Special Education Finance

Presenters:
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Topics

- Federal Expenditure Requirements
- Function/Revenue Codes & ePeGs
- Deadlines – Reports and Applications
- Allocation Calculations
- High Needs Fund
- Cooperatives
IDEA Part B Federal Expenditure Requirements
IDEA Part B Entitlement funds (Section 611) are Federal funds your District/LEA receives to help support your special education program and implement IDEA.

2011-12 $179 million Regular Part B “flow through” funds for Districts/LEAs
Permissive Use Of Part B Funds (34 CFR §300.208)

- Costs of Special Education and Related Services
- Supplementary Aids and Services
- Administrative Case Management
- Coordinated Early Intervening Services (CEIS)
Part B IDEA Requirements

- Assurances
- Excess Cost (Verification of)
- Maintenance of Effort
- Supplement – NOT Supplant
- Inventory Control for items purchased with IDEA funds
- Capital Costs
- Prorating Expenditures
- CEIS if LEA has a determination of significant disproportionality
Part B IDEA Requirements

- Office of Management and Budget (OMB) Circular A-87 Certifications/Time and Effort Logs
- Payment Requests-timing issues
- Tracking Federal Expenditures
- Education Department General Administrative Regulations (EDGAR)
Assurances (34 CFR §300.200)

- Districts/LEAs providing services to students with disabilities must submit annual assurances to the Department regarding their compliance with the applicable federal and state statutes and regulations.

- Assurances are agreed to in ePeGS reporting system through the Core Assurances and Grant Specific Assurances.
Federal funds may only be used to pay excess cost of providing special education and related services to children with disabilities.

District/LEA must spend at least the minimum average amount for the education of its children with disabilities before Part B funds are used.

Districts must document that children receiving special education services cost more than those in regular education.
Funds provided to a District/LEA under Part B must not be used to reduce the level of expenditures for the education of children with disabilities made by the District/LEA from local funds below the level of those expenditures for the preceding fiscal year.
Federal Part B Funds may only be used to supplement state, local or other non-federal funds spent on students with disabilities.

MOE MET =
MET NON SUPPLANT REQUIREMENT
Inventory Control

All capital outlay purchased with federal monies costing $1000 or more per unit/set is subject to inventory management and control requirements as follows:

- Items shall be physically marked.
- Inventory records must be current and available for review and audit. The following information must be included to be in compliance:
  - description of the property
  - manufacturer’s serial number or other identification number
  - identification of the funding source used to purchase property
  - acquisition date
  - unit cost
  - source of property (vendor name)
  - percentage of federal funds used for purchase
  - present location, use, condition of the property, and date the information was reported
  - items purged, transferred or replaced must have pertinent information recorded regarding the disposition of the equipment.
Inventory Control

- Adequate safeguards must be in effect to prevent loss, damage, or theft of the property.
- Any loss, damage, or theft must be investigated and fully documented.
- The District/LEA is responsible for replacing or repairing lost, damaged, destroyed, or stolen property.
- If stolen property is not recovered, the District/LEA should submit copies of the investigative report and insurance claim to DESE.
- Replaced equipment is automatically considered property of the originally funded program and should be inventoried accordingly.
  - Adequate maintenance procedures must be implemented.
  - A physical inventory of items must be taken and the results reconciled with the inventory records at least once every two years.
Capital Costs (Federal Funds)

Prior Approval is required:

- Alteration / Renovation: changing an existing LEA-owned structure
- Construction - building a new structure
- Real Estate - purchasing a structure or land
- Buses/Vehicles

The Part B Capital Outlay Purchase Approval Form is located at: http://dese.mo.gov/divspeced/Finance/partbentitlement.html
IDEA requires all expenditures with IDEA funds to be directed 100% toward Special Education; otherwise the cost should be prorated, unless the benefit to non-special education students is incidental and justifiable.
District/LEA may use up to 15% of their Part B 611 Allocation to assist students in Kindergarten through Grade 12 not yet identified as needing special education services but need additional academic and behavioral supports to succeed in the general education environment.

Federal regulations recommend particular emphasis on students in Kindergarten through 3rd grade.
Federal Award Certifications

- Employees paid with Part B funds who work on a single cost objective must sign certifications to indicate that they worked solely on that program for the period covered by the certification.
  - Must be completed and signed at least semi-annually after the work has been performed
  - (OMB) Circular A-87, Part 225 Appendix B.8.h(3))

- Employees working on multiple activities or cost objectives must maintain time and effort logs to determine the amount allocable to Part B.
  - Must be prepared at least monthly after the work has been performed and must coincide with one or more pay periods
  - (OMB) Circular A-87, Part 225 Appendix B.8.h(4 & 5)
Obligating Funds

- Obligate means reserve, commit, or set-aside funds for a specific activity or project.

- Obligation date begins when the Part B Application (due July 1) is substantially approved.

- Budget applications will be substantially approved as of the submission date (but not prior to July 1); therefore, IDEA Part B funds shall not be obligated until the application has been submitted.

- Applications submitted past due date will be substantially approved as of the date submitted (no back-dating) and cannot obligate funds until that date.
Cash Management Improvement Act (CMIA) requires that funds be spent within three business days of receipt of funds.

Payment requests may only include amounts already expended and/or amounts that will be expended within three business days of receipt of funds.

Violating CMIA requires interest to be calculated and returned.
Separate Tracking

All federal funds **MUST** be tracked separately from other funding sources.

- **EDGAR 74.21(2)**
  - Records that identify adequately the source and application of funds for federally-sponsored activities.

- **EDGAR 75.702**
  - A grantee shall use fiscal control and fund accounting procedures that insure proper disbursement of and accounting for Federal funds.

- **MO Financial Accounting Manual**
  - Federal funds generally require separate identification and reporting within the LEA’s audit report.
The Function Code describes the function, purpose or program for which activities are performed.

