

***SPECIAL EDUCATION COMPLIANCE
TIERED MONITORING:***

***CORRECTIVE ACTION PLAN (CAP)
TRAINING***

COHORT 3



September , 2014

Missouri Department
of Elementary and Secondary Education

WELCOME COHORT 3

2



Congratulations!

You have completed the self-assessment
and desk verification process!



Why Monitor Compliance?

3



Compliance is the FOUNDATION
of your district's
Special Education Program

Process

Following all the steps
In the correct order
Within the timelines

Content

Implementing the IEP
as written and
documenting correctly
(Implementation and Evidence)

Learning Objectives

4

Participants will know:

1. The steps in the special education monitoring process for federal tiered monitoring
2. The focus of Onsite Monitoring
3. How to read and understand the Special Education Program Review Report for the self-assessment and desk monitoring.



Learning Objectives (continued)

5

4. The required activities for clearing any identified noncompliance
5. The timelines for showing evidence of correction of noncompliance
6. How to enter information into IMACS
7. Resources for questions and assistance



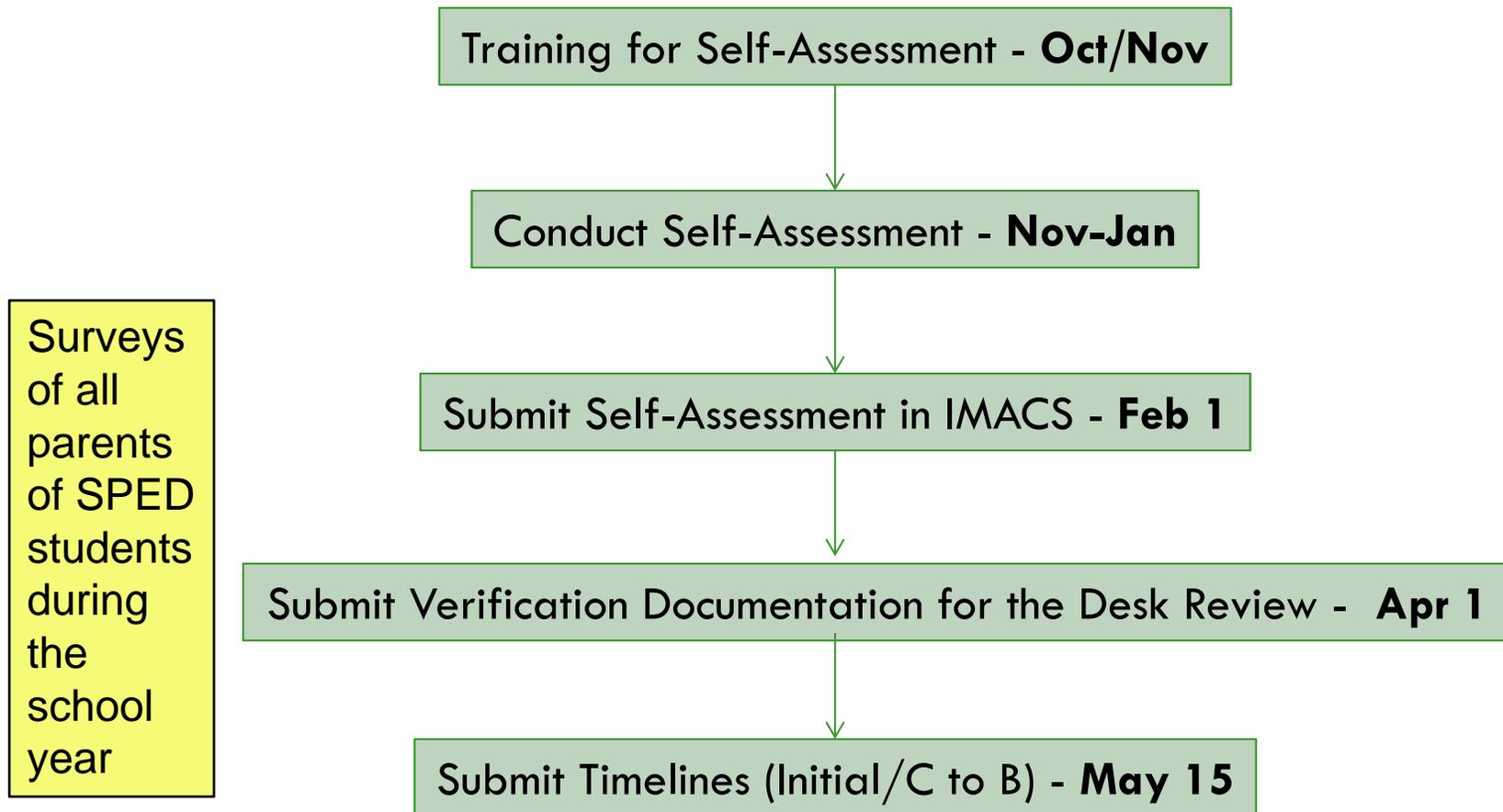
6

Steps in the Special Education Tiered Monitoring Process



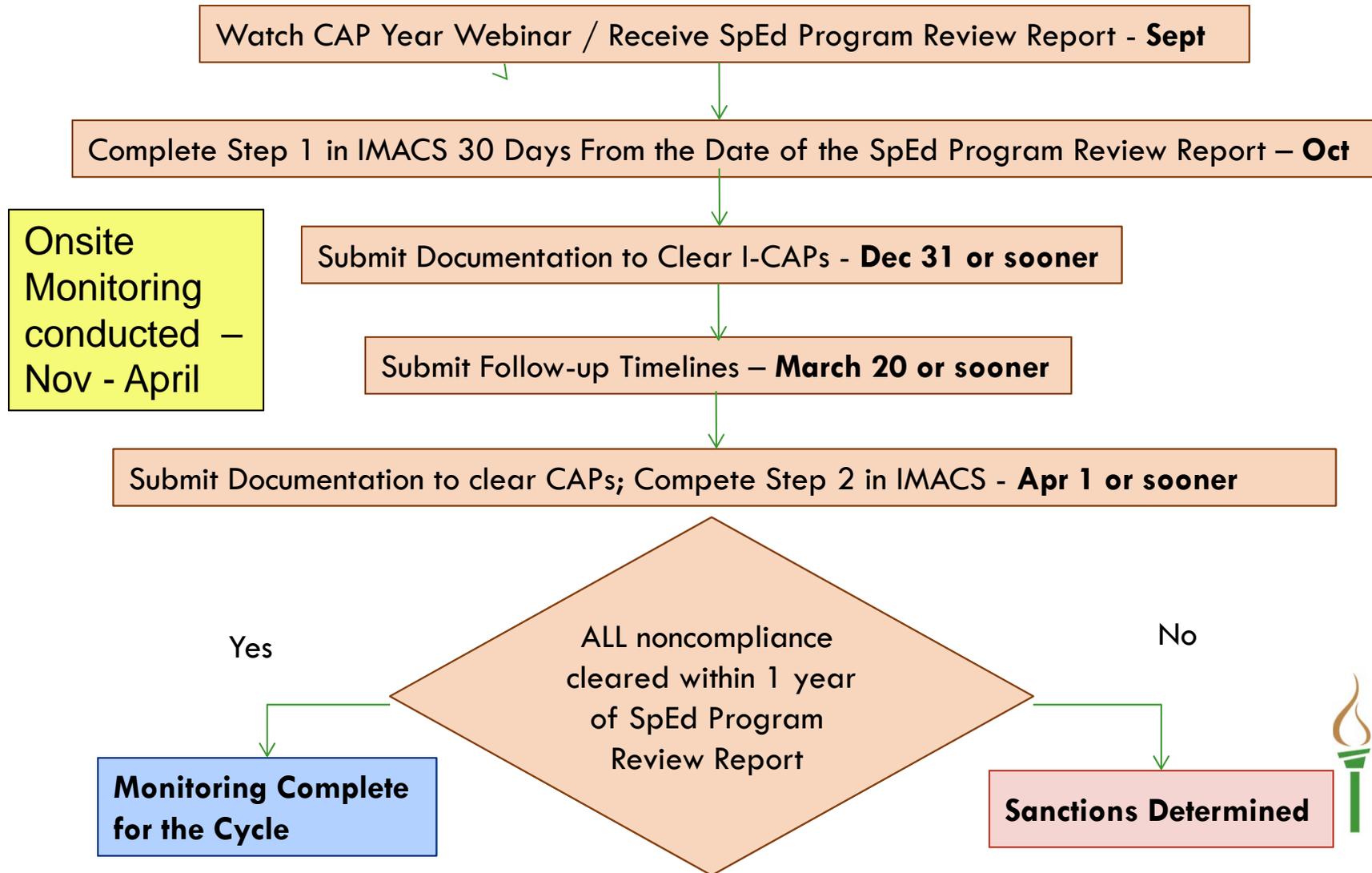
Self- Assessment Year

7



Corrective Action Plans Year

8



Onsite Monitoring (if selected)

9

ALL Selected Onsite LEAs:

- **Highly Qualified Teachers (100.470.a-e)**
