DOCUMENT RESUME

ED 314 504 TM 014 436

TITLE	Coordinated Compliance Monitoring Review Manual, 1989-90.
INSTITUTION	California State Dept. of Education, Sacramento.
REPORT NO	ISBN-0-8011-0823-3
PUB DATE	89
NOTE	408p.; Original printed on multi-colored paper.
AVAILABLE FROM	Bureau of Publications, Sales Unit, California State Department of Education, P.O. Box 271, Sacramento, CA 95802-0271 ($6.75 plus tax for California residents).
PUB TYPE	Guides - Non-Classroom Use (055) -- Tests/Evaluation Instruments (160)
EDRS PRICE	MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS	Access to Education; Adult Education; *Categorical Aid; *Compliance (Legal); Educational Finance; Elementary Secondary Education; Legal Responsibility; Migrant Education; Public Schools; *School Districts; *Special Education; Special Programs; *State Programs; Vocational Education
IDENTIFIERS	*California State Department of Education; *Monitoring

ABSTRACT

In 1983 the California State Department of Education (CSDE) began to develop a coordinated compliance monitoring review process to simplify and coordinate the legally required compliance monitoring of specially funded programs while maintaining the commitment to students with special needs. A new 3-year cycle of coordinated compliance reviews for local educational agencies (LEAs) was begun in 1987-88. This manual reasserts the goals of the coordinated compliance review process as: decreasing monitoring visits by the CSDE; reducing duplication of efforts; increasing local responsibility; ensuring that categorically funded students are provided with the district's core curriculum; and providing technical and management assistance to the LEAs in preventing and resolving non-compliance problems. These goals are to be accomplished by monitoring: (1) specially funded educational programs; (2) school-based coordinated programs; (3) student motivation and maintenance programs; (4) child development programs; (5) consolidated programs; (6) migrant education; (7) special education; (8) vocational education; and (9) adult education. This manual provides the LEA self-review, the state validation review, and the review instruments with their instructions. (SLD)

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Coordinated Compliance Monitoring Review Manual

1989-90

Publishing Information

This document was published by the California State Department of Education, 721 Capitol Mall, Sacramento, California (mailing address: P.O. Box 944272, Sacramento, CA 94244-2720). It was distributed under the provisions of the Library Distribution Act and *Government Code* Section 11096.

1989

Copies of this publication are available for $6.75 each, plus sales tax for California residents, from the Bureau of Publications, Sales Unit, California State Department of Educati P.O. Box 271, Sacramento, CA 95802-0271.

A list of other publications available from the Department appears at the back of this publication. A complete list may be obtained by writing to the address given above or by calling the Sales Unit at (916) 445-1260.

ISBN 0-8011-0823-3

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I. INTRODUCTION

Coordinated Compliance Monitoring Review Process Development and Goals

Early in 1983, Superintendent of Public Instruction Bill Honig directed a State Department of Education (SDE) task force, in consultation with his Task Force on Categorical Programs and other representatives from the field, to develop a coordinated compliance monitoring review process to simplify, streamline, and coordinate the legally required compliance monitoring of specially funded programs and simultaneously maintain the commitment to students with special needs.

During the spring of 1984, the coordinated compliance monitoring review process was piloted in approximately 50 local educational agencies (LEAs). In 1984 LEAs were placed on a three-year cycle for coordinated compliance reviews (CCRs), and during the next three years, reviews were conducted in each LEA.

A new three-year cycle began in 1987-88. For 1989-90 the goals of the coordinated compliance review process will continue to be:

1. *Decrease multiple compliance monitoring visits by the SDE, thus reducing the duplication of the SDE compliance monitoring in LEAs.*

2. *Increase local responsibility for administering compliance by encouraging participating LEAs and schools to perform a compliance self-review prior to SDE staff validation of that review.*

3. *Ensure that categorically funded students are provided with the district's core curriculum, utilizing the instructional delivery system as well as support from supplemental funds to help these students learn the district's core curriculum.*

4. *Provide technical and management assistance to LEAs in preventing and resolving noncompliance problems.*

These goals will be accomplished in 1989-90 by monitoring the following specially funded educational programs: school-based coordinated programs, pupil motivation and maintenance programs, child development, consolidated programs, migrant education, special education, vocational education, and adult education.

Each of these programs has legally required monitoring as a part of its program mandates. These programs, therefore, will be monitored in approximately one-third of the state's LEAs and their associated regional agencies by means of a single coordinated compliance review.

Note: As used throughout this manual, LEAs include school districts, county offices which administer any of the programs listed above, and consolidated programs cooperatives. Associated regional agencies include Special Education Local Plan Areas (SELPAs) and migrant education regions.

Summary of the Review Process

There are two phases in this process: LEA self-review and state validation review.

Self-review. The following steps, described on pages 6 through 13, are recommended to LEAs for conducting self-reviews:

1. Consult with appropriate LEA and regional administrators.
2. Notify appropriate school, LEA, and regional staff.
3. Submit requested information to the SDE.
4. Suggest other sites, if appropriate, for the validation review.
5. Attend SDE regional training.
6. Decide on the self-review approach.
7. Select the self-review team.
8. Develop a schedule for self-review.
9. Conduct the self-review.
10. Develop a summary of findings.
11. Report findings to LEA staff.
12. Submit self-review information to the SDE.

Validation Review. The SDE will implement the following steps, described on pages 27 through 32, in conducting a validation review:

1. Contact the LEA coordinated compliance review (CCR) coordinator.
2. Review documents and records.
3. Conduct the validation review.
4. Provide follow-up to the validation review.
5. Provide additional technical and program assistance, as necessary.

