14 |
| Aggregated LEA self-assessment scores/results | | |
| Publicly available print reports | 6 | 12 |
| Postings on publicly accessible web sites | 3 | 6 |
| Press releases | 0 | 0 |
| Only on request | 13 | 25 |
| Not available to the public | 6 | 12 |
| Did not have this information | 17 | 33 |
| Individual LEA scores on compliance indicators | | |
| Publicly available print reports | 12 | 24 |
| Postings on publicly accessible web sites | 14 | 27 |
| Press releases | 0 | 0 |
| Only on request | 19 | 37 |
| Not available to the public | 4 | 8 |
| Did not have this information | 6 | 12 |
| Aggregated LEA scores on compliance indicators | | |
| Publicly available print reports | 6 | 12 |
| Postings on publicly accessible web sites | 10 | 20 |
| Press releases | 0 | 0 |
| Only on request | 12 | 24 |
| Not available to the public | 6 | 12 |
| Did not have this information | 13 | 25 |
| LEA rank on individual compliance indicators | | |
| Publicly available print reports | 5 | 10 |
| Postings on publicly accessible web sites | 7 | 14 |
| Press releases | 0 | 0 |
| Only on request | 9 | 18 |
| Not available to the public | 9 | 18 |
| Did not have this information | 17 | 33 |

**Table D-69. Number and percentage of states that made various types of monitoring results and local improvement activities publicly available, by type of information and dissemination method used: School year 2004-05—
Continued**

| Information type and method | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| LEA rank on aggregated compliance indicators | | |
| Publicly available print reports | 3 | 6 |
| Postings on publicly accessible web sites | 4 | 8 |
| Press releases | 0 | 0 |
| Only on request | 6 | 12 |
| Not available to the public | 7 | 14 |
| Did not have this information | 23 | 45 |
| Individual LEA corrective actions | | |
| Publicly available print reports | 10 | 20 |
| Postings on publicly accessible web sites | 10 | 20 |
| Press releases | 0 | 0 |
| Only on request | 31 | 61 |
| Not available to the public | 3 | 6 |
| Did not have this information | 2 | 4 |
| Aggregated LEA corrective actions | | |
| Publicly available print reports | 4 | 8 |
| Postings on publicly accessible web sites | 7 | 14 |
| Press releases | 0 | 0 |
| Only on request | 15 | 29 |
| Not available to the public | 5 | 10 |
| Did not have this information | 13 | 25 |
| Individual local improvement plans | | |
| Publicly available print reports | 10 | 20 |
| Postings on publicly accessible web sites | 10 | 20 |
| Press releases | 1 | 2 |
| Only on request | 30 | 59 |
| Not available to the public | 3 | 6 |
| Did not have this information | 3 | 6 |
| Aggregated local improvement plans | | |
| Publicly available print reports | 3 | 6 |
| Postings on publicly accessible web sites | 5 | 10 |
| Press releases | 0 | 0 |
| Only on request | 13 | 25 |
| Not available to the public | 5 | 10 |
| Did not have this information | 18 | 35 |

**Table D-69. Number and percentage of states that made various types of monitoring results and local improvement activities publicly available, by type of information and dissemination method used: School year 2004-05—
Continued**

| Information type and method | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Other types of information | | |
| Publicly available print reports | 3 | 6 |
| Postings on publicly accessible web sites | 4 | 8 |
| Press releases | 1 | 2 |
| Only on request | 2 | 4 |
| Not available to the public | 0 | 0 |
| Did not have this information | 0 | 0 |

NOTE: For each type of information, states could select more than one method, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-70a. Number and percentage of states that used different types of analyses to support decisions related to corrective actions, by analysis type: School year 2004-05

| Analysis type | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Comparing levels of compliance or performance to targets set for that LEA | 23 | 45 |
| Comparing present levels of compliance or performance to LEA's own baseline | 20 | 39 |
| Determining trends for the LEA and comparing those to the LEA's current compliance or performance | 22 | 43 |
| Comparing areas of strength to areas of weakness within LEA | 20 | 39 |
| Comparing levels of compliance or performance to standards that apply to all LEAs | 32 | 63 |
| Comparing levels of compliance or performance to the levels for other LEAs in the state | 18 | 35 |
| Other analysis type | 1 | 2 |

NOTE: States could select more than one analysis type, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-70b. Number and percentage of states that used different types of analyses to support decisions related to local improvement planning or implementation, by analysis type: School year 2004-05

| Analysis type | Number of states | Percent of all states [N=51] |
|---|------------------|------------------------------|
| Comparing levels of compliance or performance to targets set for that LEA | 27 | 53 |
| Comparing present levels of compliance or performance to LEA's own baseline | 27 | 53 |
| Determining trends for the LEA and comparing those to the LEA's current compliance or performance | 27 | 53 |
| Comparing areas of strength to areas of weakness within LEA | 33 | 65 |
| Comparing levels of compliance or performance to standards that apply to all LEAs | 33 | 65 |
| Comparing levels of compliance or performance to the levels for other LEAs in the state | 26 | 51 |
| Other analysis type | 1 | 2 |

NOTE: States could select more than one analysis type, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-71a. Number and percentage of states requiring various actions of LEAs as part of corrective actions, by type and frequency of action: School year 2004-05

| Type and frequency of action | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Convene panels or committees | | |
| Never | 16 | 31 |
| Occasionally | 21 | 41 |
| Usually | 7 | 14 |
| Always | 7 | 14 |
| Implement existing policies and procedures | | |
| Never | 8 | 16 |
| Occasionally | 8 | 16 |
| Usually | 18 | 35 |
| Always | 17 | 33 |
| Make additions or changes to policies or procedures | | |
| Never | 5 | 10 |
| Occasionally | 21 | 41 |
| Usually | 19 | 37 |
| Always | 6 | 12 |
| Review and correct records (including IEPs/IFSPs) | | |
| Never | 4 | 8 |
| Occasionally | 7 | 14 |
| Usually | 12 | 24 |
| Always | 28 | 55 |
| Provide or obtain professional development or training | | |
| Never | 7 | 14 |
| Occasionally | 8 | 16 |
| Usually | 25 | 49 |
| Always | 11 | 22 |
| Provide or obtain technical assistance | | |
| Never | 5 | 10 |
| Occasionally | 8 | 16 |
| Usually | 21 | 41 |
| Always | 17 | 33 |
| Systemically review records | | |
| Never | 5 | 10 |
| Occasionally | 17 | 33 |
| Usually | 13 | 25 |
| Always | 16 | 31 |
| Collect additional data | | |
| Never | 6 | 12 |
| Occasionally | 25 | 49 |
| Usually | 15 | 29 |
| Always | 5 | 10 |

Table D-71a. Number and percentage of states requiring various actions of LEAs as part of corrective actions, by type and frequency of action: School year 2004-05—Continued

| Type and frequency of action | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Conduct additional self-assessment | | |
| Never | 18 | 35 |
| Occasionally | 19 | 37 |
| Usually | 7 | 14 |
| Always | 6 | 12 |
| Nonresponse | 1 | 2 |
| Prepare additional reports for the SEA | | |
| Never | 7 | 14 |
| Occasionally | 22 | 43 |
| Usually | 10 | 20 |
| Always | 12 | 24 |
| Hire additional staff or better qualified staff | | |
| Never | 24 | 47 |
| Occasionally | 23 | 45 |
| Usually | 3 | 6 |
| Always | 1 | 2 |
| Other actions required | | |
| Never | 48 | 94 |
| Occasionally | 1 | 2 |
| Usually | 2 | 4 |
| Always | 0 | 0 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-71b. Number and percentage of states requiring various actions of LEAs as part of improvement planning, by type and frequency of action: School year 2004-05

| Type and frequency of action | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Convene panels or committees | | |
| Never | 12 | 24 |
| Occasionally | 15 | 29 |
| Usually | 7 | 14 |
| Always | 16 | 31 |
| Nonresponse | 1 | 2 |
| Implement existing policies and procedures | | |
| Never | 7 | 14 |
| Occasionally | 14 | 27 |
| Usually | 11 | 22 |
| Always | 18 | 35 |
| Nonresponse | 1 | 2 |
| Make additions or changes to policies or procedures | | |
| Never | 6 | 12 |
| Occasionally | 23 | 45 |
| Usually | 16 | 31 |
| Always | 5 | 10 |
| Nonresponse | 1 | 2 |
| Review and correct records (including IEPs/IFSPs) | | |
| Never | 10 | 20 |
| Occasionally | 15 | 29 |
| Usually | 6 | 12 |
| Always | 19 | 37 |
| Nonresponse | 1 | 2 |
| Provide or obtain professional development or training | | |
| Never | 6 | 12 |
| Occasionally | 8 | 16 |
| Usually | 21 | 41 |
| Always | 15 | 29 |
| Nonresponse | 1 | 2 |
| Provide or obtain technical assistance | | |
| Never | 4 | 8 |
| Occasionally | 11 | 22 |
| Usually | 18 | 35 |
| Always | 17 | 33 |
| Nonresponse | 1 | 2 |
| Systemically review records | | |
| Never | 7 | 14 |
| Occasionally | 17 | 33 |
| Usually | 13 | 25 |
| Always | 13 | 25 |
| Nonresponse | 1 | 2 |

Table D-71b. Number and percentage of states requiring various actions of LEAs as part of improvement planning, by type and frequency of action: School year 2004-05—Continued

| Type and frequency of action | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Collect additional data | | |
| Never | 6 | 12 |
| Occasionally | 17 | 33 |
| Usually | 19 | 37 |
| Always | 8 | 16 |
| Nonresponse | 1 | 2 |
| Conduct additional self-assessment | | |
| Never | 16 | 31 |
| Occasionally | 18 | 35 |
| Usually | 11 | 22 |
| Always | 5 | 10 |
| Nonresponse | 1 | 2 |
| Prepare additional reports for the SEA | | |
| Never | 10 | 20 |
| Occasionally | 23 | 45 |
| Usually | 7 | 14 |
| Always | 10 | 20 |
| Nonresponse | 1 | 2 |
| Hire additional staff or better qualified staff | | |
| Never | 24 | 47 |
| Occasionally | 23 | 45 |
| Usually | 3 | 6 |
| Always | 0 | 0 |
| Nonresponse | 1 | 2 |
| Other actions required | | |
| Never | 51 | 100 |
| Occasionally | 0 | 0 |
| Usually | 0 | 0 |
| Always | 0 | 0 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-72a. Number and percentage of states taking various actions in support of corrective actions, by type and frequency of action: School year 2004-05

| Type and frequency of action | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Provided additional funds to the LEA | | |
| Never | 32 | 63 |
| Occasionally | 17 | 33 |
| Usually | 0 | 0 |
| Always | 2 | 4 |
| Provided professional development or training for LEA personnel | | |
| Never | 4 | 8 |
| Occasionally | 22 | 43 |
| Usually | 18 | 35 |
| Always | 7 | 14 |
| Provided technical assistance to LEA personnel | | |
| Never | 2 | 4 |
| Occasionally | 5 | 10 |
| Usually | 19 | 37 |
| Always | 25 | 49 |
| Conducted additional data collection and analysis | | |
| Never | 5 | 10 |
| Occasionally | 24 | 47 |
| Usually | 13 | 25 |
| Always | 9 | 18 |
| Conducted follow-up site visits or desk audits | | |
| Never | 2 | 4 |
| Occasionally | 14 | 27 |
| Usually | 11 | 22 |
| Always | 24 | 47 |
| Prepared additional reports | | |
| Never | 11 | 22 |
| Occasionally | 20 | 39 |
| Usually | 10 | 20 |
| Always | 10 | 20 |
| Facilitated interagency communication | | |
| Never | 13 | 25 |
| Occasionally | 31 | 61 |
| Usually | 2 | 4 |
| Always | 5 | 10 |
| Other actions taken | | |
| Never | 51 | 100 |
| Occasionally | 0 | 0 |
| Usually | 0 | 0 |
| Always | 0 | 0 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-72b. Number and percentage of states taking various actions in support of improvement activities, by type and frequency of action: School year 2004-05

| Type and frequency of action | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Provided additional funds to the LEA | | |
| Never | 24 | 47 |
| Occasionally | 14 | 27 |
| Usually | 7 | 14 |
| Always | 5 | 10 |
| Nonresponse | 1 | 2 |
| Provided professional development or training for LEA personnel | | |
| Never | 4 | 8 |
| Occasionally | 19 | 37 |
| Usually | 17 | 33 |
| Always | 10 | 20 |
| Nonresponse | 1 | 2 |
| Provided technical assistance to LEA personnel | | |
| Never | 2 | 4 |
| Occasionally | 8 | 16 |
| Usually | 15 | 29 |
| Always | 25 | 49 |
| Nonresponse | 1 | 2 |
| Conducted additional data collection and analysis | | |
| Never | 7 | 14 |
| Occasionally | 19 | 37 |
| Usually | 15 | 29 |
| Always | 9 | 18 |
| Nonresponse | 1 | 2 |
| Conducted follow-up site visits or desk audits | | |
| Never | 6 | 12 |
| Occasionally | 19 | 37 |
| Usually | 9 | 18 |
| Always | 16 | 31 |
| Nonresponse | 1 | 2 |
| Prepared additional reports | | |
| Never | 15 | 29 |
| Occasionally | 22 | 43 |
| Usually | 5 | 10 |
| Always | 8 | 16 |
| Nonresponse | 1 | 2 |
| Facilitated interagency communication | | |
| Never | 9 | 18 |
| Occasionally | 31 | 61 |
| Usually | 5 | 10 |
| Always | 5 | 10 |
| Nonresponse | 1 | 2 |