- **Paraprofessional Training (100.280)**
- **Implementation of the IEP (200.960)**
 - **Services / Least Restrictive Environment**
 - **Accommodations**
 - **Transition**

IF APPLICABLE for Selected Onsite LEAs:

- **Speech implementer model (400's)**
- **Juvenile Justice Centers (child find)**
- **ELL (child find, referral/evaluation)**



Maintain and Retrain Year

10

LEA is IN compliance - Identify areas needing retraining or improvement to maintain compliance

Work with RPDC for targeted training

Review, maintain, and/or establish policies, procedures and practices to ensure special education compliance



Learning Objectives

11

Participants will know:

- ✓ 1. The steps in the special education monitoring process for federal tiered monitoring
2. The focus of Onsite Monitoring
3. How to read and understand the Special Education Program Review Report for the self-assessment and desk monitoring.



Learning Objectives

12

Participants will know:

- ✓ 1. The steps in the special education monitoring process for federal tiered monitoring
- ✓ 2. The focus of Onsite Monitoring
3. How to read and understand the Special Education Program Review Report for the self-assessment and desk monitoring.



Special Education Program Review Report



Sent to each LEA in September , 2014



Next Steps . . .

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- If all indicators are “**IN**” compliance
 - Congratulations! You are Finished!!
- If any indicator is “**OUT**” of compliance
 - Must complete the Plan for Correction
 - Must correct individual noncompliance (I-CAP)
 - Must document systemic compliance for each indicator
- If selected for an onsite focused monitoring
 - Watch for correspondence with specifics



Learning Objectives

15

Participants will know:

- ✓ 1. The steps in the special education monitoring process for federal tiered monitoring
- ✓ 2. The focus of Onsite Monitoring
- ✓ 3. How to read and understand the Special Education Program Review Report for the self-assessment and desk monitoring.



Clearing Identified Noncompliance



The Two Prongs of Correction

17

Type of Correction	WHY	HOW
INDIVIDUAL	Correct the identified individual student noncompliance (if possible)	Provide copies of the correction(s)
SYSTEMIC	Show subsequent compliance for the identified noncompliance	Provide five (5) copies of compliant documentation

Plan for Correction

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- Plan for Correction due in 30 days
 - Districts develop an action plan for correcting any noncompliance identified through the Self-assessment and desk review
 - Corrective action plan **MUST** include strategies and timelines for achieving compliance



IMACS Home for ACADEMIE LAFAYETTE

Self-Assessment: Your Agency has a status of Self-Assessment for the 2014-2015 school year.