WHY
Function Codes (Beginning 2011-12)

<table>
<thead>
<tr>
<th>Description</th>
<th>Function Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Special Education and Related Services</td>
<td>1221</td>
</tr>
<tr>
<td>Coordinated Early Intervening Services</td>
<td>1223</td>
</tr>
<tr>
<td>Proportionate Share Services</td>
<td>1224</td>
</tr>
<tr>
<td>Professional Development</td>
<td>2200</td>
</tr>
<tr>
<td>Transportation and Maintenance</td>
<td>2500</td>
</tr>
<tr>
<td>Facility Acquisition and Construction</td>
<td>4000</td>
</tr>
</tbody>
</table>

Pre-set codes in Missouri Financial Accounting Manual

Expenditure Object Codes

The object code identifies the service or commodity obtained.

WHAT
## Object Codes

<table>
<thead>
<tr>
<th>Description</th>
<th>Object Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certificated Salaries</td>
<td>6100</td>
</tr>
<tr>
<td>Non-Certificated Salaries</td>
<td>6150</td>
</tr>
<tr>
<td>Employee Benefits</td>
<td>6200</td>
</tr>
<tr>
<td>Purchased Services</td>
<td>6300</td>
</tr>
<tr>
<td>Supplies</td>
<td>6400</td>
</tr>
<tr>
<td>Capital Outlay</td>
<td>6500</td>
</tr>
</tbody>
</table>

Pre-set codes in DESE Missouri Financial Accounting Manual
QUESTION:
How can a District/LEA track State, Federal, and Local expenditures?

ANSWER:
Use Source/Project Codes for each expenditure.
## Source/Project Code Examples

### Special Education Teacher Example:

<table>
<thead>
<tr>
<th>Function Code</th>
<th>Object Code</th>
<th>Source of Funds/Project Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>1221-</td>
<td>6100-</td>
<td>41</td>
</tr>
<tr>
<td>(Special Education)-</td>
<td>(Certificated Salaries)-</td>
<td>(Federal)</td>
</tr>
</tbody>
</table>

### Special Education Contracted Transportation Example:

<table>
<thead>
<tr>
<th>Function Code</th>
<th>Object Code</th>
<th>Source of Funds/Project Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>2500-</td>
<td>6300-</td>
<td>10</td>
</tr>
<tr>
<td>(Special Education)-</td>
<td>(Contracted Transportation)-</td>
<td>(State)</td>
</tr>
</tbody>
</table>

### Coordinated Early Intervening Service Professional Development Example:

<table>
<thead>
<tr>
<th>Function Code</th>
<th>Object Code</th>
<th>Source of Funds/Project Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>1223-</td>
<td>6100-</td>
<td>41</td>
</tr>
<tr>
<td>(CEIS)-</td>
<td>(Certificated Salaries)-</td>
<td>(Federal)</td>
</tr>
</tbody>
</table>
Revenue Code Changes

Old Revenue Code
- 5441 – Individuals with Disabilities Education Act (IDEA)

New Revenue Codes
- 5441 – IDEA Entitlement Funds
- 5437 – IDEA Grants (Cooperative, Competitive Improvement, SWIS, High Need Fund, SET)
- 5438 – Non-IDEA Special Education Grants
Business Rules

- Budget Application – Due July 1 (no back-dating)
- Budget Amendments will not be allowed after April 30th without DESE approval
- Fewer Function Codes (will have descriptors)
- Final Expenditure Report (FER) – Due September 30 (no amendments unless audit finding)
- Once FER is created the rest of the system will shut down (no payment requests or budget amendments for that school year)
- If the FER is not submitted by the due date, LEA can’t access their current year funds until submitted
Payment Requests – Due 11:59 pm on 1st of the month (indicate expenditures to date on payment requests)

Payment requests through June, July, Aug, and Sept (payment transmittals will indicate current year since budget cycles will overlap)

Overpayments/CMIA – districts must return and calculate interest on all overpayments

No book transfers on overpayments (trans ins/trans outs)

Revenue and Function Code Changes (see Accounting Manual)
ePeGs Reporting

- Part B Budget Application
- Part B Payment Requests
- Part B Final Expenditure Report

See ePeGs Training Guide Series for step-by-step instructions:
http://dese.mo.gov/divspeced/Finance/partbentitlement.html
Part B Payment Requests

- The Actual Cumulative Program Year Expenditures to Date is the total amount of expenditures from the beginning of the program year up to the current date.

- The Additional Anticipated Expenditures by Receipt of Funds is the amount of expenditures the district will incur up until the payment is received.

- Amount Paid to Date is the total amount of Part B IDEA funds that have been paid to the District/LEA as of the current date.
The Payment Request Formula is:

Actual Cumulative Program Year Expenditure to Date  
+ Additional Anticipated Expenditures by Receipt of Funds  
– Amount Paid to Date  

= Payment Request Amount

For more information, please see the ePeGs Payment Request Training Guide FY12  
(http://dese.mo.gov/divspeced/Finance/partbentitlement.html)
Important Deadlines
Part B Allocation Calculation
Charter School Allocations

Allocations are the sum of these three calculations:

- **Base Amount**—Multiply the Number of IEPs in the Charter School’s first year of existence by a rate of $518.60

- **Population**—Multiply the September Enrollment by the current year Part B statewide “Increase for Population Rate”

- **Poverty**—Multiply the January Free/Reduced Lunch Count by the current school year Part B statewide “Increase for Poverty Rate”
Early November:
- DESE requests data from new Charters for estimated allocation:
  - Estimated December 1 Child Count (students with disabilities)
  - Actual September 2011 Enrollment
  - Estimated January 2012 Federal Free and Reduced Lunch Counts