Table D-72b. Number and percentage of states taking various actions in support of improvement activities, by type and frequency of action: School year 2004-05—Continued

| Type and frequency of action | Number of states | Percent of all states [N=51] |
|------------------------------|------------------|---------------------------------|
| Other action taken | | |
| Never | 51 | 100 |
| Occasionally | 0 | 0 |
| Usually | 0 | 0 |
| Always | 0 | 0 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-73. Number and percentage of states using specific procedures for monitoring progress on corrective actions, by procedure used: School year 2004-05

| Procedure | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Progress not monitored | 1 | 2 |
| Progress noted/addressed the next time LEA selected for monitoring | 0 | 0 |
| LEAs required to take the initiative and report progress | 5 | 10 |
| SEA staff took the initiative to follow up with LEAs | 23 | 45 |
| Other procedures used | 22 | 43 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-74. Number and percentage of states using specific procedures for monitoring progress on local improvement plans, by procedure used: School year 2004-05

| Procedure | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Progress not monitored | 6 | 12 |
| Progress noted/addressed the next time LEA selected for monitoring | 1 | 2 |
| LEAs required to take the initiative and report progress | 7 | 14 |
| SEA staff took the initiative to follow up with LEAs | 18 | 35 |
| Other procedures used | 19 | 37 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-75. Number and percentage of states that examined the relationship between LEA compliance with process and procedural requirements and LEA child outcomes: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|----------------------------------|------------------|---------------------------------|
| Examined the relationship | 33 | 65 |
| Did not examine the relationship | 18 | 35 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-76. Number and percentage of states using specific types of analyses when examining the relationship between LEA compliance and child outcomes, by type of analysis used: School year 2004-05

| Type of analysis | Number of states | Percent of | |
|--|------------------|----------------------|---|
| | | All states [N=51] | States that examined relationship [n=33] |
| Did not examine relationship between compliance and outcomes | 18 | 35 | † |
| Cross-sectional analysis comparing compliance and outcome data across LEAs at a single point in time | 7 | 14 | 21 |
| Longitudinal analysis comparing compliance and outcome data over time within an LEA | 2 | 4 | 6 |
| Qualitative analysis that used expert informants to provide evidence of link between compliance and outcomes within an LEA | 7 | 14 | 21 |
| Informal analysis based on SEA staff judgment | 25 | 49 | 76 |
| Other analysis used | 3 | 6 | 9 |

†Not applicable.

NOTE: States could select more than one type of analysis, therefore, the Percent columns will not sum to 100.
SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-77. Number and percentage of states using specific LEA rewards for reducing noncompliance, by type of reward: School year 2004-05

| Type of reward | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Proclamation/public commendation/award | 7 | 14 |
| Additional funds/monetary award | 1 | 2 |
| Less frequent monitoring | 13 | 25 |
| Letter of commendation to LEA administration ¹ | 2 | 4 |
| Other type of reward | 6 | 12 |
| No rewards used | 28 | 55 |

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one type of reward, therefore, the Percent column will not sum to 100.
SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-78. Number and percentage of states with written guidelines or procedures outlining specific incentives to LEAs for reducing noncompliance: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Had written guidelines/procedures | 13 | 25 |
| Did not have written guidelines/procedures | 38 | 75 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-79. Number and percentage of states using rewards to encourage local improvement planning and implementation, by type of reward: School year 2004-05

| Type of reward | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Proclamation/public commendation/award | 9 | 18 |
| Additional funds/monetary award | 11 | 22 |
| Less frequent monitoring | 8 | 16 |
| Other type of reward | 3 | 6 |
| No rewards used | 30 | 59 |

NOTE: States could select more than one type of reward, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-80. Number and percentage of states with written guidelines or procedures outlining specific incentives to LEAs to encourage local improvement planning and implementation: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Had written guidelines/procedures | 9 | 18 |
| Did not have written guidelines/procedures | 42 | 82 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-81. Number and percentage of states with the authority to use sanctions in the event of LEA noncompliance, by type of sanction: School year 2004-05

| Type of sanction | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Negotiating a compliance agreement | 28 | 55 |
| Imposing restrictions or special conditions on use of funds | 36 | 71 |
| Withholding funds | 42 | 82 |
| Obtaining cease/desist order | 7 | 14 |
| Referring noncompliance entity to state attorney general | 10 | 20 |
| Other sanctions used | 14 | 27 |

NOTE: States could select more than one type of sanction, therefore, the Percent column will not sum to 100.
SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-82. Number and percentage of states that consider various factors when deciding whether to impose a sanction for noncompliance, by factor considered: School year 2004-05

| Factor | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Duration of noncompliance | 40 | 78 |
| Extent of noncompliance | 37 | 73 |
| Severity of noncompliance | 36 | 71 |
| Effort made to correct problem | 40 | 78 |
| Whether problem was related to provision of services versus procedural requirements | 27 | 53 |
| Other factors used | 7 | 14 |

NOTE: States could select more than one factor, therefore, the Percent column will not sum to 100.
SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-83. Number and percentage of states with written guidelines or procedures outlining specific sanctions for specific types of noncompliance: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Had written guidelines/procedures | 22 | 43 |
| Did not have written guidelines/procedures | 29 | 57 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-84. Number and percentage of states using various sources of materials, procedural guidelines, or technical assistance related to monitoring and improvement planning, by source used: School year 2004-05

| Source | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Regional Resource Centers (RRCs) | 43 | 84 |
| Center for Appropriate Dispute Resolution in Special Education (CADRE) | 26 | 51 |
| National Center on Educational Outcomes (NCEO) | 20 | 39 |
| National Early Childhood Technical Assistance Center (NECTAC) | 22 | 43 |
| National Center for Special Education Accountability Monitoring (NCSEAM) | 40 | 78 |
| Early Childhood Outcome Center (ECO) | 15 | 29 |
| Other OSEP-funded projects | 16 | 31 |
| Other Department of Education-funded project | 10 | 20 |
| In-state university/university-affiliated consultants | 14 | 27 |
| Out-of-state university/university-affiliated consultants | 5 | 10 |
| Private consultants/organizations | 13 | 25 |
| Professional organizations | 8 | 16 |
| Other types of sources used | 9 | 18 |
| None of these types of sources used | 3 | 6 |

NOTE: States could select more than one source, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-85. Number and percentage of states where monitoring findings influenced practices at universities in the state with regard to the preparation of teachers and other personnel: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|---|------------------|------------------------------|
| Monitoring findings influenced practices | 11 | 22 |
| Monitoring findings did not influence practices | 22 | 43 |
| Don't know | 18 | 35 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-86. Number and percentage of states where monitoring findings influenced practices at universities, by type of practice influenced: School year 2004-05

| Practice | Number of states | Percent of | |
|--|------------------|-------------------|---|
| | | All states [N=51] | States where findings influenced practices [n=11] |
| Monitoring findings did not influence practices ¹ | 40 | 78 | † |
| Considered by state when deciding which personnel prep programs to license/support | 2 | 4 | 18 |
| Used by faculty in deciding type of TA/professional development to offer | 5 | 10 | 45 |
| Used by state in deciding what university-based TA/professional development to support | 5 | 10 | 45 |
| Used by faculty for curriculum planning | 8 | 16 | 73 |
| Influenced in other ways | 0 | 0 | 0 |

†Not applicable.

¹Includes *don't know* nonresponse.

NOTE: States could select more than one practice, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-87. Number and percentage of states where other departments or divisions in the SEA or other state agencies used monitoring findings: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|---|------------------|------------------------------|
| Other departments/divisions/agencies used findings | 28 | 55 |
| Other departments/divisions/agencies did not use findings | 18 | 35 |
| Don't know | 5 | 10 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-88. Name of departments, divisions, or other agencies using monitoring findings: School year 2004-05

| Name | Number of states | Percent of | |
|--|------------------|-------------------|--|
| | | All states [N=51] | States where others used findings [n=28] |
| Others did not use findings ¹ | 23 | 45 | † |
| Name ² | 28 | 55 | 100 |

†Not applicable.

¹Includes *don't know* nonresponse.

²The specific responses to this question are not included because they contain personal information or information that would identify states.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-89. Number and percentage of states where monitoring has changed since 1997, by type and degree of change: School year 2004-05

| Type and degree of change | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Parent input to the planning of monitoring procedures has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 0 | 0 |
| Stayed about the same | 17 | 33 |
| Slightly increased | 13 | 25 |
| Greatly increased | 21 | 41 |
| Other stakeholder input to the planning of monitoring procedures has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 0 | 0 |
| Stayed about the same | 7 | 14 |
| Slightly increased | 19 | 37 |
| Greatly increased | 25 | 49 |
| Parent involvement in data collection and analysis activities has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 0 | 0 |
| Stayed about the same | 26 | 51 |
| Slightly increased | 15 | 29 |
| Greatly increased | 10 | 20 |
| Other stakeholder involvement in data collection and analysis activities has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 0 | 0 |
| Stayed about the same | 12 | 24 |
| Slightly increased | 19 | 37 |
| Greatly increased | 20 | 39 |
| Public awareness of monitoring and improvement activities has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 0 | 0 |
| Stayed about the same | 5 | 10 |
| Slightly increased | 28 | 55 |
| Greatly increased | 18 | 35 |
| Use of data in planning monitoring and improvement activities has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 0 | 0 |
| Stayed about the same | 3 | 6 |
| Slightly increased | 3 | 6 |
| Greatly increased | 45 | 88 |

Table D-89. Number and percentage of states where monitoring has changed since 1997, by type and degree of change: School year 2004-05—Continued

| Type and degree of change | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| The number of frequency of site visits to LEAs to collect information has... | | |
| Greatly decreased | 6 | 12 |
| Slightly decreased | 7 | 14 |
| Stayed about the same | 22 | 43 |
| Slightly increased | 9 | 18 |
| Greatly increased | 7 | 14 |
| The focus on child outcomes has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 0 | 0 |
| Stayed about the same | 2 | 4 |
| Slightly increased | 10 | 20 |
| Greatly increased | 38 | 75 |
| Nonresponse | 1 | 2 |
| The emphasis on compliance issues such as process and procedural requirements has... | | |
| Greatly decreased | 3 | 6 |
| Slightly decreased | 9 | 18 |
| Stayed about the same | 28 | 55 |
| Slightly increased | 9 | 18 |
| Greatly increased | 2 | 4 |
| Public reporting of monitoring findings, by individual LEAs, has... | | |
| Greatly decreased | 1 | 2 |
| Slightly decreased | 1 | 2 |
| Stayed about the same | 25 | 49 |
| Slightly increased | 14 | 27 |
| Greatly increased | 10 | 20 |
| Public reporting of monitoring findings, aggregated across LEAs, has... | | |
| Greatly decreased | 1 | 2 |
| Slightly decreased | 1 | 2 |
| Stayed about the same | 26 | 51 |
| Slightly increased | 20 | 39 |
| Greatly increased | 3 | 6 |
| The frequency of LEA self-assessments has... | | |
| Greatly decreased | 1 | 2 |
| Slightly decreased | 2 | 4 |
| Stayed about the same | 15 | 29 |
| Slightly increased | 10 | 20 |
| Greatly increased | 22 | 43 |
| Nonresponse | 1 | 2 |

Table D-89. Number and percentage of states where monitoring has changed since 1997, by type and degree of change: School year 2004-05—Continued

| Type and degree of change | Number of states | Percent of all states [N=51] |
|---------------------------|------------------|---------------------------------|
| Other area has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 0 | 0 |
| Stayed about the same | 0 | 0 |
| Slightly increased | 0 | 0 |
| Greatly increased | 2 | 4 |
| No other areas | 49 | 96 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-90. Number and percentage of states where special situations played a role in shaping monitoring and improvement activities since 1997, by type of special situation: School year 2004-05

| Special situation | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| No special situations | 25 | 49 |
| Consent decree or settlement of lawsuit | 12 | 24 |
| Pending litigation | 4 | 8 |
| State law requiring a specific monitoring methodology | 8 | 16 |
| State law limiting data collection by SEA | 1 | 2 |
| State law specifically limiting extent of monitoring activities by SEA | 0 | 0 |
| State law limiting number of SEA staff devoted to monitoring activities | 1 | 2 |
| Limited state-level resources for monitoring due to other funding priorities | 9 | 18 |
| Other situations | 9 | 18 |

NOTE: States could select more than one special situation, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-91. Number and percentage of states where SEA’s performance in conducting monitoring and improvement activities was formally evaluated since 1997: School year 2004-05

| Response options | Percent of | |
|---------------------------|------------------|----------------------|
| | Number of states | all states [N=51] |
| Performance evaluated | 33 | 65 |
| Performance not evaluated | 18 | 35 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States’ Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-92. Number and percentage of states where SEA’s performance in conducting monitoring and improvement activities was formally evaluated, by evaluation method: School year 2004-05

| Evaluation method | Number of states | Percent of | |
|--|------------------|----------------------|-------------------------------|
| | | All states [N=51] | States evaluated [n=33] |
| Performance not evaluated | 18 | 35 | † |
| SEA conducted a self-evaluation | 21 | 41 | 64 |
| Advisory group/steering committee conducted evaluation | 15 | 29 | 45 |
| SEA contracted with independent external evaluator | 8 | 16 | 24 |
| Other method used | 16 | 31 | 48 |

†Not applicable.