Performance Data

[Special Education Performance Report for the 2013-2014 school year](#)

Correspondence

[Correspondence \(8 unread items\)](#)

Required activities	Due	Status
File Review	02/15/2015	Not Started
Initial Evaluations	05/15/2015	Not Started
Part C to B Transitions	05/15/2015	Not Started
Corrective Action Plan (CAP) ←	04/04/2015	

Grant(s)

Date of Invitation

You currently have no grants assigned.

Optional Activities

[Administrative Review](#)

Maintenance

[Agency Maintenance](#)

[Document Uploads](#)



Corrective Action Plans (CAP)

Reason	School Year Created	Edit	Required Timeline for Correction	All Clear	Needs Attention	# of Items	# of Items In Compliance
Cyclical Review	2013-2014	Edit	08/28/2015	No	No	5	0



Corrective Action Plan (CAP)

Document status:	In Process Print CAP
Most recent file:	8/10/2012 
Contact person:	Name:  Phone: Email:
Lead supervisor:	None Assigned
	Maintain Follow-Ups

Upload file for CAP, (Note: Only PDF files may be uploaded.)	Indicator(s) that Upload Addresses
<input type="text"/> <input type="button" value="Browse..."/>	<input type="text"/>
<input type="button" value="Submit"/>	

ID	Description	Score	Status	Last updated
		DESE Agency		

REFERRAL PROCESS:

200.10.b	Reason(s) for the referral and description of concern(s) which address information that describes why the child is suspected of having a disability and in need of evaluation. 	0%	Not Started (DESE)	N/A N/A
200.10.c	Date of referral (m/d/y).	0%	Not Started (DESE)	N/A N/A
200.20.a	The Procedural Safeguards statement was provided within 5 school days of the date of the referral.	0%	Not Started (DESE)	N/A N/A

Agency Corrective Action Plan (CAP)

CAP indicator

Indicator/description: 100.10.b: Notice is published on an annual basis prior to November 1.

Required Timeline for Correction: 9/16/2015

Required Strategies for Correction:

Required Evidence of Correction:

Agency Plan for Correction
Agency Planned
Activities/Strategies of
Correction:



Timelines:  (mm/dd/yyyy)

Agency Comment:



Corrective Action Plan Rubric

An approvable corrective action plan describes the steps needed to result in compliance with specific indicators. It also identifies school district personnel responsible for implementing the plan as well as personnel who have a role in reaching and maintaining compliance. Each Plan for Correction should be compared to the rubric.

If the response to each of the following questions is “yes”, then the Plan for Correction is approvable. If not, please revise or request assistance prior to submitting in IMACS.

1. Actions address the identified noncompliance for the indicator.	Yes / No
2. Actions include one or more of the following: a) Review/revision of policies and practices b) Review/revision of forms and templates c) Training conducted by a qualified trainer	Yes / No
3. When training is included, it is provided to appropriate school district personnel.	Yes / No / NA
4. Fidelity checks are included to ensure implementation of changes/training.	Yes / No
5. Actions are scheduled and completed in a timely manner (generally within 90 days of the date of notification of noncompliance) so that compliant documentation is produced early in the school year and may be provided for review to clear the CAP.	Yes / No
6. If implemented, is it reasonable to expect that this plan will result in correction of the identified noncompliance?	Yes / No

Supervisors: If the response to each question is “yes” approve the CAP for the indicator. If any response is “no” return the indicator and contact the school district to discuss revisions.



Individual Corrective Action Plan (I-CAP)

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- ❑ **I-CAP:** District corrects individual student noncompliance and submits documentation of correction no later than December 31, 2014
- ❑ Documentation showing correction for each individual student must be mailed or faxed to DESE
- ❑ DESE Compliance Supervisors will review the documentation
- ❑ Approval will be documented in IMACS and the I-CAP cleared
- ❑ ALL I-CAPS MUST be cleared as soon as possible but no later than December 31, 2014 unless there are special circumstances approved by your Supervisor