November 21, 2011—Charter School data due to DESE

Late November:
- DESE calculates estimated allocations for new Charter Schools.
- DESE notifies new Charter Schools of allocations.
- Charter Schools must submit their Part B Application.
FY12 New Charter Allocation Timeline (continued)

First Week in March:

- DESE sends notification to new Charter Schools requesting verification of:
  - Actual December 1, 2011 Child Count
  - Actual January 2012 Federal Free and Reduced Lunch Counts

March 15, 2012—Charter school data due to DESE

Late March:

- DESE recalculates final allocations using actual data
- DESE notifies new Charter Schools of revised allocations
- Charter Schools must amend their Part B Application to refresh data and re-budget amounts
FY12 Expanded Charter Allocation Timeline

Early November:
- DESE sends letter to significantly expanded Charter Schools requesting the following data for the estimated revised allocation:
  - Actual September 2011 Enrollment
  - Estimated January 2012 Federal Free and Reduced Lunch Counts

November 21, 2011—Charter School data due to DESE

Late November:
- DESE calculates estimated revised allocations for expanded Charter Schools.
- DESE notifies expanded Charter Schools of revised allocations.
- Charter Schools must amend their Part B Application to refresh allocations and re-budget amounts.
FY12 Expanded Charter Allocation Timeline (continued)

First Week in March

- DESE sends notification to all significantly expanded Charter Schools requesting verification of the actual January 2012 Federal Free and Reduced Lunch Counts.

March 15, 2012—Charter school data due to DESE

Late March:

- DESE recalculates final allocations using actual data
- DESE notifies significantly expanded Charter Schools of revised allocations.
- Charter Schools must amend their Part B Application to refresh data and re-budget amounts.
Other Charter Schools (not new or significantly expanded) Part B Allocations are performed with the regular LEA statewide calculations in the spring.
High Need Fund
High Need Fund (HNF)

- The High Need Fund is for any student with a disability, regardless of placement, whose educational costs exceed 3 times the Current Expenditure per ADA.
The Current Expenditure per ADA is calculated by School Finance on the Annual Secretary of the Board Report (ASBR). It is figured by taking all of the district’s expenditures divided by the Average Daily Attendance (ADA).

The Result is the “average” amount it costs to educate each student in the district. This is used as a base amount to determine the 3x threshold.
Reimbursement Formula

Educational Costs for Student
- 3x Current Expenditure per ADA
= District Reimbursement Amount
HNF Example

Current Expenditure per ADA: $6,500
3x Current Expenditure per ADA: $19,500

Educational Costs: $31,000
- 3xCurrent Expenditure per ADA: $19,500
=DESE Reimbursement Amount: $11,500
Reimbursement Methodology

- DESE will reimburse expenditures the following fiscal year in which the services were provided.

- Reimbursement is 100%. Applications are due January 31 following the year in which services were provided.
Identifying Students

- Students that may qualify for this fund include, but are not limited to:
  - Students with Personal Aides or Nurses
  - Students in Contractual Placements
  - Students receiving a large amount of services
  - Students receiving one-on-one instruction
Student Costs

- Instruction
- Related Services
- Transportation
- Tuition/Contractual/Cooperative
- Assistive Technology/Supplies
- Other
Unallowable Costs

- Court costs
- Medical assistance reimbursable activities (Medicaid)
- Legal fees
- Other costs associated with a cause of action brought on behalf of a student with a disability.
Cooperatives
Payments for expenditures must be based on expenditures incurred to date, or expenditures that will incur within three days of receipt of the funds (per the CMIA).

Refunds to a fiscal agent or member district must follow the guidance in the Refund and Reimbursement policy located on the School Finance Topics and Procedures page. Refunds not expended within three days must be returned to DESE so as to not draw interest.
Grant Funded Cooperatives

- Formed to provide a variety of special education services not presently available in a contiguous geographic area.

- Funding is in addition to regular Part B funding – it is a separate allocation to help get the Coop started.

- Four or more districts enter into a formal agreement.

- Three year award after which the Coop should be self-sustainable.

- Only one application per Coop will be accepted.

- All applications are due by June 30.

- Annual reports are required.
Special Education Compliance

Presenters:

• Bonnie Aaron, Director
• Julie Bower, Supervisor
• E-mail: secompliance@dese.mo.gov
• Telephone: (573) 751-0699
Know Your Resources
Features

Check Out The Department’s Upcoming Webinars

News & Updates

- Registration Is Open for the 2011 School Administrators Conference
- 47 Missouri Schools Receive National Health Awards
- Fall Enrollment Opens for MoYip Online Courses
- Missouri GED Transcripts Are Now Online
- Top 10 by 20 Video Released

more news...

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Memos
- Administrators
- Teachers
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- 06-30-11 - 2010-2011 Performance Data Release Schedule
- 06-30-11 - Dollar Value Modifier Calculation
- 06-20-11 - HQT Data for 2010-11
- 06-15-11 - Information on Funding Cuts for Education
- 06-07-11 - Office Updates: Student Information System RFP and FAFSA Filing Rates
- 06-03-11 - FY12 Fiscal Changes for Federal Programs
- 05-27-11 - Verification of Data Used in FY12 Part B Allocation
- 05-27-11 - Unexpended FY2009 Funds under NCLB

more...
Office of Special Education

News and Updates

Blind Task Force Vacancies
The Office of Special Education is seeking nominations for individuals to serve on the Blind Task Force.
More information

FY11 Part B and ECSE ARRA FER Submission Errors - RESOLVED
LEAs may once again submit FY11 Part B and ECSE ARRA FERs.
More information

FREE AIM Instructional Design Resource for Students with Disabilities - NIMAC "AIM across the Curriculum"
Many materials students use in the classroom are print-based, such as textbooks and handouts. Some students with physical, sensory, or intellectual challenges may have difficulty reading these materials.
More information

REMAINDER FY12 Part B Budget Application Due July 1
The FY12 Part B Budget Application is due July 1, 2011. Budget applications will be substantially approved as of the submission date; therefore, IDEA Part B funds shall not be obligated until the application has been submitted.
More information
SELS and SELS 2

- SELS
- SELS 2
- Lina Browner 573-751-5739 or lina.browner@dese.mo.gov
Compliance Homepage

Special Education Compliance

News and Updates

IMACS
Frequently Asked Questions

Transition from First Steps to Early Childhood Special Education
As a joint effort First Steps (Part C) and Special Education Compliance (Part B) personnel, the Office of Special Education is offering a webinar on Transition from First Steps to Early Childhood Special Education. The webinar will be presented January 25 from 10:30 a.m. to 12:00 p.m. and will focus on the transition procedures and timelines for children moving from First Steps to ECSE. This webinar will include a live Q&A about issues discussed in the presentation.