NOTE: States could select more than one evaluation method, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States’ Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-93. Number and percentage of states where evaluation of state’s performance included an opportunity for LEAs to provide feedback on SEA performance: School year 2004-05

| Response options | Number of states | Percent of | |
|---|------------------|-------------------|-------------------------|
| | | All states [N=51] | States evaluated [n=33] |
| Performance not evaluated | 18 | 35 | † |
| LEAs had opportunity to provide feedback | 19 | 37 | 58 |
| LEAs did not have opportunity to provide feedback | 13 | 25 | 39 |
| Nonresponse | 1 | 2 | 3 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States’ Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-94. Number and percentage of states where SEA’s performance in conducting monitoring and improvement activities was formally evaluated since 1997, by how decision to evaluate was made: School year 2004-05

| How decision was made | Number of states | Percent of | |
|--|------------------|-------------------|-------------------------|
| | | All states [N=51] | States evaluated [n=33] |
| Performance not evaluated | 18 | 35 | † |
| Evaluated according to fixed schedule | 4 | 8 | 12 |
| Advisory group/steering committee decided | 4 | 8 | 12 |
| SEA administrators decided | 19 | 37 | 58 |
| Evaluation occurs only in response to impending OSEP monitoring activities | 9 | 18 | 27 |
| Other methods used | 6 | 12 | 18 |

†Not applicable.

NOTE: States could select more than one response option, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States’ Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-95. Number and percentage of states that made major revisions to their procedures for monitoring and improvement, by year of most recent revision: School year 2004-05

| Year | Number of states | Percent of all states [N=51] |
|-------------|------------------|---------------------------------|
| 1995 | 1 | 2 |
| 1998 | 1 | 2 |
| 1999 | 3 | 6 |
| 2000 | 4 | 8 |
| 2001 | 4 | 8 |
| 2002 | 3 | 6 |
| 2003 | 3 | 6 |
| 2004 | 10 | 20 |
| 2005 | 21 | 41 |
| Nonresponse | 1 | 2 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-96. Number and percentage of states providing comments about important changes made to state monitoring and improvement activities since last monitoring period: School year 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--------------------------------|------------------|---------------------------------|
| Provided comments ¹ | 45 | 88 |
| Did not provide comments | 6 | 12 |

¹The specific responses to this question are not included because they contain information that would identify states.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-97a. Number and percentage of states where SEA has a plan for major changes in procedures for monitoring and improvement activities: School year 2004-05

| Response options | Percent of | |
|----------------------|------------------|----------------------|
| | Number of states | all states [N=51] |
| Changes scheduled | 38 | 75 |
| No changes scheduled | 13 | 25 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Table D-97b. Number and percentage of states planning major changes in procedures for monitoring and improvement activities, by year changes are scheduled to be in place: School year 2004-05

| Year | Number of states | Percent of | |
|---------------------|------------------|----------------------|---|
| | | All states [N=51] | States planning major changes [n=38] |
| No change scheduled | 13 | 25 | † |
| 2005 | 7 | 14 | 18 |
| 2006 | 24 | 47 | 63 |
| 2007 | 6 | 12 | 16 |
| 2008 | 1 | 2 | 3 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part B Monitoring Evaluation Questionnaire.

Appendix E

Data Tables for Part C Monitoring Evaluation Questionnaire

Table E-1. Number and percentage of states, by date of last completed monitoring period or cycle: 2004-05

| Last completed monitoring period | Number of states | Percent of all states [N=51] |
|---------------------------------------|------------------|---------------------------------|
| January 1 to December 31, 2004 | 3 | 6 |
| July 1, 2004 to June 30, 2005 | 27 | 53 |
| October 1, 2004 to September 30, 2005 | 9 | 18 |
| Other monitoring period | 12 | 24 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-2. Number and percentage of states that had various persons directly providing Part C services, by type of person and service: 2004-05

| Type of person and service | Number of states | Percent of all states [N=51] |
|--|------------------|------------------------------|
| State lead agency staff | | |
| Screening | 6 | 12 |
| Family intake | 10 | 20 |
| Initial evaluation | 6 | 12 |
| Service coordination | 10 | 20 |
| Early intervention | 6 | 12 |
| Staff of one or more other state agencies | | |
| Screening | 9 | 18 |
| Family intake | 5 | 10 |
| Initial evaluation | 8 | 16 |
| Service coordination | 8 | 16 |
| Early intervention | 10 | 20 |
| School district/LEA staff | | |
| Screening | 14 | 27 |
| Family intake | 12 | 24 |
| Initial evaluation | 17 | 33 |
| Service coordination | 11 | 22 |
| Early intervention | 17 | 33 |
| Staff of public regional or local agencies (non-education) | | |
| Screening | 25 | 49 |
| Family intake | 26 | 51 |
| Initial evaluation | 24 | 47 |
| Service coordination | 24 | 47 |
| Early intervention | 25 | 49 |
| Private vendors under contracts or grants directly from the state lead agency | | |
| Screening | 21 | 41 |
| Family intake | 24 | 47 |
| Initial evaluation | 31 | 61 |
| Service coordination | 28 | 55 |
| Early intervention | 33 | 65 |
| Private vendors under contracts or grants directly from another state agency | | |
| Screening | 3 | 6 |
| Family intake | 2 | 4 |
| Initial evaluation | 6 | 12 |
| Service coordination | 5 | 10 |
| Early intervention | 7 | 14 |
| Private vendors under contracts or grants directly from public regional or local agencies | | |
| Screening | 8 | 16 |
| Family intake | 10 | 20 |
| Initial evaluation | 11 | 22 |
| Service coordination | 11 | 22 |
| Early intervention | 16 | 31 |

Table E-2. Number and percentage of states that had various persons directly providing Part C services, by type of person and service: 2004-05—Continued

| Type of person and service | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Individual service lead agencies through a fee-for-service system | | |
| Screening | 1 | 2 |
| Family intake | 1 | 2 |
| Initial evaluation | 3 | 6 |
| Service coordination | 2 | 4 |
| Early intervention | 5 | 10 |
| Other people | | |
| Screening | 2 | 4 |
| Family intake | 1 | 2 |
| Initial evaluation | 2 | 4 |
| Service coordination | 1 | 2 |
| Early intervention | 4 | 8 |

NOTE: States could select more than one service for each person type, therefore, within person type, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-3. State definition of monitoring unit: 2004-05

| Definition | Number of states | Percent of all states [N=51] |
|----------------------------------|------------------|---------------------------------|
| Definition provided ¹ | 51 | 100 |
| Definition not provided | 0 | 0 |

†Not applicable.

¹The specific responses to this question are not included because they contain information that would identify states.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-4. Number and percentage of states responsible for different numbers of monitoring units: 2004-05

| Number of monitoring units | Percent of all states | |
|----------------------------|-----------------------|--------|
| | Number of states | [N=51] |
| 1-9 | 9 | 18 |
| 10-19 | 13 | 25 |
| 20-39 | 11 | 22 |
| 40-59 | 5 | 10 |
| 60-99 | 7 | 14 |
| 100 or more | 6 | 12 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-5. Number and percentage of states selecting different numbers of monitoring units for monitoring: 2004-05

| Number of monitoring units | Percent of all states | |
|----------------------------|-----------------------|--------|
| | Number of states | [N=51] |
| 1-9 | 17 | 33 |
| 10-19 | 14 | 27 |
| 20-39 | 12 | 24 |
| 40-59 | 4 | 8 |
| 60-99 | 0 | 0 |
| 100 or more | 4 | 8 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-6. Number and percentage of states that focused monitoring activities on additional levels other than the monitoring unit, by additional level of focus: 2004-05

| Level of focus | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| State agencies other than state lead agency | 9 | 18 |
| Regional public agencies | 6 | 12 |
| Local public agencies | 10 | 20 |
| Private vendors | 15 | 29 |
| Private individuals providing services under fee-for-service system | 9 | 18 |
| Other level of focus | 6 | 12 |
| State did not focus on additional levels | 24 | 47 |

NOTE: States could select more than one additional level, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-7. Number and percentage of states whose monitoring and improvement planning focused on a select set of areas or priorities: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Focused on a select set of areas or priorities | 38 | 75 |
| Did not use focus areas | 13 | 25 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-8. Number and percentage of states using the same focus areas or priorities for all monitoring units in the state: 2004-05

| Response options | Number of states | Percent of | |
|--|------------------|-------------------|---------------------------------|
| | | All states [N=51] | States using focus areas [n=38] |
| Did not use focus areas | 13 | 25 | † |
| Same focus areas/priorities for all monitoring units | 34 | 67 | 89 |
| Not the same focus areas/priorities for all monitoring units | 4 | 8 | 11 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-9. Number and percentage of states using specific focus areas for monitoring and improvement planning, by focus area: 2004-05

| Focus area | Number of states | Percent of | |
|---|------------------|-------------------|---------------------------------|
| | | All states [N=51] | States using focus areas [n=38] |
| Did not use focus areas | 13 | 25 | † |
| Participation rate | 14 | 27 | 37 |
| Child find | 29 | 57 | 76 |
| Dispute resolution | 12 | 24 | 32 |
| IFSP requirements/procedures | 35 | 69 | 92 |
| Staffing levels | 13 | 25 | 34 |
| Personnel qualifications | 21 | 41 | 55 |
| Natural environments | 32 | 63 | 84 |
| Performance on child assessments | 14 | 27 | 37 |
| Disproportionality of racial/ethnic groups | 9 | 18 | 24 |
| Transition to other settings | 27 | 53 | 71 |
| Transition to preschool | 33 | 65 | 87 |
| Timeliness of referrals/evaluations/services/reporting ¹ | 9 | 18 | 24 |
| Other focus areas | 12 | 24 | 32 |

†Not applicable.

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one focus area, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-10. Number and percentage of states using various methods to select focus areas for monitoring and improvement planning, by method of selection: 2004-05

| Method of selection | Number of states | Percent | |
|---|------------------|----------------------|---------------------------------------|
| | | All states [N=51] | States using focus areas [n=38] |
| Did not use focus areas | 13 | 25 | † |
| Analyzed Section 618 data | 23 | 45 | 61 |
| Compiled/analyzed dispute resolution data | 11 | 22 | 29 |
| Analyzed findings from recent monitoring unit monitoring | 22 | 43 | 58 |
| Analyzed monitoring unit applications for funds | 9 | 18 | 24 |
| Analyzed monitoring unit self-assessments | 15 | 29 | 39 |
| Analyzed monitoring unit policies/procedures | 12 | 24 | 32 |
| Analyzed findings from stakeholder surveys | 12 | 24 | 32 |
| Consulted with/followed recommendations of OSEP staff | 16 | 31 | 42 |
| Consulted with/followed recommendations of state-level steering committee | 21 | 41 | 55 |
| Consulted with/followed recommendations of an advisory group | 15 | 29 | 39 |
| Analyzed areas related to Federal reporting requirements ¹ | 6 | 12 | 16 |
| Used other methods | 15 | 29 | 39 |

†Not applicable.

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one focus area, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-11. Number and percentage of states with specific indicators for each focus area: 2004-05

| Response options | Number of states | Percent of | |
|----------------------------------|------------------|----------------------|---------------------------------------|
| | | All states [N=51] | States using focus areas [n=38] |
| Did not use focus areas | 13 | 25 | † |
| Had specific indicators | 32 | 63 | 84 |
| Did not have specific indicators | 6 | 12 | 16 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-12. Number and percentage of states with specific targets related to the indicators for each focus area: 2004-05

| Response options | Number of states | Percent of | |
|---|------------------|----------------------|---|
| | | All states [N=51] | States with specific indicators [n=32] |
| Did not use focus areas | 13 | 25 | † |
| Did not have specific indicators | 6 | 12 | † |
| Specific targets for all focus areas | 19 | 37 | 59 |
| Specific targets for some, but not all, focus areas | 10 | 20 | 31 |
| No specific targets | 3 | 6 | 9 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-13. Number and percentage of states that coordinated monitoring of monitoring units under IDEA with monitoring activities of other programs: 2004-05

| Response options | Number of states | Percent of |
|--|------------------|----------------------|
| | | all states [N=51] |
| Coordinated with other programs | 21 | 41 |
| Did not coordinate with other programs | 30 | 59 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-14. Number and percentage of states that coordinated monitoring under IDEA with specific other programs, by program type: 2004-05

| Program type | Number of states | Percent of | |
|--|------------------|----------------------|-------------------------------------|
| | | All states [N=51] | States that coordinate [n=21] |
| Did not coordinate monitoring with other programs | 30 | 59 | † |
| State Education Agency (if the SEA is not the state lead agency) | 7 | 14 | 33 |
| Health Department | 5 | 10 | 24 |
| Maternal and Child Health | 3 | 6 | 14 |
| Medicaid | 9 | 18 | 43 |
| Head Start | 1 | 2 | 5 |
| Child Care | 3 | 6 | 14 |
| Child Welfare | 2 | 4 | 10 |
| Mental Health | 3 | 6 | 14 |
| Developmental Disabilities | 8 | 16 | 38 |
| Other program type | 8 | 16 | 38 |

†Not applicable.