I-CAPs in IMACS

Correspondence Letters

Title	School Year	Submitted Date	DESE/LEA	Opened	View
Student File Reviews	2013-2014	8/28/2014 1:25:57 PM	DESE	No	View
Special Education Program Review Report	2013-2014	8/28/2014 1:25:49 PM	DESE	No	View
Onsite Review Report	2014-2015	8/28/2014 12:15:14 PM	DESE	No	View
Administrative District Resolving Report	2014-2015	8/28/2014 12:15:01 PM	DESE	No	View
Administrative Non Compliance Report	2014-2015	8/28/2014 12:15:00 PM	DESE	No	View
Administrative Review	2014-2015	8/28/2014 12:14:59 PM	DESE	No	View
Student File Reviews	2014-2015	8/28/2014 12:01:43 PM	DESE	No	View
Student Non Compliance Report	2014-2015	8/28/2014 12:01:40 PM	DESE	No	View
File Review	2014-2015	8/28/2014 12:01:38 PM	DESE	No	View
Initial Evaluations	2013-2014	5/14/2014 11:14:01 AM	District	Yes	View
Document Request	2013-2014	2/24/2014 11:55:08 AM	DESE	Yes	View
File Review	2013-2014	2/13/2014 5:21:56 PM	District	Yes	View
IMACS/ePeGs Activity Report (Approved)	2010-2011	5/24/2012 8:59:03 AM	DESE	Yes	View
IMACS/ePeGs Activity Report	2010-2011	5/16/2012 3:42:02 AM	District	Yes	View
IMACS/ePeGs Activity Report (Approved)	2010-2011	1/3/2012 7:36:12 AM	DESE	Yes	View
IMACS/ePeGs Activity Report	2010-2011	12/14/2011 4:11:45 PM	District	Yes	View
Elementary Achievement Grant Approval funding year 11-12	2010-2011	4/7/2011 9:32:45 AM	DESE	Yes	View
IMACS/ePeGs Improvement Plan	2010-2011	4/7/2011 8:26:25 AM	DESE	Yes	View



Follow-up Timeline Submission

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- **Follow-up Timeline Submission** are required for any timelines submitted during the Self-assessment that were less than 100% in compliance
 - Initial Evaluations
 - Include all students (ineligible and eligible)
 - Part C to Part B Transition
 - Include all students referred from Part C whose referral date and birthday fall within the data collection period
- Data collection for Timelines will cover the period from the date of the Final Report through March 15, 2015
- Follow-up Timeline(s) are due March 20, 2015

March	February	January
June	May	April
September	August	July
December	November	October



I-CAPs as a Result of Exceeding Timelines

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- Individual student noncompliance as a result of exceeding the timelines MUST also be corrected
 - The LEA MAY chose to provide compensatory services retroactive to the correct eligibility determination date
 - The LEA MAY chose to conduct an IEP meeting to discuss whether FAPE was provided due to the delay in providing special education and related services as a result of the delay in eligibility
- I-CAPs must be corrected by December 31, 2014





Menu

Info

District: MIAMI R-I
CDC: 097116
Logged in as: Hope Test
User ID: HOPETEST1

Functions

Year: 2011-2012 (Change)

Navigation

- IMACS Home
- IMACS Help
- Web Application Menu
- Logon/Logoff

IMACS Home for MIAMI R-I

2011-2012 School Year Status

Performance Data

[Special Education Performance Report for the 2010-2011 school year](#)

Correspondence

[Correspondence](#) (16 unread items)

Required activities

Due

Status

[Improvement Plan](#)

[Corrective Action Plan \(CAP\)](#)

05/30/2014

Required Follow-up Timeline Collections

Show - All | Not Completed

Due

Status

[C to B Transitions](#)

11/30/2013

Not Started

Grant(s)

Date of Invitation

You currently have no grants assigned.

Optional Activities

[File Review](#)

[Initial Evaluations](#)

[Part C to B Transitions](#)

[Administrative Review](#)

Maintenance

[Agency Maintenance](#)

[Document Uploads](#)

"Missouri public schools: the best choice...the best results!"