More information

Update to the Revisions of the Standards and Indicators
We regret that there was an error made in the recent revisions of the Standards and Indicators.

More information

Revisions to the Standards and Indicators Manual
Revisions have been made to the Standards and Indicators Manual found on the Special Education Compliance webpage. A list of those revisions and the
What resources do Charter Schools need to be in compliance with IDEA?
Charter schools are autonomous public schools, which receive the same funding from the same sources as other public schools.

A Charter School may not limit admission based on race, ethnicity, national origin, disability, gender, income level, proficiency in English language, or athletic ability, but may limit admission to pupils within a given age group or grade level.
Federal Law

- Federal Law 300.2 (b)(1)(ii) - The provisions of this part apply to all political subdivisions of the State that are involved in the education of children with disabilities.
Federal Law and Special Education

- Federal and State laws are binding on each public agency in the State that provide special education and related services to children with disabilities, regardless of whether that agency is receiving funds under Part B federal IDEA regulations 300.2(b)(2).

- Responsible for implementing Federal law (IDEA) and state special education laws and regulations.
Charter Schools and Special Education

- Charter schools are public schools and thereby required to abide by federal special education rules and regulations.

- Charter schools are required to meet the regulations of Title II of the Americans with Disabilities Act (ADA) and Section 504 of the Rehabilitation Act of 1973.
MO Law and Charter Schools

- MO Law 160.415

A charter school shall provide the special services provided pursuant to section 162.705 RSMo and may provide the special services pursuant to a contract with a school district or any provider of such services.
Charter Schools and Contracting

- A charter school may elect to contract for the provision of services for students with disabilities but the Charter School continues to have the ultimate responsibility for the child’s IEP and the provision of services exactly as specified in the IEP.

- Charter Schools are also responsible for following any applicable state or federal regulations and procedures when contracting for these services.
What resources do Charter Schools need to be in compliance with IDEA?
Special Education Monitoring and Compliance

- The Federal Office of Special Education Programs (OSEP) monitors every state on its compliance with IDEA requirements.

- States monitor how districts comply.

- Charter schools are held accountable for special education in the same manner as all public schools: they must demonstrate that they comply with IDEA.
Monitoring

- Charter Schools are monitored based upon performance standards and must follow the Special Education Program Review Standards and Indicators.

- Charter School monitoring is scheduled within a three year cohort as other schools and agencies monitored by the Department of Special Education.
Special Education Monitoring Process

- Charter school conducts a self-assessment to review implementation of all special education requirements
- DESE reviews and validates the data
- Reviews are conducted on a three year cycle
- Report is written detailing the findings
- Charter school develops a plan to address all non-compliance
Compliance

TOP 10 “Watch Fors”
(based on Compliance Monitoring and On-site reviews)

1. Review of Existing Data
   • 200.30 and 200.330

2. Timelines
   • 200.20.a through 200.70, 200.180, 200.330 through 200.360, 200.590, 200.620 and 200.630

3. Evaluations
   • 600 through 2100 and 200.260 and 200.520

4. Postsecondary transition planning
   • 200.800

5. Measurable annual goals
   • 200.810
TOP 10 “Watch Fors” continued
(based on Compliance Monitoring and On-site reviews)

1. Continuum of placement options
   • 200.1030 and 200.1040

2. Notice of Action
   • 200.50 through 200.150 and 200.340 through 200.420

3. Discipline
   • 300.10 through 300.80

4. Transfer procedures
   • 500.10 through 500.290 and 550.10 through 550.270

5. Speech Implementer model
   • 400.10 through 400.120
Special Education Laws & Regulations

Part C - ages Birth to 3 (First Steps)

- Missouri State Plan for Part C - First Steps
- Parental Rights Brochure
- Missouri State Application
- Compliance Standards and Indicators (pdf) [Revised October 2008]

Part B - ages 3-21

- Missouri State Plan for Special Education
- Federal Regulations (pdf)
- IDEA Part B Supplemental Regulations
- Procedural Safeguards
  -- Parents’ Bill of Rights
- Special Education Compliance Standards and Indicators Manual
- Family Educational Rights and Privacy Act (FERPA)
- Local Compliance Plan (required only when Local Compliance Plan changes)
Child Complaints and Due Process

Child Complaints
and
Due Process
Compliance Staff

Bonnie Aaron, Director, Special Education Compliance Parts B & C
Phone: 573-751-0699, Fax: 573-526-5946 Web Inquiries: webreplyspeco@dese.mo.gov

Part B - Ages 3-21
- Nancy Thomas, Assistant Director
- Julie Bower, Supervisor
- Rick Lewis, Supervisor
- Bev Luetkemeyer, Supervisor
- Donna Raines, Supervisor
- Vacant, Supervisor
- Vacant, Administrative Assistant

Part C - Ages Birth to 3
- Pam Schroeder, Assistant Director
- Sara Massman, Supervisor
- Vacant, Administrative Assistant

Educational Surrogate Program
IMACS, Web, and Data Technical Assistance
- Dana Desmond, Data Specialist
- Vacant, Administrative Assistant

Complaint System
• Child Complaints
  - Pam Schroeder, Assistant Director
  - Nancy Thomas, Assistant Director
  - Jennifer Moreland, Supervisor
  - Wanda Allen, Legal Assistant
• Due Process
  - Bonnie Aaron, Director
  - Wanda Allen, Legal Assistant
## RPDC Compliance Consultants

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Questions??
Effective Practices

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Effective Practices Website

Effective Practices

News and Updates
2011-2012 NASDSE Professional Development Series is Now Available
NASDSE Professional Development Series has released two sessions. "We're Better Working Together: Recommendations for Improved Coordination Between Title I and IDEA" and "Section 504 Issues for Students With Disabilities: Case Law and Implications for Practice" are now available.