NOTE: States could select more than one program type, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-15. Number and percentage of states devoting monitoring and improvement efforts to various accountability areas, by accountability area and percent of effort: 2004-05

| Accountability area and percent of effort | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Ensuring that process and procedural requirements are met | | |
| 0% | 0 | 0 |
| 1-20% | 2 | 4 |
| 21-40% | 22 | 43 |
| 41-60% | 20 | 39 |
| 61-80% | 5 | 10 |
| 81-99% | 1 | 2 |
| 100% | 0 | 0 |
| Ensuring that requirements to provide appropriate services are met | | |
| 0% | 0 | 0 |
| 1-20% | 5 | 10 |
| 21-40% | 32 | 63 |
| 41-60% | 11 | 22 |
| 61-80% | 2 | 4 |
| 81-99% | 0 | 0 |
| 100% | 0 | 0 |
| Improving child outcomes directly by improving practices | | |
| 0% | 0 | 0 |
| 1-20% | 32 | 63 |
| 21-40% | 14 | 27 |
| 41-60% | 0 | 0 |
| 61-80% | 0 | 0 |
| 81-99% | 0 | 0 |
| 100% | 0 | 0 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-16. Number and percentage of states that identified statewide systemic noncompliance requiring special attention and systemic remedies: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Identified statewide noncompliance | 35 | 69 |
| Did not identify statewide noncompliance | 16 | 31 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-17. Number and percentage of states using various methods to identify statewide systemic noncompliance, by method used: 2004-05

| Method | Number of states | Percent of | |
|---|------------------|-------------------|---|
| | | All states [N=51] | States that identified statewide noncompliance [n=35] |
| Did not identify statewide noncompliance | 16 | 31 | † |
| Analyzed statewide quantitative child outcomes data | 14 | 27 | 40 |
| Analyzed monitoring unit self-assessment | 18 | 35 | 51 |
| Used statewide parent/stakeholder surveys | 14 | 27 | 40 |
| Used parent/stakeholder surveys during monitoring unit monitoring | 15 | 29 | 43 |
| Analyzed qualitative data collected during monitoring unit monitoring | 20 | 39 | 57 |
| Used record reviews during monitoring unit monitoring | 30 | 59 | 86 |
| Used systemic review of dispute resolution data | 18 | 35 | 51 |
| Used review of data from statewide database ¹ | 4 | 11 | 8 |
| Used other methods | 11 | 22 | 31 |

†Not applicable.

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one method, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-18. Number and percentage of states that identified local systemic noncompliance that required special attention and systemic remedies: 2004-05

| Response options | Percent of | |
|--------------------------------------|------------------|-------------------|
| | Number of states | all states [N=51] |
| Identified local noncompliance | 43 | 84 |
| Did not identify local noncompliance | 8 | 16 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-19. Number and percentage of states that identified local systemic noncompliance, by method used: 2004-05

| Method | Number of states | Percent of | |
|--|------------------|-------------------|---------------------------------|
| | | All states [N=51] | States using focus areas [n=43] |
| Did not identify local noncompliance | | | † |
| Analyzed quantitative child outcomes data | 13 | 25 | 30 |
| Analyzed monitoring unit self-assessments | 20 | 39 | 47 |
| Used survey of parents from monitoring unit | 22 | 43 | 51 |
| Used survey of other stakeholders from monitoring unit | 13 | 25 | 30 |
| Analyzed qualitative data collecting during monitoring unit monitoring | 27 | 53 | 63 |
| Used record reviews during monitoring unit monitoring | 40 | 78 | 93 |
| Used systemic review of dispute resolution data | 22 | 43 | 51 |
| Used review of data from statewide database ¹ | 5 | 12 | 10 |
| Used other methods | 11 | 22 | 26 |

†Not applicable.

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one method, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-20. Number and percentage of states using various procedures to select monitoring units for monitoring: 2004-05

| Procedures | Number of states | Percent of all states [N=51] |
|--|------------------|------------------------------|
| Monitored all monitoring units each year | 20 | 39 |
| Used regular cycle to select monitoring units | 19 | 37 |
| Used cycle to select monitoring units, but cycle was not regular; frequency of monitoring for each monitoring unit determined by prior compliance or performance | 2 | 4 |
| Used prior compliance or performance alone to select monitoring units | 3 | 6 |
| Used a cycle to select some monitoring units; others selected based on prior compliance or performance | 6 | 12 |
| Monitoring occurred at two levels; different procedures used at each level | 1 | 2 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-21. Number and percentage of states using a regular cycle to select monitoring units for monitoring, by length of cycle: 2004-05

| Length of cycle | Number of states | Percent of | |
|-----------------------------|------------------|----------------------|--|
| | | All states [N=51] | States using a regular cycle [n=19] |
| Did not use a regular cycle | 32 | 63 | † |
| 1.5 years | 1 | 2 | 5 |
| 2 years | 1 | 2 | 5 |
| 3 years | 10 | 20 | 53 |
| 3.5 years | 1 | 2 | 5 |
| 4 years | 3 | 6 | 16 |
| 5 or more years | 3 | 6 | 16 |

† Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-22. Number and percentage of states that used various compliance or performance criteria to select monitoring units for monitoring, by selection criteria: 2004-05

| Selection criteria | Number of states | Percent of | |
|--|------------------|----------------------|--|
| | | All states [N=51] | States that used prior compliance/ performance [n=11] |
| Did not use prior compliance/performance | 40 | 78 | † |
| Process and procedural requirements | 9 | 18 | 82 |
| Provision of child/family services | 10 | 20 | 91 |
| Child/family outcomes data | 3 | 6 | 27 |
| Dispute resolution data | 5 | 10 | 45 |
| State designated focus areas | 7 | 14 | 64 |
| Other selection criteria | 5 | 10 | 45 |

† Not applicable.

NOTE: States could select more than one selection criterion, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-23. Number and percentage of states that used various monitoring-related activities for monitoring units not selected for monitoring, by activity: 2004-05

| Activity | Number of states | Percent of | |
|---|------------------|----------------------|--|
| | | All states [N=51] | States that selected monitoring units [n=31] |
| All monitoring units monitored | 20 | 39 | † |
| Collected/analyzed compliance indicator data | 24 | 47 | 77 |
| Collected/analyzed child/family outcome indicator data | 10 | 20 | 32 |
| Collected/analyzed dispute resolution data | 14 | 27 | 45 |
| Conducted desk audit or review of data/documents | 19 | 37 | 61 |
| Monitoring unit conducted self-assessment and reported results to state | 13 | 25 | 42 |
| None of the above occurred | 3 | 6 | 10 |

†Not applicable.

NOTE: States could select more than one activity, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-24. Number and percentage of states that reviewed child records in monitoring units selected for monitoring: 2004-05

| Response options | Number of states | Percent of |
|----------------------------|------------------|----------------------|
| | | all states [N=51] |
| Child records reviewed | 50 | 98 |
| Child records not reviewed | 1 | 2 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-25. Number and percentage of states that used random sampling to select child records for review: 2004-05

| Response options | Number of states | Percent of | |
|----------------------------|------------------|----------------------|---|
| | | All states [N=51] | States that reviewed records [n=50] |
| Child records not reviewed | 1 | 2 | † |
| Random sampling used | 50 | 98 | 100 |
| Random sampling not used | 0 | 0 | 0 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-26. Number and percentage of states that used random sampling to select child records for review, by type of random sampling used: 2004-05

| Type of random sampling | Number of states | Percent of | |
|---------------------------------|------------------|----------------------|--|
| | | All states [N=51] | States that used random sampling [n=50] |
| Child records not reviewed | 1 | 2 | † |
| Random sampling not used | 0 | 0 | † |
| Simple random sampling used | 23 | 45 | 46 |
| Stratified random sampling used | 27 | 53 | 54 |
| Other type of sampling used | 0 | 0 | 0 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-27. Number and percentage of states that used stratified random sampling, by categories (strata) used: 2004-05

| Categories (strata) | Percent | | |
|--|------------------|-------------------|--|
| | Number of states | All states [N=51] | States that used stratified random sampling [n=27] |
| Child records not reviewed | 1 | 2 | † |
| Random sampling not used | 0 | 0 | † |
| Stratified random sampling not used | 23 | 45 | † |
| Disability category | 9 | 18 | 33 |
| Age | 21 | 41 | 78 |
| Date of identification | 14 | 27 | 52 |
| Race or ethnicity | 7 | 14 | 26 |
| Setting | 4 | 8 | 15 |
| Service coordinator ¹ | 4 | 8 | 15 |
| Language spoken by family ¹ | 1 | 2 | 4 |
| Town of residence ¹ | 1 | 2 | 4 |
| Medicaid eligibility ¹ | 3 | 6 | 11 |
| Other category (strata) used | 9 | 18 | 33 |

†Not applicable.

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one category, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-28a. Number and percentage of states that used oversampling for one or more categories: 2004-05

| Response options | Percent of | | |
|-------------------------------------|------------------|-------------------|--|
| | Number of states | All states [N=51] | States that used stratified random sampling [n=27] |
| Child records not reviewed | 1 | 2 | † |
| Random sampling not used | 0 | 0 | † |
| Stratified random sampling not used | 23 | 45 | † |
| Used oversampling | 7 | 14 | 26 |
| Did not use oversampling | 20 | 39 | 74 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-28b. Number and percentage of states that oversampled specific categories, by category: 2004-05

| Category | Number of states | Percent of | |
|-------------------------------------|------------------|----------------------|---|
| | | All states [N=51] | States that used oversampling [n=7] |
| Child records not reviewed | 1 | 2 | † |
| Random sampling not used | 0 | 0 | † |
| Stratified random sampling not used | 23 | 45 | † |
| Oversampling not used | 20 | 39 | † |
| Transition | 3 | 6 | 43 |
| Disability category | 1 | 2 | 14 |
| Medicaid eligibility | 1 | 2 | 14 |
| Service coordinator | 1 | 2 | 14 |
| Date of referral | 1 | 2 | 14 |
| Exceeding 45 day timeline | 1 | 2 | 14 |
| Primary coach | 1 | 2 | 14 |

†Not applicable.

NOTE: States could oversample more than one category, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-29. Number and percentage of states that reviewed various percentages of child records, by lowest and highest percentage of records reviewed in a monitoring unit: 2004-05

| Percentage of records | Number of states | Percent of all states [N=51] |
|-----------------------|------------------|---------------------------------|
| Lowest percentage | | |
| 0% | 0 | 0 |
| 1-4% | 4 | 8 |
| 5-9% | 11 | 22 |
| 10-19% | 23 | 45 |
| 20-50% | 7 | 14 |
| 51-99% | 0 | 0 |
| 100% | 0 | 0 |
| Highest percentage | | |
| 1-9% | 1 | 2 |
| 10-19% | 22 | 43 |
| 20-29% | 9 | 18 |
| 30-39% | 4 | 8 |
| 40-49% | 1 | 2 |
| 50-99% | 2 | 4 |
| 100% | 9 | 18 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-30. Number and percentage of states where monitoring unit monitoring involved a site visit: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--|------------------|------------------------------|
| Site visit for all selected monitoring units | 31 | 61 |
| Site visit for some monitoring units, following a regular cycle | 3 | 6 |
| Site visit for some monitoring units, based on decision criteria | 12 | 24 |
| Monitoring never included a site visit | 2 | 4 |
| More than one response selected | 3 | 6 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-31. Number and percentage of states where selected monitoring units were required to conduct self-assessments: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|---|------------------|------------------------------|
| All selected monitoring units conducted self-assessments | 23 | 45 |
| Some selected monitoring units conducted self-assessments | 5 | 10 |
| No selected monitoring units conducted self-assessments | 23 | 45 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-32. Number and percentage of states that provided a standard self-assessment procedure for monitoring units to follow: 2004-05

| Response options | Number of states | Percent of | |
|---|------------------|-------------------|---|
| | | All states [N=51] | States where monitoring units conducted self-assessments [n=28] |
| Monitoring units did not conduct self-assessments | 23 | 45 | † |
| State provided a standard procedure | 23 | 45 | 82 |
| State did not provide a standard procedure | 3 | 6 | 11 |
| Nonresponse | 2 | 4 | 7 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-33. Number and percentage of states using various data sources when monitoring monitoring units or planning improvements, by data source and frequency of use: 2004-05

| Data source frequency | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Parent survey | | |
| Never | 6 | 12 |
| Rarely | 10 | 20 |
| Usually | 8 | 16 |
| Always | 26 | 51 |
| Parent interviews or focus groups | | |
| Never | 6 | 12 |
| Rarely | 13 | 25 |
| Usually | 10 | 20 |
| Always | 22 | 43 |
| Early intervention specialist survey | | |
| Never | 24 | 47 |
| Rarely | 10 | 20 |
| Usually | 7 | 14 |
| Always | 7 | 14 |
| Early intervention specialist interviews or focus groups | | |
| Never | 16 | 31 |
| Rarely | 9 | 18 |
| Usually | 10 | 20 |
| Always | 16 | 31 |
| Advocate survey | | |
| Never | 39 | 76 |
| Rarely | 8 | 16 |
| Usually | 2 | 4 |
| Always | 0 | 0 |
| Advocate interviews or focus groups | | |
| Never | 33 | 65 |
| Rarely | 9 | 18 |
| Usually | 3 | 6 |
| Always | 4 | 8 |
| Site-based administrator (local program director) survey | | |
| Never | 25 | 49 |
| Rarely | 7 | 14 |
| Usually | 6 | 12 |
| Always | 11 | 22 |
| Site-based administrator (local program director) interviews or focus groups | | |
| Never | 8 | 16 |
| Rarely | 5 | 10 |
| Usually | 7 | 14 |
| Always | 30 | 59 |

Table E-33. Number and percentage of states using various data sources when monitoring monitoring units or planning improvements, by data source and frequency of use: 2004-05—Continued

| Data source frequency | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Monitoring unit self-assessment reports | | |
| Never | 10 | 20 |
| Rarely | 4 | 8 |
| Usually | 11 | 22 |
| Always | 26 | 51 |
| Public hearings | | |
| Never | 33 | 65 |
| Rarely | 10 | 20 |
| Usually | 4 | 8 |
| Always | 1 | 2 |
| Review of child folders, including review of IFSPs | | |
| Never | 0 | 0 |
| Rarely | 1 | 2 |
| Usually | 2 | 4 |
| Always | 48 | 94 |
| Review of dispute resolution data | | |
| Never | 6 | 12 |
| Rarely | 6 | 12 |
| Usually | 7 | 14 |
| Always | 32 | 63 |
| Review of placement rate data | | |
| Never | 15 | 29 |
| Rarely | 4 | 8 |
| Usually | 10 | 20 |
| Always | 22 | 43 |
| Review of child assessment data | | |
| Never | 8 | 16 |
| Rarely | 1 | 2 |
| Usually | 9 | 18 |
| Always | 33 | 65 |
| Other data sources | | |
| Never | 33 | 65 |
| Rarely | 0 | 0 |
| Usually | 2 | 4 |
| Always | 16 | 31 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-34. Number and percentage of states where state had electronic database of individual child records that was used for monitoring and improvement planning: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|----------------------------------|------------------|---------------------------------|
| Had electronic database | 41 | 80 |
| Did not have electronic database | 10 | 20 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-35a. Number and percentage of states whose electronic database of individual child records included child records for various age groups, by child age group and availability: 2004-05

| Child age group and availability | Number of states | Percent of | |
|--|------------------|----------------------|--|
| | | All states [N=51] | States with electronic database of child records [n=41] |
| No electronic database of individual child records | 10 | 20 | † |
| Age birth through 2 | | | |
| Some/all child records available for all monitoring units | 38 | 75 | 93 |
| Some/all child records available for some monitoring units | 1 | 2 | 2 |
| No child records available for this age group | 3 | 6 | 7 |
| Age 3 through 5 | | | |
| Some/all child records available for all monitoring units | 8 | 16 | 20 |
| Some/all child records available for some monitoring units | 0 | 0 | 0 |
| No child records available for this age group | 33 | 65 | 80 |

† Not applicable.