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- Logon/Logoff

Home >

C to B Transitions

Document status:	Not Started
Most recent file:	N/A
LEA Due date:	11/30/2013
Contact person:	Name: Phone: Email:
Lead supervisor:	Donna Raines

Totals		
	Summary of IEP in place	Summary based on LEA acceptable Reasons
Yes:	0	0
No:	0	0
NA:	0	0
Percent:	N/A	N/A

Total student records: 0

- 
- Add a new C to B Transition record
 - No Students to Report

There are no C to B Transition records entered for the current year.

"Missouri public schools: the best choice...the best results!"





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Navigation

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- Logon/Logoff

Home >

C to B Transitions

Document status: **Not Started**

Most recent file: N/A

LEA Due date: **11/30/2013**

Contact person:

Name:
Phone:
Email:

Lead supervisor: **Donna Raines**

- Add a new C to B Transition record
- No Students to Report

There are no C to B T

C to B Transition

Student's Initials:

Date of Birth: (mm/dd/yyyy)

Date of Referral: (mm/dd/yyyy)

Parental Consent Received: Yes No

Date of Eligibility (NA if no parental consent received): (mm/dd/yyyy)

Student Eligible?: Yes No

Date of IEP: (mm/dd/yyyy)

IEP in place by 3rd birthday?:

If NO, reason:

Acceptable Reason? Y/N: Yes No

Save Save and Add Another Cancel





Menu

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 CDC: 097116
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 User ID: HOPETEST1

Functions

Year: 2011-2012 (Change)

Navigation

- IMACS Home
- IMACS Help
- Web Application Menu
- Logon/Logoff

Home >

C to B Transitions

Document status: **In Process** | [Print or Submit](#)

Most recent file: N/A

LEA Due date: **11/30/2013**

Contact person:

Name:

Phone:

Email:

Lead supervisor: **Donna Raines**



Totals

	Summary of IEP in place	Summary based on LEA acceptable Reasons
Yes:	1	1
No:	0	0
NA:	0	0
Percent:	100%	100%
Total student records: 1		

- [Add a new C to B Transition record](#)

Student's Initials	Date of Birth	Date of Referral	Parental Consent Received	Date of Eligibility	Student Eligible?	Date of IEP	IEP in place by 3rd birthday?	If NO, reason	Acceptable Reason? Y/N	Delete
aa	05/01/2010	06/30/2012	Yes	8/1/2012	Yes	08/15/2012	Yes			

"Missouri public schools: the best choice...the best results!"





Menu

Info
District: MIAMI R-I
CDC: 097116
Logged in as: Hope Test
User ID: HOPETEST1

Functions
Year: 2011-2012 (Change)

Navigation

- IMACS Home
- IMACS Help
- Web Application Menu
- Logon/Logoff

Home > Part C to B Transitions >

Generate Part C to B Transitions

This process will generate a printable version of the Part C to B Transitions in Adobe Portable Document Format (PDF).



Note: When you have completed the Part C to B Transitions document, you must submit by 11/30/2013.

"Missouri public schools: the best choice...the best results!"





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Navigation

- IMACS Home
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- Web Application Menu
- Logon/Logoff

Home > Part C to B Transitions >

Generate Part C to B Transitions

Your Part C to B Transitions has been generated and submitted to DESE:
[Click here to view the report](#)



Evidence of Correction

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- District submits multiple samples of compliant documentation to demonstrate correction of noncompliance to bring district back “in” compliance” no later than April 1, 20145
- Documentation showing examples of compliance for each indicator identified must be mailed or faxed to DESE
- DESE Compliance Supervisors will review the documentation
- Approval will be documented in IMACS and the CAP Indicator cleared
- ALL CAP Indicators MUST be cleared by September 1, 2015



IMACS Home for ACADEMIE LAFAYETTE

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[Agency Maintenance](#)

[Document Uploads](#)



Corrective Action Plans (CAP)

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Lead supervisor:	None Assigned
	Maintain Follow-Ups