- SELS message se-ls11.03.11

WEBINAR Announcement - Special Education: The Transfer Process
Please join us in a webinar that will describe the process and compliance requirements to ensure a timely and seamless transfer from one school district to another for students with disabilities.

- SELS message se-ls10.18.11

How Do I Find?
- Accessible Instructional Materials (AIM)
- Competitive Improvement Grants
- Co-Teaching
- Differentiated Instruction
- Doing What Works
- EP Related Links
- Functional Behavioral Assessment (FBA) and Behavioral Intervention Plans (BIP)
- Missouri Integrated Model (MIM)
- MORE Website
- NASDSE 2010–2011 Professional
Transition
Community of Practice

- **What:** an online forum to access free resources and collaborate with others across the state
- **When:** can access anytime from any computer with internet
- **Where:** [www.MissouriTransition.org](http://www.MissouriTransition.org)
- **Who:** currently 519 participants from across Missouri
Check and Connect

- An evidence based strategy for student engagement
- A dropout prevention tool
- Continuous assessment of student engagement through monitoring of student performance and progress indicators
- A natural fit with PBIS
- Partnership with school personnel, family members, and community service providers
Check and Connect

- Individualized attention to students
- A monitor is assigned to students to
  - Regularly review their performance
    - Intervenes when problems are identified.
  - Advocate for students
  - Coordinate services
  - Provide ongoing feedback and encouragement and
  - Emphasize the importance of staying in school
- Contact RPDC for information about regional trainings
Achieving Results with TOPs

Sequence of Steps/Activities

- **Phase 1** - Identification and Commitment from Local Districts
- **Phase 2** - IEP Reviews
- **Phase 3** - Report Findings, Set Target Goals/Timelines, Brainstorm Strategies
- **Phase 4** - Implementation and Follow Along
- **Phase 5** - Follow-up Reviews/Report of Final Results
Transition Outcome Project

- Currently have 110 schools
- Goal is to scale up to all Missouri Schools
- Trainings are available regionally to Missouri Districts
- Contact RPDC Consultants
Transition Outcomes Project (TOPs)

Purpose — to develop and field test a process and a model to:

- Assist local districts in meeting the transition service requirements of IDEA 2004.

- Evaluate the effectiveness of providing and delivering transition services to students and families through the IEP process.

- Provide training and resource materials on the transition process for educators, administrators, adult agency personnel, parents and others.
Multi-leveled Systems of Support

Professional Learning Communities (PLC) – Mary Ann Burns
Schoolwide Positive Behavior Support (SW-PBS) – Megan Freeman
Response to Intervention (RTI) – Thea Scott
PLC, SW-PBS, and RTI—Same or Different?

All of these models are based on utilization of the problem-solving process within a continuum of supports integrating evidence-based practices, data-based decision making and assessment to maximize student achievement. Each of these models has a particular area of focus but all work within the same multi-leveled framework and encompass many of the same components.
MO PLC Project

Our mission is to build a sustained culture for learning in Missouri schools through the professional learning communities process.

A Missouri Department of Elementary & Secondary Education School Improvement Project
The Missouri PLC Project is a state-wide school improvement initiative supported by federal funds and accrued program income working through the regional centers to assist in a state-wide system of support for schools in Missouri.
A Focus on Learning ...

We believe ALL children can learn
AND, ... we take responsibility for their learning.

Building a Collaborative Culture ...

We work together to achieve our collective purpose through the development of high performing teams.

Results Orientation...

We use timely, common formative assessments to measure student learning and provide the time and support to ensure learning.

Three Big Ideas of Being a PLC
4 CRITICAL COROLLARY QUESTIONS

If we truly believe all kids can learn...

- What is it we expect them to learn?
  (Essential learning outcomes)
- How will we know when they have learned it?
  (Formative assessments – using common assessments to drive instruction)
- How will we respond when they don’t learn?
  (Appropriate and timely interventions)
- How will we respond when they already know it?
  (Enrichment)
MO PLC Revised Curriculum

- Foundation for Learning Community Culture
- How Effective Teams Work
- Building Leadership Teams
- Administrative Leadership
- What Students Need to Know and Do
- Assessment for Learning
- Systematic Process for Intervention/Student Success
- Continuous Improvement
PLC — a process not a program

- Professional Learning Communities is a process for schools to use in order to develop a comprehensive tiered level of support for students – all students.

- This support system is comprehensive in that it promotes
  - identifying essential learnings, and
  - developing common formative assessments, for
  - continuous screening of students in an exact manner, so as to promote the success of each student.