NOTE: Some states selected the *some* monitoring units response option and the *all* monitoring units response option, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-35b. Number and percentage of states whose electronic database of individual child records included IFSPs for various age groups, by child age group and availability: 2004-05

| Child age group and availability | Number of states | Percent of | |
|--|------------------|-------------------|---|
| | | All states [N=51] | States with electronic database of child records [n=41] |
| No electronic database of individual child records | 10 | 20 | † |
| Age birth through 2 | | | |
| Records included IFSPs for all monitoring units | 22 | 43 | 54 |
| Records included IFSPs for some monitoring units | 2 | 4 | 5 |
| No records available for this age group | 17 | 33 | 41 |
| Age 3 through 5 | | | |
| Records included IFSPs for all monitoring units | 3 | 6 | 7 |
| Records included IFSPs for some monitoring units | 0 | 0 | 0 |
| No records available for this age group | 38 | 75 | 93 |

† Not applicable.

NOTE: Some states selected the *some* monitoring units response option and the *all* monitoring units response option, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-36. Number and percentage of states where the electronic database of individual child records that was used for monitoring allowed tracking of children from Part C to Part B: 2004-05

| Response options | Number of states | Percent of | |
|---|------------------|-------------------|--|
| | | All states [N=51] | States with electronic database [n=41] |
| Did not have electronic database | 10 | 20 | † |
| Database allowed tracking from Part C to Part B | 23 | 45 | 56 |
| Database did not allow tracking from Part C to Part B | 18 | 35 | 44 |

† Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-37. Number and percentage of states where state had electronic database of individual child records that was used for monitoring and improvement planning, by frequency of updates: 2004-05

| Frequency of updates | Number of states | Percent of | |
|----------------------------------|------------------|----------------------|---|
| | | All states [N=51] | States with electronic database [n=41] |
| Did not have electronic database | 10 | 20 | † |
| Continuously | 30 | 59 | 73 |
| Monthly | 5 | 10 | 12 |
| Annually | 1 | 2 | 2 |
| Other frequency | 5 | 10 | 12 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-38. Number and percentage of states where the state has plans to establish electronic database of individual child records for use in monitoring and improvement planning: 2004-05

| Response options | Number of states | Percent of | |
|-------------------------------------|------------------|----------------------|--|
| | | All states [N=51] | States without electronic database [n=10] |
| Already has such a database | 41 | 80 | † |
| Plans to establish database | 7 | 14 | 70 |
| Does not plan to establish database | 3 | 6 | 30 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-39. Number and percentage of states where planned database will include child records from all monitoring units: 2004-05

| Response options | Number of states | Percent of | |
|--|------------------|-------------------|---|
| | | All states [N=51] | States planning to establish database [n=7] |
| Already has electronic database | 41 | 8 | † |
| Does not plan to establish database | 3 | 6 | † |
| Database will include all monitoring units | 7 | 14 | 100 |
| Database will not include all monitoring units | 0 | 0 | 0 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-40. Number and percentage of states that will include different age ranges in the planned electronic database, by planned age range: 2004-05

| Planned age range | Number of states | Percent of | |
|-------------------------------------|------------------|-------------------|---|
| | | All states [N=51] | States planning to establish database [n=7] |
| Already has electronic database | 41 | 80 | † |
| Does not plan to establish database | 3 | 6 | † |
| Birth to 2 | 3 | 6 | 43 |
| Birth to 3 | 1 | 2 | 14 |
| Birth to 4 | 1 | 2 | 14 |
| Birth to 21 | 1 | 2 | 14 |
| Birth to death | 1 | 2 | 14 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-41. Number and percentage of states with established date for planned database to be fully operational, by planned date: 2004-05

| Planned date | Number of states | Percent of | |
|-------------------------------------|------------------|----------------------|--|
| | | All states [N=51] | States planning to establish database [n=7] |
| Already has electronic database | 41 | 80 | † |
| Does not plan to establish database | 3 | 6 | † |
| 2005 | 1 | 2 | 14 |
| 2006 | 4 | 8 | 57 |
| Don't know | 2 | 4 | 29 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-42. Number and percentage of states with specific information available for monitoring and improvement planning, by information source: 2004-05

| Information source | Number of states | Percent of |
|-------------------------|------------------|----------------------|
| | | all states [N=51] |
| Complaints | 38 | 75 |
| Mediations | 21 | 41 |
| Due process hearings | 24 | 47 |
| Compliance findings | 40 | 78 |
| Corrective actions | 42 | 82 |
| Local improvement plans | 41 | 80 |

NOTE: States could select more than one information source, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-43. Number and percentage of states that analyzed dispute resolution data to determine whether statewide systemic noncompliance had occurred: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Analyzed dispute resolution data | 28 | 55 |
| Did not analyze dispute resolution data | 21 | 41 |
| Not enough data to analyze ¹ | 2 | 4 |

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-44. Number and percentage of states that analyzed dispute resolution data to determine whether local systemic noncompliance had occurred: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Analyzed dispute resolution data | 31 | 61 |
| Did not analyze dispute resolution data | 18 | 35 |
| Not enough data to analyze ¹ | 2 | 4 |

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-45. Number and percentage of states where findings from monitoring and improvement activities led to further evaluation in specific areas where statewide systemic noncompliance was found: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Findings led to further evaluation | 35 | 69 |
| Findings did not lead to further evaluation | 16 | 31 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-46. Number and percentage of states that conducted further evaluation of specific areas where statewide systemic noncompliance was found, by entity conducting the evaluation: 2004-05

| Entity conducting evaluation | Number of states | Percent of | |
|--------------------------------------|------------------|----------------------|------------------------------------|
| | | All states [N=51] | States that evaluated [n=35] |
| Did not conduct further evaluation | 16 | 31 | † |
| State | 18 | 35 | 51 |
| Advisory group or steering committee | 1 | 2 | 3 |
| Independent external evaluator | 1 | 2 | 3 |
| Monitoring unit self-evaluated | 3 | 6 | 9 |
| Other entity conducted evaluation | 12 | 24 | 34 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-47. Number and percentage of states that had an individual whose primary responsibility was to coordinate monitoring activities: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|---------------------------------|------------------|------------------------------------|
| Had such an individual | 38 | 75 |
| Did not have such an individual | 13 | 25 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-48. Name of person whose primary responsibility was to coordinate monitoring activities: 2004-05

| Name | Number of states | Percent of | |
|---------------------------------|------------------|----------------------|--|
| | | All states [N=51] | States with such an individual [n=38] |
| Did not have such an individual | 13 | 25 | † |
| Name ¹ | 38 | 75 | 100 |

†Not applicable.

¹The specific responses to this question are not included because they contain personal information or information that would identify states.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-49. Name and position of person supervising the individual whose primary responsibility was to coordinate monitoring activities: 2004-05

| Name and position | Number of states | Percent of | |
|---------------------------------|------------------|----------------------|--|
| | | All states [N=51] | States with such an individual [n=38] |
| Did not have such an individual | 13 | 25 | † |
| Name and position ¹ | 38 | 75 | 100 |

†Not applicable.

¹The specific responses to this question are not included because they contain personal information or information that would identify states.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-50. Number and percentage of states that had an individual whose primary responsibility was to coordinate improvement planning and implementation: 2004-05

| Response options | Percent of | |
|---------------------------------|------------------|----------------------|
| | Number of states | all states [N=51] |
| Had such an individual | 36 | 71 |
| Did not have such an individual | 15 | 29 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-51. Name of person whose primary responsibility was to coordinate improvement planning and implementation: 2004-05

| Name | Percent of | | |
|---------------------------------|------------------|----------------------|--|
| | Number of states | All states [N=51] | States with such an individual [n=36] |
| Did not have such an individual | 15 | 29 | † |
| Name ¹ | 36 | 71 | 100 |

†Not applicable.

¹The specific responses to this question are not included because they contain personal information or information that would identify states.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-52. Name and position of person supervising the individual whose primary responsibility was to coordinate improvement planning and implementation: 2004-05

| Name and position | Number of states | Percent of | |
|---------------------------------|------------------|----------------------|--|
| | | All states [N=51] | States with such an individual [n=36] |
| Did not have such an individual | 15 | 29 | † |
| Name and position ¹ | 36 | 71 | 100 |

†Not applicable.

¹The specific responses to this question are not included because they contain personal information or information that would identify of states.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-53. Number and percentage of states that provided training to monitoring units on requirements and procedures for collecting and reporting data used for monitoring: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--|------------------|------------------------------------|
| Provided training to monitoring units | 48 | 94 |
| Did not provide training to monitoring units | 3 | 6 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-54. Number and percentage of states that provided training to monitoring units on requirements and procedures for collecting and reporting data used for monitoring, by frequency of training: 2004-05

| Frequency of training | Number of States | Percent of | |
|--|------------------|-------------------|----------------------------------|
| | | All states [N=51] | States providing training [n=48] |
| Did not provide training to monitoring units | 3 | 6 | † |
| Only when requirements and procedures changed | 13 | 25 | 27 |
| Each time monitoring unit was selected for monitoring | 9 | 18 | 19 |
| Every year, regardless of the monitoring cycle | 15 | 29 | 31 |
| Every _____ years, regardless of the monitoring cycle ¹ | 1 | 2 | 2 |
| Other frequency | 10 | 20 | 21 |

†Not applicable.

¹This state provided training every 3 years.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-55. Number and percentage of states that provided training to monitoring units on requirements and procedures for collecting and reporting data used for local improvement activities: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--|------------------|------------------------------|
| Provided training to monitoring units | 44 | 86 |
| Did not provide training to monitoring units | 7 | 14 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-56. Number and percentage of states that provided training to monitoring units on requirements and procedures for collecting and reporting data used for local improvement activities, by frequency of training: 2004-05

| Frequency of training | Number of states | Percent of | |
|--|---------------------|-------------------------|---|
| | | All states [N=51] | States providing training [n=44] |
| Did not provide training to monitoring units | 7 | 14 | † |
| Only when requirements and procedures changed | 16 | 31 | 36 |
| Each time monitoring unit was selected for monitoring | 7 | 14 | 16 |
| Every year, regardless of the monitoring cycle | 14 | 27 | 32 |
| Every _____ years, regardless of the monitoring cycle ¹ | 2 | 4 | 5 |
| Other frequency | 5 | 10 | 11 |

†Not applicable.