Upload file for CAP, (Note: Only PDF files may be uploaded.)		Indicator(s) that Upload Addresses
<input type="text"/>	<input type="button" value="Browse..."/>	<input type="text"/>
<input type="button" value="Submit"/>		

ID	Description	Score	Status	Last updated	
				DESE	Agency
REFERRAL PROCESS:					
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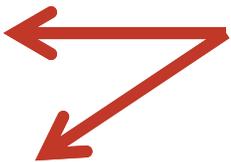
DESE Response to Plan for Correction

DESE CAP Approval Date:

DESE Comment:

Agency Samples of Correction

Activities of Correction:



Activity Completion Date:

 (mm/dd/yyyy)

Date Evidence of Correction Submitted:

 (mm/dd/yyyy)

Agency Comment:



DESE Response to Samples of Correction

Date of Indicator Correction:

Date of Indicator

Correction: DESE Comment:



Implications

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- ❑ ALL noncompliance must be corrected within 12 months of the date of the Final Report
- ❑ Enforcement actions may be imposed for any noncompliance not corrected within 12 months of the date of the Program Review Report



Learning Objectives (continued)

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- ✓ 4. The required activities for clearing any identified noncompliance
5. The timelines for showing evidence of correction of noncompliance
6. How to enter information into IMACS
7. Resources for questions and assistance



Learning Objectives (continued)

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- ✓ 4. The required activities for clearing any identified noncompliance
- ✓ 5. The timelines for showing evidence of correction of noncompliance
6. How to enter information into IMACS
7. Resources for questions and assistance



Learning Objectives (continued)

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- ✓ 4. The required activities for clearing any identified noncompliance
- ✓ 5. The timelines for showing evidence of correction of noncompliance
- ✓ 6. How to enter information into IMACS
- 7. Resources for questions and assistance



Resources

Office of Special Education

Special Education Compliance (Part B)

P.O. Box 480, Jefferson City, MO 65102-0480

Phone: 573-751-0699

Email: secompliance@dese.mo.gov



Standard and Indicators Manual

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Special Education Compliance Program Review Standards and Indicators



Missouri Department of Elementary and Secondary Education
Office of Special Education

Revised July 2014

<http://www.dese.mo.gov/divspeced/documents/SpecEdMonManual.pdf>



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Where to Access Resources

Compliance

Home » Special Education

The Compliance Section within the Office of Special Education supports the mission of the Department of Elementary and Secondary Education and the Vision of the Division of Learning Services by providing leadership in establishing standards which promote improved outcomes for students with disabilities as well as consistency in the procedures public agencies implement for meeting compliance with state and federal regulations.

The Compliance Section is responsible for ensuring local educational agencies (LEAs) implement all laws and regulations related to Individuals with Disabilities Education Act (IDEA). This is done through monitors special education programs for students with disabilities ages 3-21, in all public schools, providing technical assistance and investigating child complaints.

Quick Links

- [Approved Private Agency](#)
- [Complaint System](#)
- [FAQs](#)
- [Forms](#)
- [IMACS](#)
- [Program Monitoring](#)
- [Special Education Process](#)
- [Standards & Indicators](#)
- [State Plan for Special Education](#)
- [Webinars](#)

Special Education

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- [Advisory Panels](#)
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 - [Technical Assistance Bulletins](#)
 - [Tiered Monitoring & IMACS FAQs](#)
 - [Workshops & Presentations](#)



Department Communication

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Be sure your
EMAIL
AND
PHONE NUMBERS
are UP-TO-DATE
in CORE DATA...

YOU DON'T WANT TO
MISS OUT
ON REMINDERS AND UPDATES!!



Learning Objectives (continued)

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- ✓ 4. The required activities for clearing any identified noncompliance
- ✓ 5. The timelines for showing evidence of correction of noncompliance
- ✓ 6. How to enter information into IMACS
- ✓ 7. Resources for questions and assistance



Questions??

Nancy.Thomas@dese.mo.gov

Indicate “CAP Year” in the subject line



Corrective Action Plans Training (Year 2) for Cohort 2

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