- This screening and monitoring process is systematic throughout the school year and provides interventions that are timely and specific – targeted and directive – applied to all students when needed and appropriate for each student.
## Educational Researchers Who Endorse PLC Concepts

<table>
<thead>
<tr>
<th>Roland Barth</th>
<th>Richard Elmore</th>
<th>Jonathan Saphier</th>
</tr>
</thead>
<tbody>
<tr>
<td>Michael Fullan</td>
<td>Doug Reeves</td>
<td>Richard Stiggins</td>
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<tr>
<td>Fred Newmann</td>
<td>Gary Wehlage</td>
<td>Sharon Kruse</td>
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<td>Milbrey McLaughlin</td>
<td>Joan Talbert</td>
<td>Mike Schmoker</td>
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<td>Carl Glickman</td>
<td>Paul Byrk</td>
<td>Andy Hargreaves</td>
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<td>Joan Little</td>
<td>Dennis Sparks</td>
<td>Shirley Hord</td>
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<tr>
<td>Robert Marzano</td>
<td>Art Wise</td>
<td>Dylan Wiliam</td>
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<tr>
<td>Thomas Sergiovanni</td>
<td></td>
<td>Phil Schlecty</td>
</tr>
<tr>
<td>Karen Seashore Louis</td>
<td></td>
<td>Linda Darling-Hammond</td>
</tr>
</tbody>
</table>
Research has demonstrated that schools organized as professional learning communities, have improved outcomes for both staff and students.

- **For Staff ...**
  - Reduction of isolation of teachers
  - Increased commitment to the mission and goals of the school
  - Shared responsibility for the total development of students
  - Collective responsibility for students’ success
  - More satisfaction and higher morale, and lower rates of absenteeism
  - Higher likelihood of undertaking fundamental, systemic change

- **For Students ...**
  - Decreased dropout rate and few classes “cut”
  - Lower rates of absenteeism
  - Increased learning that is distributed more equitably across all curricula
  - Larger academic gains in math, science, history and reading than in traditional schools
  - Smaller achievement gaps between students from different backgrounds.

Hord (1997)
Contact Us

For more information on the MO PLC Project, please visit:

http://www.dese.mo.gov/divteachqual/sii/prolearning

or

http://www.moplc.org

Mary Ann Burns
Director School Improvement Initiatives
Department of Elementary & Secondary Education
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573-751-2332
SW-PBS Overview

- Background Information
- Key Features
- Benefits
- Resources
Science of Behavior Teachings

- Students are not born with “bad behaviors.”
- To learn better ways of behaving, students must be taught the replacement behaviors directly.
- To retain the new behaviors, students must be given specific, positive reinforcement and opportunities to practice them in a variety of settings.
The same strategies employed in effective academic instruction are used for behavioral instruction:

- Introduce content.
- Directly teach content.
- Model steps in lesson.
- Provide guided practice.
- Provide independent practice.
- Re-teach as necessary.
Part of the Solution

- Increase investment in systems and practices to prevent problem behaviors for all students.
- Pay attention to systems that support the adoption of and sustained use of evidence-based practices.
SW-PBS is not...

- A specific practice or curriculum. It’s a general approach to preventing problem behavior.
- Limited to a particular group of students. It’s for all students.
- New. It’s based on a long history of behavioral practices and effective instructional design and strategies.
SW-PBS is...

- A process for creating safer and more effective schools by structuring the learning environment to support the academic and social success of all students. The process supports the adoption and long-term implementation of efficient and effective discipline throughout the school environment.

- A framework and a foundation to support student and staff success. Schools finish building the structure to fit their needs.

- Evidence-based. The system and strategies are backed by research studies.
Multi-leveled System of Support

**Academic Systems**

**Tier 3/Tertiary Interventions** 1-5%
- Individual students
- Assessment-based
- High intensity

**Tier 2/Secondary Interventions** 5-15%
- Some students (at-risk)
- High efficiency
- Rapid response
- Small group interventions
- Some individualizing

**Tier 1/Universal Interventions** 80-90%
- All students
- Preventive, proactive

**Behavioral Systems**

**Tier 3/Tertiary Interventions** 1-5%
- Individual students
- Assessment-based
- Intense, durable procedures

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- Some students (at-risk)
- High efficiency
- Rapid response
- Small group interventions
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**Tier 1/Universal Interventions** 80-90%
- All settings, all students
- Preventive, proactive
Essential Components

1. Administrator support, participation and leadership
2. Common purpose and approach to discipline
3. Clear set of positive expectations and behaviors
4. Procedures for teaching expected behavior
5. Continuum of procedures for encouraging expected behavior
6. Continuum of procedures for discouraging inappropriate behavior
7. Procedures for ongoing monitoring
Benefits

Schools, pre-kindergarten through high school, that implement and consistently use SW-PBS:

- Improve school climate.
- Improve student achievement.
- Reduce suspension and referral rates.
- Increase attendance.
To find out more...

Resources

- Missouri SW-PBS Website: pbismissouri.org
- National PBIS Website: pbis.org

Contact Information

- Mary Richter, SW-PBS State Coordinator
  - millerrichterm@missouri.edu
  - 573.882.1197
- Megan T. Freeman, Effective Practices Assistant Director
  - megan.freeman@dese.mo.gov
  - 573.751.2512
Missouri defines RTI as the integration of assessment and intervention within a multi-level prevention system to maximize student achievement. With RTI, schools identify students at risk for poor learning outcomes, monitor student progress, provide evidence-based interventions, and adjust the intensity and nature of those interventions depending on a student’s responsiveness (NCRTI, rti4success.org).
**Tier 3/Tertiary Interventions**

- 1-5% of students
- Individual students
- Assessment-based
- High intensity

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Foundational Elements Needed for System Change

- Leadership
- Collaborative Culture
- Parent, Family, and Community Partnerships
- Systemic Implementation

System Change
Essential Components of RtI

- Research-based core instruction
- Evidence-based interventions
- Universal screening
- Progress Monitoring
- Data Based Decision Making
- Three-tiered Intervention Model
- Implementation Fidelity
DO NOT Immediately Jump into the Intervention Pool!!
RTI—Funding (State Grants)

Special Education State Improvement Grants (competitive)

Implementing RTI Using Title I, Title III, and CEIS Funds: Key Issues for Decision-makers and Response to Intervention (RTI): Funding Questions and Answers

Response to Intervention (RTI): Funding Questions and Answers

Coordinated Early Intervening Services
IDEA 2004: Learning Disability Eligibility

To ensure that underachievement in a child suspected of having a specific learning disability is not due to lack of appropriate instruction in reading or math, the group must consider, as part of the evaluation described in 34 CFR 300.304 through 300.306:

- Data that demonstrate that prior to, or as a part of, the referral process, the child was provided appropriate instruction in regular education settings, delivered by qualified personnel; and

- Data-based documentation of repeated assessments of achievement at reasonable intervals, reflecting formal assessment of student progress during instruction, which was provided to the child’s parents.