¹One of these states provided training every 1 year and the other every 3 years.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-57a. Number and percentage of states with various types of individuals serving on monitoring teams, by type of individual: 2004-05

| Type of individual | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Staff from the state lead agency | 48 | 94 |
| Staff from the SEA (if not the state lead agency) | 7 | 14 |
| Staff from other state agencies (except Part C state lead agency) | 17 | 33 |
| Parents of children with disabilities | 21 | 41 |
| Advocates for persons with disabilities | 3 | 6 |
| Early intervention specialists | 13 | 25 |
| Related service lead agencies | 4 | 8 |
| Part C local program directors | 14 | 27 |
| Representatives of professional organizations or associations | 1 | 2 |
| Representatives from Health Department | 10 | 20 |
| Representatives from Maternal and Child Health | 7 | 14 |
| Representatives from Medicaid | 7 | 14 |
| Representatives from Head Start | 2 | 4 |
| Representatives from Child Care | 1 | 2 |
| Representatives from Child Welfare | 4 | 8 |
| Representatives from Mental Health | 7 | 14 |
| Representatives from Developmental Disabilities | 8 | 16 |
| Outside consultants | 10 | 20 |
| Higher education faculty ¹ | 1 | 2 |
| Other type of individual | 7 | 14 |

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one type of individual, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-57b. Number and percentage of states with various types of individuals participating in monitoring site visits, by type of individual: 2004-05

| Type of individual | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Staff from the state lead agency | 43 | 84 |
| Staff from the SEA (if not the state lead agency) | 8 | 16 |
| Staff from other state agencies (except Part C state lead agency) | 17 | 33 |
| Parents of children with disabilities | 21 | 41 |
| Advocates for persons with disabilities | 4 | 8 |
| Early intervention specialists | 19 | 37 |
| Related service lead agencies | 8 | 16 |
| Part C local program directors | 23 | 45 |
| Representatives of professional organizations or associations | 2 | 4 |
| Representatives from Health Department | 12 | 24 |
| Representatives from Maternal and Child Health | 8 | 16 |
| Representatives from Medicaid | 8 | 16 |
| Representatives from Head Start | 3 | 6 |
| Representatives from Child Care | 2 | 4 |
| Representatives from Child Welfare | 5 | 10 |
| Representatives from Mental Health | 6 | 12 |
| Representatives from Developmental Disabilities | 7 | 14 |
| Outside consultants | 7 | 14 |
| Higher education faculty ¹ | 1 | 2 |
| Other type of individual | 6 | 12 |

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one type of individual, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-57c. Number and percentage of states with various types of individuals participating in local improvement planning or implementation, by type of individual: 2004-05

| Type of individual | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Staff from the state lead agency | 44 | 86 |
| Staff from the SEA (if not the state lead agency) | 13 | 25 |
| Staff from other state agencies (except Part C state lead agency) | 16 | 31 |
| Parents of children with disabilities | 26 | 51 |
| Advocates for persons with disabilities | 13 | 25 |
| Early intervention specialists | 26 | 51 |
| Related service lead agencies | 12 | 23 |
| Part C local program directors | 31 | 61 |
| Representatives of professional organizations or associations | 10 | 20 |
| Representatives from Health Department | 21 | 41 |
| Representatives from Maternal and Child Health | 15 | 29 |
| Representatives from Medicaid | 12 | 24 |
| Representatives from Head Start | 17 | 33 |
| Representatives from Child Care | 14 | 27 |
| Representatives from Child Welfare | 16 | 31 |
| Representatives from Mental Health | 15 | 29 |
| Representatives from Developmental Disabilities | 14 | 27 |
| Outside consultants | 10 | 20 |
| Higher education faculty ¹ | 1 | 2 |
| Other type of individual | 7 | 14 |

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one type of individual, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-58. Number and percentage of states using various methods to select parents of children with disabilities or disability advocates to serve on monitoring teams, by selection method used: 2004-05

| Selection method | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| No parents/advocates selected | 20 | 39 |
| Selected specific individuals from a variety of organizations | 4 | 8 |
| Invited organizations to appoint individuals | 7 | 14 |
| Selected specific individuals without regard to organizational Affiliation | 6 | 12 |
| Selected from individuals who volunteered | 12 | 24 |
| Selected parents/advocates ¹ | 3 | 6 |
| Used other method | 11 | 22 |

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one method, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-59. Number and percentage of states where individuals serving on monitoring teams participated in training about monitoring: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| All individuals participated in training | 35 | 69 |
| Some individuals participated in training | 9 | 18 |
| No individuals participated in training | 7 | 14 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-60. Number and percentage of states where individuals serving on monitoring teams participated in training about monitoring, by frequency of training: 2004-05

| Frequency of training | Number of states | Percent of | |
|--|------------------|----------------------|----------------------------------|
| | | All states [N=51] | States that trained [n=44] |
| No individuals trained | 7 | 14 | † |
| Once, upon initial involvement | 23 | 45 | 52 |
| Prior to serving on each monitoring team | 16 | 31 | 36 |
| Prior to each site visit | 14 | 27 | 32 |
| Cyclically (e.g., annually, biannually) | 12 | 24 | 27 |
| Other frequency | 6 | 12 | 14 |

†Not applicable.

NOTE: States could select more than one frequency of training, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-61. Number and percentage of states where individuals serving on monitoring teams participated in training about monitoring, by training topic: 2004-05

| Training topic | Number of states | Percent of | |
|-----------------------------------|------------------|----------------------|-------------------------------|
| | | All states [N=51] | States that trained [n=44] |
| No individuals trained | 7 | 14 | † |
| Relevant rules and regulations | 32 | 63 | 73 |
| Procedures for reviewing records | 39 | 76 | 89 |
| Interviewing techniques | 21 | 41 | 48 |
| Provision of technical assistance | 21 | 41 | 48 |
| Debriefing techniques | 19 | 37 | 43 |
| Report writing | 17 | 33 | 39 |
| Confidentiality | 31 | 61 | 70 |
| Other topics | 13 | 25 | 30 |

†Not applicable.

NOTE: States could select more than one training topic, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-62. Number and percentage of states where individuals working on local improvement planning and implementation participated in training about monitoring: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| All individuals participated in training | 24 | 47 |
| Some individuals participated in training | 7 | 14 |
| No individuals participated in training | 20 | 39 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-63. Number and percentage of states where individuals working on local improvement planning and implementation participated in training about monitoring, by frequency of training: 2004-05

| Frequency of training | Number of states | Percent of | |
|---|------------------|----------------------|-------------------------------|
| | | All states [N=51] | States that trained [n=31] |
| No individuals trained | 20 | 39 | † |
| Once, upon initial involvement | 18 | 35 | 58 |
| Cyclically (e.g., annually, biannually) | 14 | 27 | 45 |
| Other frequency | 9 | 18 | 29 |

†Not applicable.

NOTE: States could select more than one frequency of training, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-64. Number and percentage of states with a state-level steering committee specifically devoted to monitoring and improvement activities: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--|------------------|------------------------------|
| Had state-level steering committee | 15 | 29 |
| Used State Interagency Coordinating Council | 25 | 49 |
| Used state special education advisory committee or similar group | 1 | 2 |
| No such group or any other similar group | 8 | 16 |
| More than one response option checked | 2 | 4 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-65. Number and percentage of states including various stakeholders on the state-level steering committee, by type of stakeholder: 2004-05

| Type of stakeholder | Number of states | Percent of | |
|---|------------------|-------------------|---------------------------------------|
| | | All states [N=51] | States with steering committee [n=43] |
| Did not have state-level steering committee | 8 | 16 | † |
| Individuals with disabilities | 8 | 16 | 19 |
| Parents of children with disabilities | 40 | 78 | 93 |
| Advocates for individuals with disabilities | 26 | 51 | 60 |
| Early intervention personnel | 37 | 73 | 86 |
| Local program directors | 37 | 73 | 86 |
| Related services personnel | 22 | 43 | 51 |
| Assessment personnel | 21 | 41 | 49 |
| Staff from Maternal and Child Health | 31 | 61 | 72 |
| Staff from Medicaid | 28 | 55 | 65 |
| Staff from Head Start | 25 | 49 | 58 |
| Staff from Child Care | 24 | 47 | 56 |
| Staff from Child Welfare | 26 | 51 | 60 |
| Staff from Developmental Disabilities | 28 | 55 | 65 |
| Staff from other state or local agencies | 39 | 76 | 91 |

†Not applicable.

NOTE: States could select more than one type of stakeholder, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-66. Number and percentage of states using various methods to select individuals with disabilities, parents of children with disabilities, and disability advocates for the state-level steering committee, by selection method used: 2004-05

| Selection method | Number of states | Percent of | |
|--|------------------|-------------------|---------------------------------------|
| | | All states [N=51] | States with steering committee [n=43] |
| No state-level steering committee | 8 | 16 | † |
| Individuals with disabilities, parents of children with disabilities, or disability advocates did not serve on committee | 1 | 2 | 2 |
| Selected specific individuals from a variety of organizations | 14 | 27 | 33 |
| Invited organizations to appoint individuals | 14 | 27 | 33 |
| Selected specific individuals without regard to organizational affiliation | 7 | 14 | 16 |
| Selected from individuals who volunteered | 6 | 12 | 14 |
| Selected parents/advocates from ICC ¹ | 6 | 12 | 14 |
| Used other method | 16 | 31 | 37 |

†Not applicable.

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one selection method, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-67. Number and percentage of states receiving steering committee input on specific areas, by area of input: 2004-05

| Area of input | Number of states | Percent of | |
|--|------------------|-------------------|---------------------------------------|
| | | All states [N=51] | States with steering committee [n=43] |
| No state-level steering committee | 8 | 16 | † |
| Setting monitoring priorities for the state | 24 | 47 | 56 |
| Determining indicators or targets for monitoring priorities | 26 | 51 | 60 |
| Determining criteria for selecting specific monitoring units to be monitored | 12 | 24 | 28 |
| Selecting the specific monitoring units to be monitored | 5 | 10 | 12 |
| Determining extent of noncompliance by monitoring units | 4 | 8 | 9 |
| Reviewing monitoring units' responses to corrective actions | 10 | 20 | 23 |
| Determining priorities for local improvement planning and implementation | 19 | 37 | 44 |
| Providing input on review of monitoring instrument ¹ | 2 | 4 | 5 |
| Other area of input | 7 | 14 | 16 |

†Not applicable.

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one area of input, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-68. Number and percentage of states where members of state-level steering committee served on the teams monitoring monitoring units: 2004-05

| Response options | Number of states | Percent of | |
|---|------------------|----------------------|--|
| | | All states [N=51] | States with steering committee [n=42] |
| No state-level steering committee | 8 | 16 | † |
| State-level committee members served on monitoring teams | 22 | 43 | 51 |
| State-level committee members did not serve on monitoring teams | 21 | 41 | 49 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-69. Number and percentage of states using specific methods to inform monitoring units about procedures for monitoring and improvement planning, by method used: 2004-05

| Method | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Procedures, forms, instructions, and indicators distributed in hard copy to all monitoring units | 38 | 75 |
| Procedures, forms, instructions, and indicators available in hard copy on request | 19 | 37 |
| Procedures, forms, instructions, and indicators available on public web site | 17 | 33 |
| Announcements and explanations of changes made at meetings | 37 | 73 |
| Trainings on monitoring and improvement planning held | 29 | 57 |
| Other methods used | 6 | 12 |

NOTE: States could select more than one method, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-70. Number and percentage of states using various methods to inform the public about procedures for monitoring and improvement planning, by method used: 2004-05

| Method | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Procedures, forms, instructions, and indicators available to the public on request | 30 | 59 |
| Procedures, forms, instructions, and indicators available on public web site | 14 | 27 |
| Announcements and explanations of changes made at meetings all stakeholders could attend | 26 | 51 |
| Trainings on monitoring and improvement planning procedures held for stakeholders and the public | 14 | 27 |
| Details of monitoring and improvement planning procedures provided in press releases | 0 | 0 |
| Details of monitoring and improvement planning shared through ICC ¹ | 5 | 10 |
| Other methods used | 8 | 16 |

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one method, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-71. Number and percentage of states providing monitoring units with different types of monitoring team reports, by type and timing of report: 2004-05

| Type and timing of report | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Face-to-face exit interview or debriefing | | |
| No such report was provided | 3 | 6 |
| At the end of a site visit | 43 | 84 |
| Within 1 month of completion of data collection | 2 | 4 |
| Within 1 to 3 months of completion of data collection | 2 | 4 |
| More than 3 months after completion of data collection | 0 | 0 |
| Oral report by telephone | | |
| No such report was provided | 29 | 57 |
| At the end of a site visit | 2 | 4 |
| Within 1 month of completion of data collection | 13 | 25 |
| Within 1 to 3 months of completion of data collection | 4 | 8 |
| More than 3 months after completion of data collection | 0 | 0 |
| Written report | | |
| No such report was provided | 1 | 2 |
| At the end of a site visit | 3 | 6 |
| Within 1 month of completion of data collection | 17 | 33 |
| Within 1 to 3 months of completion of data collection | 26 | 51 |
| More than 3 months after completion of data collection | 1 | 2 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-72. Number and percentage of states that made various types of monitoring results and local improvement activities publicly available, by type of information and dissemination method used: 2004-05

| Information type and method | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Individual monitoring unit self-assessment scores/results | | |
| Publicly available print reports | 3 | 6 |
| Postings on publicly accessible web sites | 2 | 4 |
| Press releases | 0 | 0 |
| Only on request | 25 | 25 |
| Not available to the public | 9 | 18 |
| Did not have this information | 8 | 16 |
| Aggregated monitoring unit self-assessment scores/results | | |
| Publicly available print reports | 5 | 10 |
| Postings on publicly accessible web sites | 4 | 8 |
| Press releases | 0 | 0 |
| Only on request | 19 | 37 |
| Not available to the public | 6 | 12 |
| Did not have this information | 12 | 24 |
| Individual monitoring unit scores on compliance indicators | | |
| Publicly available print reports | 7 | 14 |
| Postings on publicly accessible web sites | 5 | 10 |
| Press releases | 0 | 0 |
| Only on request | 27 | 53 |
| Not available to the public | 12 | 24 |
| Did not have this information | 3 | 6 |
| Aggregated monitoring unit scores on compliance indicators | | |
| Publicly available print reports | 17 | 33 |
| Postings on publicly accessible web sites | 8 | 16 |
| Press releases | 0 | 0 |
| Only on request | 21 | 41 |
| Not available to the public | 7 | 14 |
| Did not have this information | 5 | 10 |
| Monitoring unit rank on individual compliance indicators | | |
| Publicly available print reports | 4 | 8 |
| Postings on publicly accessible web sites | 4 | 8 |
| Press releases | 0 | 0 |
| Only on request | 13 | 25 |
| Not available to the public | 9 | 18 |
| Did not have this information | 18 | 35 |

Table E-72. Number and percentage of states that made various types of monitoring results and local improvement activities publicly available, by type of information and dissemination method used: 2004-05—Continued

| Information type and method | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Monitoring unit rank on aggregated compliance indicators | | |
| Publicly available print reports | 3 | 6 |
| Postings on publicly accessible web sites | 3 | 6 |
| Press releases | 0 | 0 |
| Only on request | 14 | 27 |
| Not available to the public | 10 | 20 |
| Did not have this information | 18 | 35 |
| Individual monitoring unit corrective actions | | |
| Publicly available print reports | 7 | 14 |
| Postings on publicly accessible web sites | 4 | 8 |
| Press releases | 0 | 0 |
| Only on request | 23 | 45 |
| Not available to the public | 14 | 27 |
| Did not have this information | 4 | 8 |
| Aggregated monitoring unit corrective actions | | |
| Publicly available print reports | 6 | 12 |
| Postings on publicly accessible web sites | 2 | 4 |
| Press releases | 0 | 0 |
| Only on request | 16 | 31 |
| Not available to the public | 13 | 25 |
| Did not have this information | 9 | 18 |
| Individual local improvement plans | | |
| Publicly available print reports | 3 | 6 |
| Postings on publicly accessible web sites | 2 | 4 |
| Press releases | 0 | 0 |
| Only on request | 21 | 41 |
| Not available to the public | 9 | 18 |
| Did not have this information | 7 | 14 |
| Aggregated local improvement plans | | |
| Publicly available print reports | 3 | 6 |
| Postings on publicly accessible web sites | 0 | 0 |
| Press releases | 0 | 0 |
| Only on request | 13 | 25 |
| Not available to the public | 8 | 16 |
| Did not have this information | 17 | 33 |

Table E-72. Number and percentage of states that made various types of monitoring results and local improvement activities publicly available, by type of information and dissemination method used: 2004-05—Continued

| Information type and method | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Other types of information | | |
| Publicly available print reports | 2 | 4 |
| Postings on publicly accessible web sites | 3 | 6 |
| Press releases | 0 | 0 |
| Only on request | 0 | 0 |
| Not available to the public | 0 | 0 |
| Did not have this information | 0 | 0 |

NOTE: For each type of information, states could select more than one method, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-73a. Number and percentage of states that used different types of analyses to support decisions related to corrective actions, by analysis type: 2004-05

| Analysis type | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Comparing levels of compliance or performance to targets set for that monitoring unit | 35 | 69 |
| Comparing present levels of compliance or performance to monitoring unit's own baseline | 24 | 47 |
| Determining trends for the monitoring unit and comparing those to the monitoring unit's current compliance or performance | 27 | 53 |
| Comparing areas of strength to areas of weakness within monitoring unit | 25 | 49 |
| Comparing levels of compliance or performance to standards that apply to all monitoring units | 39 | 76 |
| Comparing levels of compliance or performance to the levels for other monitoring units in the state | 21 | 41 |
| Other analysis type | 2 | 4 |

NOTE: States could select more than one analysis type, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-73b. Number and percentage of states that used different types of analyses to support decisions related to local improvement planning or implementation, by analysis type: 2004-05

| Analysis type | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Comparing levels of compliance or performance to targets set for that monitoring unit | 37 | 73 |
| Comparing present levels of compliance or performance to monitoring unit's own baseline | 29 | 57 |
| Determining trends for the monitoring unit and comparing those to the monitoring unit's current compliance or performance | 32 | 63 |
| Comparing areas of strength to areas of weakness within monitoring unit | 30 | 59 |
| Comparing levels of compliance or performance to standards that apply to all monitoring units | 36 | 71 |
| Comparing levels of compliance or performance to the levels for other monitoring units in the state | 19 | 37 |
| Other analysis type | 0 | 0 |

NOTE: States could select more than one analysis type, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-74a. Number and percentage of states requiring various actions of monitoring units as part of corrective actions, by type and frequency of action: 2004-05

| Type and frequency of action | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Convene panels or committees | | |
| Never | 24 | 47 |
| Occasionally | 16 | 31 |
| Usually | 5 | 10 |
| Always | 6 | 12 |
| Implement existing policies and procedures | | |
| Never | 1 | 2 |
| Occasionally | 8 | 16 |
| Usually | 8 | 16 |
| Always | 34 | 67 |
| Make additions or changes to policies or procedures | | |
| Never | 4 | 8 |
| Occasionally | 23 | 45 |
| Usually | 14 | 27 |
| Always | 10 | 20 |
| Review and correct records (including IFSPs) | | |
| Never | 3 | 6 |
| Occasionally | 15 | 29 |
| Usually | 13 | 25 |
| Always | 20 | 39 |
| Provide or obtain professional development or training | | |
| Never | 2 | 4 |
| Occasionally | 20 | 39 |
| Usually | 20 | 39 |
| Always | 9 | 18 |
| Provide or obtain technical assistance | | |
| Never | 1 | 2 |
| Occasionally | 8 | 16 |
| Usually | 19 | 37 |
| Always | 23 | 45 |
| Systemically review records | | |
| Never | 2 | 4 |
| Occasionally | 9 | 18 |
| Usually | 14 | 27 |
| Always | 26 | 51 |
| Collect additional data | | |
| Never | 4 | 8 |
| Occasionally | 24 | 47 |
| Usually | 17 | 33 |
| Always | 6 | 12 |
| Conduct additional self-assessment | | |
| Never | 9 | 18 |
| Occasionally | 24 | 47 |
| Usually | 7 | 14 |
| Always | 10 | 20 |

Table E-74a. Number and percentage of states requiring various actions of monitoring units as part of corrective actions, by type and frequency of action: 2004-05—Continued

| Type and frequency of action | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Prepare additional reports for the state lead agency | | |
| Never | 3 | 6 |
| Occasionally | 21 | 41 |
| Usually | 7 | 14 |
| Always | 20 | 39 |
| Hire additional staff or better qualified staff | | |
| Never | 21 | 41 |
| Occasionally | 28 | 55 |
| Usually | 1 | 2 |
| Always | 1 | 2 |
| Other actions required | | |
| Never | 51 | 100 |
| Occasionally | 0 | 0 |
| Usually | 0 | 0 |
| Always | 0 | 0 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-74b. Number and percentage of states requiring various actions of monitoring units as part of improvement planning, by type and frequency of action: 2004-05

| Type and frequency of action | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Convene panels or committees | | |
| Never | 16 | 31 |
| Occasionally | 21 | 41 |
| Usually | 6 | 12 |
| Always | 7 | 14 |
| Implement existing policies and procedures | | |
| Never | 3 | 6 |
| Occasionally | 5 | 10 |
| Usually | 10 | 20 |
| Always | 33 | 65 |
| Make additions or changes to policies or procedures | | |
| Never | 4 | 8 |
| Occasionally | 22 | 43 |
| Usually | 18 | 35 |
| Always | 7 | 14 |
| Review and correct records (including IFSPs) | | |
| Never | 9 | 18 |
| Occasionally | 10 | 20 |
| Usually | 15 | 29 |
| Always | 17 | 33 |
| Provide or obtain professional development or training | | |
| Never | 3 | 6 |
| Occasionally | 12 | 24 |
| Usually | 25 | 49 |
| Always | 11 | 22 |
| Provide or obtain technical assistance | | |
| Never | 2 | 4 |
| Occasionally | 11 | 22 |
| Usually | 18 | 35 |
| Always | 20 | 39 |
| Systemically review records | | |
| Never | 4 | 8 |
| Occasionally | 8 | 16 |
| Usually | 16 | 31 |
| Always | 23 | 45 |
| Collect additional data | | |
| Never | 5 | 10 |
| Occasionally | 25 | 49 |
| Usually | 15 | 29 |
| Always | 6 | 12 |
| Conduct additional self-assessment | | |
| Never | 8 | 16 |
| Occasionally | 23 | 45 |
| Usually | 9 | 18 |
| Always | 10 | 20 |

**Table E-74b. Number and percentage of states requiring various actions of monitoring units as part of improvement planning, by type and frequency of action: 2004-05—
Continued**

| Type and frequency of action | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Prepare additional reports for the state lead agency | | |
| Never | 8 | 16 |
| Occasionally | 20 | 39 |
| Usually | 6 | 12 |
| Always | 17 | 33 |
| Hire additional staff or better qualified staff | | |
| Never | 22 | 43 |
| Occasionally | 27 | 53 |
| Usually | 1 | 2 |
| Always | 1 | 2 |
| Other actions required | | |
| Never | 51 | 100 |
| Occasionally | 0 | 0 |
| Usually | 0 | 0 |
| Always | 0 | 0 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-75a. Number and percentage of states taking various actions in support of corrective actions, by type and frequency of action: 2004-05

| Type and frequency of action | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Provided additional funds to the monitoring unit | | |
| Never | 33 | 65 |
| Occasionally | 17 | 33 |
| Usually | 1 | 2 |
| Always | 0 | 0 |
| Provided professional development or training for monitoring unit personnel | | |
| Never | 0 | 0 |
| Occasionally | 11 | 22 |
| Usually | 29 | 57 |
| Always | 11 | 22 |
| Provided technical assistance to monitoring personnel | | |
| Never | 0 | 0 |
| Occasionally | 2 | 4 |
| Usually | 15 | 29 |
| Always | 34 | 67 |
| Conducted additional data collection and analysis | | |
| Never | 3 | 6 |
| Occasionally | 23 | 45 |
| Usually | 15 | 29 |
| Always | 10 | 20 |
| Conducted follow-up site visits or desk audits | | |
| Never | 1 | 2 |
| Occasionally | 17 | 33 |
| Usually | 12 | 24 |
| Always | 20 | 39 |
| Prepared additional reports | | |
| Never | 5 | 10 |
| Occasionally | 27 | 53 |
| Usually | 9 | 18 |
| Always | 9 | 18 |
| Facilitated interagency communication | | |
| Never | 9 | 18 |
| Occasionally | 21 | 41 |
| Usually | 14 | 27 |
| Always | 7 | 14 |
| Other actions taken | | |
| Never | 50 | 98 |
| Occasionally | 0 | 0 |
| Usually | 0 | 0 |
| Always | 1 | 2 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-75b. Number and percentage of states taking various actions in support of improvement activities, by type and frequency of action: 2004-05

| Type and frequency of action | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Provided additional funds to the monitoring unit | | |
| Never | 27 | 53 |
| Occasionally | 20 | 39 |
| Usually | 3 | 6 |
| Always | 1 | 2 |
| Provided professional development or training for monitoring unit personnel | | |
| Never | 1 | 2 |
| Occasionally | 17 | 33 |
| Usually | 22 | 43 |
| Always | 11 | 22 |
| Provided technical assistance to monitoring personnel | | |
| Never | 2 | 4 |
| Occasionally | 1 | 2 |
| Usually | 19 | 37 |
| Always | 29 | 57 |
| Conducted additional data collection and analysis | | |
| Never | 6 | 12 |
| Occasionally | 25 | 49 |
| Usually | 11 | 22 |
| Always | 8 | 16 |
| Conducted follow-up site visits or desk audits | | |
| Never | 8 | 16 |
| Occasionally | 16 | 31 |
| Usually | 11 | 22 |
| Always | 16 | 31 |
| Prepared additional reports | | |
| Never | 10 | 20 |
| Occasionally | 27 | 53 |
| Usually | 7 | 14 |
| Always | 6 | 12 |
| Facilitated interagency communication | | |
| Never | 11 | 22 |
| Occasionally | 15 | 29 |
| Usually | 16 | 31 |
| Always | 9 | 18 |
| Other action taken | | |
| Never | 50 | 98 |
| Occasionally | 1 | 2 |
| Usually | 0 | 0 |
| Always | 0 | 0 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-76. Number and percentage of states using specific procedures for monitoring progress on corrective actions, by procedure used: 2004-05

| Procedure | Number of states | Percent of all states [N=51] |
|--|------------------|------------------------------|
| Progress not monitored | 0 | 0 |
| Progress noted/addressed the next time monitoring unit selected for monitoring | 2 | 4 |
| Monitoring units required to take the initiative and report progress | 14 | 27 |
| State staff took the initiative to follow up with monitoring units | 18 | 35 |
| Other procedures used | 17 | 33 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-77. Number and percentage of states using specific procedures for monitoring progress on local improvement plans, by procedure used: 2004-05

| Procedure | Number of states | Percent of all states [N=51] |
|--|------------------|------------------------------|
| Progress not monitored | 3 | 6 |
| Progress noted/addressed the next time monitoring unit selected for monitoring | 4 | 8 |
| Monitoring units required to take the initiative and report progress | 22 | 43 |
| State staff took the initiative to follow up with monitoring units | 10 | 20 |
| Other procedures used | 12 | 24 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-78. Number and percentage of states that examined the relationship between monitoring unit compliance with process and procedural requirements and monitoring unit child/family outcomes: 2004-05

| Response options | Percent of | |
|----------------------------------|------------------|----------------------|
| | Number of states | all states [N=51] |
| Examined the relationship | 12 | 24 |
| Did not examine the relationship | 39 | 76 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-79. Number and percentage of states using specific types of analyses when examining the relationship between monitoring unit compliance and child/family outcomes, by type of analysis used: 2004-05

| Type of analysis | Number of states | Percent of | |
|---|------------------|----------------------|---|
| | | All states [N=51] | States that examined relationship [n=12] |
| Did not examine relationship between compliance and outcomes | 39 | 76 | † |
| Cross-sectional analysis comparing compliance and outcome data across monitoring units at a single point in time | 4 | 8 | 33 |
| Longitudinal comparing compliance and outcome data over time within a monitoring unit | 1 | 2 | 8 |
| Qualitative analysis that used expert informants to provide evidence of link between compliance and outcomes within a monitoring unit | 3 | 6 | 25 |
| Informal analysis based on state staff judgment | 6 | 12 | 50 |
| Other analysis used | 1 | 2 | 8 |

†Not applicable.