(www.idea.ed.gov)
RTI—Using RTI for SLD Identification

- Federal Requirements (see Federal Register)

§ 300.307, § 300.309, § 300.311

Federal Regulations

Required documentation **if using RTI** for SLD identification § 300.311(a)(7)

1. Instructional strategies used and student-centered data collected

2. Documentation that the child’s parents were notified about:
   * States’ policies regarding amount/nature of student performance data collected and general education services that would be provided
   * Strategies for increasing the child’s rate of learning
   * Parent’s right to request an evaluation
District written policy regarding process to be used to id SLD § 300.307

LEAs must use the State criteria for SLD id (discrepancy or RTI) § 300.307 (for state criteria, see appendix A at http://www.dese.mo.gov/3tieredmodels/rti/mo_guidelines.html ("A public agency must use the State criteria adopted ...to determine whether a child has a SLD")

RTI—Using RTI for SLD Identification

See policy letters/OSEP memorandum webinar

See Federal Regulatory Requirements webinar

Both available on National Center on RTI
www.rti4success.org
RTI—OSEP Comments

- RTI does not replace a comprehensive evaluation
- RTI cannot be used to delay or deny an evaluation of a child suspected of having a disability (see OSEP memorandum) http://www2.ed.gov/policy/speced/guid/idea/memosdcltrs/osep11-07rtimemo.doc
- Cannot use a single procedure as the sole basis for making an eligibility determination
- Must use a variety of data-gathering methods consisting of a variety of assessment tools and strategies
RTI—Missouri Requirements

- Missouri Criteria
  http://www.dese.mo.gov/3tieredmodels/rti/mo_guidelines.html (See Appendix A)

- Standards and Indicators
Missouri Criteria when using RTI for SLD Identification

- Intervention selection criteria
- Number of interventions selected (minimum of 2)
- Number of intervention sessions required prior to referral (24 sessions over 2 interventions)
- Documentation of intervention integrity
- Frequency and duration of progress monitoring (data collected 1X per week at least, no fewer than 6 data points per intervention)
Missouri Criteria when using RTI for SLD Identification

✓ Criteria for determining the existence of a SLD
  • Performance (final benchmark—academic level)
  • Rate of Progress (how quickly student is responding to intervention—weekly rates of growth)

✓ Decision rules for referral for special education evaluation (specific criteria to determine lack of responsiveness based upon performance and rate of progress)
RTI—General Resources

- DESE Three-Tiered Model webpage
  http://www.dese.mo.gov/3tieredmodels/

- National Center on Response to Intervention

- RTI Action Network
  http://www.rtinetwork.org/
RTI—General Resources

- RTI KnowledgeBase

http://www.dese.mo.gov/3tieredmodels/

http://www.mc3edsupport.org/community/knowledgebases/Project-17.html
For More Information on RTI...

Thea Scott
Director of Three-Tiered Model Coordination
573-751-0285
thea.scott@dese.mo.gov

Dr. Rebecca Holland
RTI Development Site Coordinator
rholland@ucmo.edu
Special Education Improvement Grants
General Information

- The Department funds a limited number of competitive grants.
- Districts can submit grant proposals for both elementary achievement and transition areas.
- Priority is given to applications to fund implementation of multi-leveled models of intervention with evidence-based instructional practices in academic and/or behavioral areas.
- The funding must be primarily used for professional development.
- Districts who have previously received grants through the Department may apply for funds to expand a program.
2011-12 Timelines

- Improvement planning and grant writing trainings provided through the Regional Professional Development Centers (RPDCs) are held in October and November.

- Districts applying for grants must submit a letter of intent to seep@dese.mo.gov by 5:00 p.m. on Monday, January 9, 2012.

- The grant application must be submitted to the Department through ePeGs/IMACS by 5:00 p.m. on Friday, March 2, 2012.
Resources

Additional information on Special Education Improvement Grants may be accessed at dese.mo.gov/divspeced/EffectivePractices/ImprovementPlan.htm.

You may also contact your local RPDC or the Effective Practices section.
Special Education Data

Presenter:

• Mary Corey, Director
• E-mail: mary.corey@dese.mo.gov
• Telephone: (573) 751-8165 or (573) 751-7848
<table>
<thead>
<tr>
<th>Data</th>
<th>MOSIS File</th>
<th>Core Data Screen</th>
</tr>
</thead>
<tbody>
<tr>
<td>Special Education Child Count</td>
<td>Student Core (December)</td>
<td>11 (aggregate)</td>
</tr>
<tr>
<td>Special Education Exiting Student</td>
<td>Student Core, Enrollment &amp; Attendance (June)</td>
<td>12 (aggregate)</td>
</tr>
<tr>
<td>Discipline</td>
<td>Discipline Incidents (June)</td>
<td>9</td>
</tr>
<tr>
<td>Educator Course &amp; Assignment</td>
<td>Educator Core, Educator School, Course Assignment, Student Assignment (October)</td>
<td>18/20</td>
</tr>
<tr>
<td>Graduate &amp; DROPOUT Follow-up</td>
<td>Graduate Follow-up (Feb)</td>
<td>8 (aggregate)</td>
</tr>
<tr>
<td>Early Childhood Outcomes</td>
<td>Student Core (June)</td>
<td>NA</td>
</tr>
</tbody>
</table>
# MOSIS – Data Collection at the Student Level