NOTE: States could select more than one type of analysis, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-80. Number and percentage of states using specific monitoring unit rewards for reducing noncompliance, by type of reward: 2004-05

| Type of reward | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Proclamation/public commendation/award | 11 | 22 |
| Additional funds/monetary awards | 2 | 4 |
| Less frequent monitoring | 7 | 14 |
| Other type of reward | 6 | 12 |
| No rewards used | 31 | 61 |

NOTE: States could select more than one type of reward, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-81. Number and percentage of states with written guidelines or procedures outlining specific incentives to monitoring units for reducing noncompliance: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Had written guidelines/procedures | 12 | 24 |
| Did not have written guidelines/procedures | 39 | 76 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-82. Number and percentage of states using rewards to encourage local improvement planning and implementation, by type of reward: 2004-05

| Type of reward | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Proclamation/public commendation/award | 8 | 16 |
| Additional funds/monetary awards | 6 | 12 |
| Less frequent monitoring | 5 | 10 |
| Other type of reward | 6 | 12 |
| No rewards used | 33 | 65 |

NOTE: States could select more than one type of reward, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-83. Number and percentage of states with written guidelines or procedures outlining specific incentives to monitoring units to encourage local improvement planning and implementation: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Had written guidelines/procedures | 9 | 18 |
| Did not have written guidelines/procedures | 42 | 82 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-84. Number and percentage of states with authority to use sanctions in the event of monitoring unit noncompliance, by type of sanction: 2004-05

| Type of sanction | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Negotiating a compliance agreement | 31 | 61 |
| Imposing restrictions or special conditions on use of funds | 26 | 51 |
| Withholding funds | 32 | 63 |
| Obtaining cease/desist order | 11 | 22 |
| Referring noncompliant entity to the state attorney general | 14 | 27 |
| Authority to terminate contract with monitoring unit ¹ | 7 | 14 |
| Other sanctions used | 11 | 22 |

¹This category did not appear in the questionnaire. It was constructed from other state specific responses.

NOTE: States could select more than one type of sanction, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-85. Number and percentage of states that consider various factors when deciding whether to impose a sanction for noncompliance, by factor considered: 2004-05

| Factor | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Duration of noncompliance | 38 | 75 |
| Extent of noncompliance | 40 | 78 |
| Severity of noncompliance | 39 | 76 |
| Trend of noncompliance | 38 | 75 |
| Effort made to correct problem | 40 | 78 |
| Whether problem was related to provision of services versus procedural requirements | 23 | 45 |
| Other factors used | 5 | 10 |

NOTE: States could select more than one factor, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-86. Number and percentage of states with written guidelines or procedures outlining specific sanctions for specific types of noncompliance: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Had written guidelines/procedures | 20 | 39 |
| Did not have written guidelines/procedures | 31 | 61 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-87. Number and percentage of states using various sources of materials, procedural guidelines, or technical assistance related to monitoring and improvement planning, by source used: 2004-05

| Source | Number of states | Percent of all states [N=51] |
|--|------------------|------------------------------|
| Regional Resource Centers (RRCs) | 24 | 47 |
| Center for Appropriate Dispute Resolution in Special Education (CADRE) | 8 | 16 |
| National Early Childhood Technical Assistance Center (NECTAC) | 35 | 69 |
| National Center for Special Education Accountability Monitoring (NCSEAM) | 21 | 41 |
| Early Childhood Outcome Center (ECO) | 18 | 35 |
| Other OSEP-funded projects | 8 | 16 |
| Other Department of Education-funded projects | 4 | 8 |
| In-state university/university-affiliated consultants | 15 | 29 |
| Out-of-state university/out-of-state university-affiliated consultants | 2 | 4 |
| Private consultants/private organizations | 18 | 35 |
| Professional organizations | 4 | 8 |
| Other types of sources used | 10 | 20 |
| None of these types of sources used | 5 | 10 |

NOTE: States could select more than one source, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-88. Number and percentage of states where monitoring findings influenced practices at universities in the state with regard to the preparation of teachers and other personnel: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|---|------------------|------------------------------|
| Monitoring findings influenced practices | 9 | 18 |
| Monitoring findings did not influence practices | 24 | 47 |
| Don't know | 18 | 35 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-89. Number and percentage of states where monitoring findings influenced practices at universities, by type of practice influenced: 2004-05

| Practice | Number of states | Percent of | |
|---|------------------|----------------------|---|
| | | All states [N=51] | States where findings influenced practices [n=9] |
| Monitoring findings did not influence practices ¹ | 42 | 82 | † |
| Considered by state when deciding which personnel preparation programs to license/support | 4 | 8 | 44 |
| Used by faculty in deciding type of TA/professional development to offer | 6 | 12 | 67 |
| Used by state in deciding what university-based TA/professional development to support | 7 | 14 | 78 |
| Used by faculty for curriculum planning | 5 | 10 | 56 |
| Influenced in other ways | 0 | 0 | 0 |

†Not applicable.

¹Includes *don't know* nonresponse.

NOTE: States could select more than one practice type, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-90. Number and percentage of states where other departments or divisions in the state or other state agencies used monitoring findings: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Other departments/divisions/agencies used findings | 23 | 45 |
| Other departments/divisions/agencies did not use findings | 22 | 43 |
| Don't know | 6 | 12 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-91. Name of departments, divisions, or other agencies using monitoring findings: 2004-05

| Name | Number of states | Percent of | |
|--|------------------|----------------------|---|
| | | All states [N=51] | States where others used findings [n=23] |
| Others did not use findings ¹ | 28 | 55 | † |
| Name ² | 23 | 45 | 100 |

†Not applicable.

¹Includes *don't know* nonresponse.

²The specific responses to this question are not included because they contain personal information or information that would identify states.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-92. Number and percentage of states where monitoring has changed since 1997, by type and degree of change: 2004-05

| Type and degree of change | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Parent input to the planning of monitoring procedures has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 0 | 0 |
| Stayed about the same | 24 | 47 |
| Slightly increased | 9 | 18 |
| Greatly increased | 18 | 35 |
| Other stakeholder input to the planning of monitoring procedures has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 1 | 2 |
| Stayed about the same | 17 | 33 |
| Slightly increased | 14 | 27 |
| Greatly increased | 19 | 37 |
| Parent involvement in data collection and analysis activities has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 1 | 2 |
| Stayed about the same | 29 | 57 |
| Slightly increased | 12 | 24 |
| Greatly increased | 9 | 18 |
| Other stakeholder involvement in data collection and analysis activities has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 1 | 2 |
| Stayed about the same | 21 | 41 |
| Slightly increased | 11 | 22 |
| Greatly increased | 18 | 35 |
| Public awareness of monitoring and improvement activities has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 1 | 2 |
| Stayed about the same | 16 | 31 |
| Slightly increased | 17 | 33 |
| Greatly increased | 17 | 33 |

Table E-92. Number and percentage of states where monitoring has changed since 1997, by type and degree of change: 2004-05—Continued

| Type and degree of change | Number of states | Percent of all states [N=51] |
|--|------------------|---------------------------------|
| Use of data in planning monitoring and improvement activities has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 0 | 0 |
| Stayed about the same | 2 | 4 |
| Slightly increased | 6 | 12 |
| Greatly increased | 43 | 84 |
| The number or frequency of site visits to monitoring units to collect information has... | | |
| Greatly decreased | 3 | 6 |
| Slightly decreased | 7 | 14 |
| Stayed about the same | 13 | 25 |
| Slightly increased | 9 | 18 |
| Greatly increased | 19 | 37 |
| The focus on child/family outcomes has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 0 | 0 |
| Stayed about the same | 9 | 18 |
| Slightly increased | 19 | 37 |
| Greatly increased | 23 | 45 |
| The emphasis on compliance issues such as process and procedural requirements has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 0 | 0 |
| Stayed about the same | 13 | 25 |
| Slightly increased | 13 | 25 |
| Greatly increased | 25 | 49 |
| Public reporting of monitoring findings, by individual monitoring units, has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 0 | 0 |
| Stayed about the same | 30 | 59 |
| Slightly increased | 18 | 35 |
| Greatly increased | 3 | 6 |

Table E-92. Number and percentage of states where monitoring has changed since 1997, by type and degree of change: 2004-05—Continued

| Type and degree of change | Number of states | Percent of all states [N=51] |
|---|------------------|---------------------------------|
| Public reporting of monitoring findings, aggregated across monitoring units, has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 1 | 2 |
| Stayed about the same | 30 | 59 |
| Slightly increased | 15 | 29 |
| Greatly increased | 5 | 10 |
| The frequency of monitoring unit self-assessments has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 1 | 2 |
| Stayed about the same | 22 | 43 |
| Slightly increased | 13 | 25 |
| Greatly increased | 15 | 29 |
| Other area has... | | |
| Greatly decreased | 0 | 0 |
| Slightly decreased | 0 | 0 |
| Stayed about the same | 0 | 0 |
| Slightly increased | 0 | 0 |
| Greatly increased | 2 | 4 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-93. Number and percentage of states where special situations played a role in shaping monitoring and improvement activities since 1997, by type of special situation: 2004-05

| Special situation | Number of states | Percent of all states [N=51] |
|---|------------------|------------------------------|
| No special situations | 27 | 53 |
| Consent decree or settlement of lawsuit | 3 | 6 |
| Pending litigation | 1 | 2 |
| State law requiring a specific monitoring methodology | 1 | 2 |
| State law limiting data collection by state | 0 | 0 |
| State law specifically limiting extent of monitoring activities by state | 0 | 0 |
| State law limiting number of state staff devoted to monitoring activities | 0 | 0 |
| Other situations | 3 | 6 |

NOTE: States could select more than one special situation, therefore, the Percent column will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-94. Number and percentage of states where state's performance in conducting monitoring and improvement activities was formally evaluated since 1997: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|---------------------------|------------------|------------------------------|
| Performance evaluated | 28 | 55 |
| Performance not evaluated | 23 | 45 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-95. Number and percentage of states where state’s performance in conducting monitoring and improvement activities was formally evaluated, by evaluation method: 2004-05

| Evaluation method | Number of states | Percent of | |
|--|------------------|----------------------|-------------------------------|
| | | All states [N=51] | States evaluated [n=28] |
| State performance not evaluated | 23 | 45 | † |
| State conducted a self-evaluation | 13 | 25 | 46 |
| Advisory group/steering committee conducted evaluation | 9 | 18 | 32 |
| State contracted with independent external evaluator | 5 | 10 | 18 |
| Other method used | 16 | 31 | 57 |

†Not applicable.

NOTE: States could select more than one evaluation method, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States’ Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-96. Number and percentage of states where evaluation of state performance included an opportunity for monitoring units to provide feedback on state performance: 2004-05

| Response options | Number of states | Percent of | |
|---|------------------|----------------------|-------------------------------|
| | | All states [N=51] | States evaluated [n=28] |
| State performance not evaluated | 23 | 45 | † |
| Monitoring units had opportunity to provide feedback | 17 | 33 | 61 |
| Monitoring units did not have opportunity to provide feedback | 11 | 22 | 39 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States’ Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-97. Number and percentage of states where state’s performance in conducting monitoring and improvement activities was formally evaluated since 1997, by how decision to evaluate was made: 2004-05

| How decision was made | Number of states | Percent of | |
|--|------------------|----------------------|-------------------------------|
| | | All states [N=51] | States evaluated [n=28] |
| Performance not evaluated | 23 | 45 | † |
| Evaluated according to fixed schedule | 1 | 2 | 4 |
| Advisory group/steering committee decided | 3 | 6 | 11 |
| State administrators decided | 15 | 29 | 54 |
| Evaluation occurs only in response to impending OSEP monitoring activities | 13 | 25 | 46 |
| Other methods used | 7 | 14 | 25 |

†Not applicable.

NOTE: States could select more than one response option, therefore, the Percent columns will not sum to 100.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States’ Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-98. Number and percentage of states that made major revisions to their procedures for monitoring and improvement, by year of most recent revision: 2004-05

| Year | Number of states | Percent of |
|------|------------------|----------------------|
| | | all states [N=51] |
| 1997 | 1 | 2 |
| 2000 | 3 | 6 |
| 2002 | 2 | 4 |
| 2003 | 7 | 14 |
| 2004 | 17 | 33 |
| 2005 | 21 | 41 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States’ Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-99. Number and percentage of states providing comments about important changes made to state monitoring and improvement activities since last monitoring period: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|--------------------------------|------------------|---------------------------------|
| Provided comments ¹ | 40 | 78 |
| Did not provide comments | 11 | 22 |

¹The specific responses to this question are not included because they contain information that would identify states.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-100a. Number and percentage of states where state has a plan for major changes in procedures for monitoring and improvement: 2004-05

| Response options | Number of states | Percent of all states [N=51] |
|----------------------|------------------|---------------------------------|
| Changes scheduled | 41 | 80 |
| No changes scheduled | 10 | 20 |

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.

Table E-100b. Number and percentage of states planning major changes in procedures for monitoring and improvement activities, by year changes are scheduled to be in place: 2004-05

| Year | Number of states | Percent of | |
|---------------------|------------------|----------------------|---|
| | | All states [N=51] | States planning major changes [n=41] |
| No change scheduled | 10 | 20 | † |
| 2005 | 3 | 6 | 7 |
| 2006 | 25 | 49 | 61 |
| 2007 | 8 | 16 | 20 |
| 2008 | 4 | 8 | 10 |
| Don't know | 1 | 2 | 2 |

†Not applicable.

NOTE: Percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Special Education Research, Evaluation of States' Monitoring and Improvement Practices Under the *Individuals with Disabilities Education Act*, Part C Monitoring Evaluation Questionnaire.