<table>
<thead>
<tr>
<th>Month/Cycle</th>
<th>MOSIS File</th>
</tr>
</thead>
<tbody>
<tr>
<td>August</td>
<td>Student Enrollment/Attendance</td>
</tr>
<tr>
<td>October</td>
<td><strong>Student Core</strong></td>
</tr>
<tr>
<td></td>
<td>Educator Core</td>
</tr>
<tr>
<td></td>
<td>Educator School</td>
</tr>
<tr>
<td></td>
<td>Course Assignment</td>
</tr>
<tr>
<td></td>
<td>Student Assignment</td>
</tr>
<tr>
<td>December</td>
<td><strong>Student Core</strong></td>
</tr>
<tr>
<td>February</td>
<td><strong>Student Core</strong></td>
</tr>
<tr>
<td></td>
<td>Graduate Follow-Up</td>
</tr>
<tr>
<td>April</td>
<td><strong>Student Core</strong></td>
</tr>
<tr>
<td>June</td>
<td><strong>Student Core</strong></td>
</tr>
<tr>
<td></td>
<td>Student Enrollment/Attendance</td>
</tr>
<tr>
<td></td>
<td>Discipline Incident</td>
</tr>
</tbody>
</table>
Special Education Child Count

- Number of students with disabilities who had an IEP (or Services Plan) and were receiving services on December 1
- Includes all students receiving special education services
  - Students enrolled and attending the district
  - Home-schooled students
  - Parentally-placed private school students
  - Students placed by IEP team in a private setting
  - ECSE
  - NOT students in MSB, MSD, MSSD
- Reported via the MOSIS December Student Core File which populates Core Data Screen 11
Special Education Exiters

- MOSIS June Student Core
  - A single record per student. Include the disability category (at time of exit) for those who exited special education from July 1 – June 30

- MOSIS June Student Enrollment & Attendance file
  - A single record for each time a student exits a school, changes grade, or changes residency status. The record must include entry and exit information

- Exit codes from both files will be used to populate Screen 12
Exiting

- The SPED Program Exit field in MOSIS Student Core only needs to be populated with the following:
  - 01-Return to regular education
  - 17-Parent withdrew student from special education
- All other exit codes will be pulled from the MOSIS Student Enrollment and Attendance file
Graduation Rate

- Adjusted Cohort Graduation Rate = On-time graduates from the cohort / Adjusted cohort

- Adjusted Cohort includes first-time freshman from four years ago, plus transfers in, minus transfers out
Graduation Rate

- New calculation will be reported in the Report Cards this fall for all students; will be used for AYP purposes next year.
- Preliminary calculations show a decrease in the graduation rates.
- Report students as graduates when they receive their diplomas.
Educator, Course and Assignment

- All personnel employed or contracted are to be reported to DESE
  - Teachers (including speech implementers)
  - Paraprofessionals
  - Ancillary (Therapists, diagnosticians, etc.)
  - Administrators

- TA docs available at:
  http://www.dese.mo.gov/divspeced/DataCoord/personnel.html
Special Education teachers should use codes that start with “19”
- 195000 designates core content
- 195010 designates non-core content

Special Education staff should use Program Codes 06, 09, 17 or 19

Speech Implementers – must be approved every year; code 195500
Caseload or Student Assignment?

- Delivery system of CO or IG – report caseload number in Educator Assignment file
- Delivery system of SC or LI – provide students in Student Assignment file
- Rules with some exceptions

See guidance docs on web
Speech/Language

- **SLP Direct Service Instruction by SLPs**
  - Position Code 60 – Teacher
  - Course Code 195500 – SLP
  - Requires SLP Certification or Licensure

- **SLP Direct Service Instruction by Implementers**
  - Position Code 60 – Teacher
  - Course Code 195500 – SLP
  - Requires Annual approval as implementer

- **SLP Diagnostician**
  - Position Code 90 – Ancillary
  - Course Code 889000 – Diagnostic Speech Language
  - Requires SLP Certification or Licensure
Highly Qualified Teachers

- Highly Qualified Special Education Teachers
  - Bachelors degree
  - Special Education Certification
  - Content area expertise IF teaching and giving grade/credit in core content area

- Courses evaluated for content area expertise
  - Departmentalized instruction in Communication Arts, Math, Science & Social Studies (1956xx)
  - Special education core content instruction (195000 & others) with self-contained (SC, LI or combined) delivery systems
  - Special Ed Severe Developmental Delay (195300)
Staff Assignment Reports

- New and improved reports coming soon
- Inappropriate certification and not highly qualified information
- Online HOUSSE forms
- Online checks for educator credentials
For many years, districts have reported follow-up on graduates.

Beginning in 2009-10, began to report follow-up for dropouts who had an IEP at the time of dropping out from grades 9-12.

Report follow-up category and “SpedMetDefinition” Y/N field (may need to talk to guidance staff about this).

Used for SPP Indicator 14 & MSIP.
**Follow-up categories**
- 4-year college*
- 2-year college*
- Non-college*
- Military
- Employment* (competitive)
- Employment* (not competitive)
- Not available
- Unknown
- Other

**SpedMetDefinition?**
- Yes: If enrolled, enrolled for at least one complete term
- Yes: If employed, employed for a period of 20 hours a week for at least 90 days
- No
- Had a lot of “No’s” in 2010-11 data
Determinations – Timely & Accurate Data

- **Timely** - based on MOSIS certification date
  - December Student Core by **January 10**
  - October Educator and Assignment files by **February 1**
  - June Student Core and Enrollment & Attendance by **September 1**
  - June Discipline by **September 1**

- **Accurate** – based on resolution of errors and inquiries