Agencies Which Receive Coordinated Compliance Reviews

CCRs are conducted at five different types of LEAs or regional agencies: school districts, consolidated programs cooperatives, county offices, Special Education Local Plan Areas (SELPAs), and migrant education regional offices. Although the steps of self-review and validation review, as outlined above and described in this manual, are generally the same for each type of review, unique characteristics of these reviews are described below.

School District CCR. This review is the most common type of CCR and the one on which this manual focuses. Depending on the size of the district and number of specially funded programs operated, most state validation teams will be composed of two to seven people and will spend from one and one-half days to four days in the district.

Consolidated Programs Cooperative CCR. Small school districts frequently are members of consolidated programs cooperatives in order to increase administrative efficiency for operating consolidated programs. In these cases the cooperative is the LEA, and the CCR is conducted at the cooperative level, generally incorporating individual reviews of one-third of the districts which make up the cooperative. Most cooperatives are administered by a county office, although some are administered by a member district. The superintendent of the county or district which administers the cooperative is responsible for selecting a CCR coordinator to organize the review.

County Office CCR. County offices frequently administer directly some of the CCR specially funded programs, including special education; ESEA, Chapter 2, ESEA, Chapter 1 Neglected or Delinquent; and child development. When this is true, the county office receives a CCR.

If the county-run programs are part of a cooperative which is also run by the county, the county is treated as a member district of the cooperative and receives a CCR as such. If the county-run programs are not included in a cooperative, the county office is scheduled for a CCR just as is a school district.

In some cases, sites which are part of a school district also operate a county-run program in a few classrooms. When this is true and both the school and the county-run program are reviewed at the same site, the compliance findings will be separated and included in either the district or county final report as appropriate.

SELPA CCR. When a SELPA includes more than one district, a SELPA review is scheduled. This review begins with a special education administrative review in the SELPA. These administrative reviews take up to one day and are usually scheduled immediately preceding the first school district's CCR. The results of these reviews are held until all the districts in the SELPA have completed their CCRs, and time is scheduled, usually immediately following the last CCR for the last district in the SELPA, to meet with the SELPA staff and member school districts to present the findings.

Migrant Education Region CCR. The migrant education region review is conducted at the migrant education regional office and is scheduled for one day after all the districts in the region have completed their CCRs.

Types of Coordinated Compliance Reviews

Two variations of the CCR process are available to school districts which meet specific criteria and agree to the conditions of the variation. These variations are described below.

Screening Review. The screening review is a one or two day visit by one or two SDE staff. The purpose is to validate the process used in the district's self-review and to determine whether the self-review is accurate enough to be accepted as the official compliance review. If not, a partial or full validation review is scheduled.

In order to qualify for a screening review, a school district must meet the following criteria:

- Received a full coordinated compliance validation review in 1986-87 or more recently
- Have a student enrollment of less than 20,000
- Had fewer than 6.7 percent of the compliance issues reviewed in 1986-87 identified as noncompliant. (The statewide mean for noncompliant issues was 6.7 percent in 1986-87, the year these districts were last reviewed.)

- All identified noncompliant issues were:
  - Resolved within 60 days, *or*
  - Handled through an acceptable compliance agreement received by the SDE within 60 days and in which all issues were resolved by the termination date of the compliance agreement, *or*
  - Acceptably addressed in a compliance response which was received by the SDE within 60 days.
- The 1988 standardized California Assessment Program (CAP) score for categorical program participants in the district was one standard deviation above the mean ($A \geq 290$), or the same score showed an increase over the 1987 standard CAP score for categorical program participants.

In addition, if at the time of a screening review the district is involved in a complaint or lawsuit related to categorical programs, the screening process could be modified.

Districts which meet these criteria, and choose to participate as a screening review, must agree to the following conditions

- Attend a training in the fall of 1989.
- Conduct a full CCR self-review by using the *1989-90 CCR Manual* and reviewing sites identified by the SDE.
- Report results of the self-review, using SDE-provided forms, including all noncompliant issues.
- Follow compliance resolution procedures identical to those used for CCR validation reviews.

Document Review. The document review process is designed to avoid having SDE staff spend a disproportionately long time in relatively small school districts. This review is conducted at the county office where SDE staff will meet with district staff for approximately one-half day. District staff will bring the self-review and supporting documentation to this meeting and be prepared to discuss all relevant compliance issues. If, during this meeting, it is clear that a thorough self-review was not conducted or did not appropriately identify compliance issues, an on-site CCR may be scheduled.

In order to qualify for a document review, a school district must meet the following criteria:

- Received a full coordinated compliance validation review in 1986-87 or more recently
- Receive less than $75,000 in consolidated application funds
- Did not have a substantial number of noncompliant issues during the most recent CCR
- Resolved any prior CCR issues in a timely manner

In addition, if at the time of the SDE review the district is involved in a complaint or lawsuit related to categorical programs, the document review process could be modified.

Districts which meet these criteria and choose to participate in a document review must agree to the following conditions:

- Attend a training in the fall of 1989.
- Conduct a full CCR self-review by using the *1989-90 CCR Manual* and reviewing sites identified by the SDE.
- Report results of the self-review, using SDE-provided forms, including all noncompliant issues.
- Follow compliance resolution procedures identical to those used for CCR validation reviews.

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II. LEA SELF-REVIEW

Purposes of the Self-Review

The major purposes of the self-review are that the LEA do the following:

1. *Take responsibility for reviewing specially funded educational programs for compliance.*
2. *Take corrective action when noncompliance is identified (optional prior to state validation review).*
3. *Identify areas in which SDE assistance is needed.*

Though the self-review process is voluntary, all LEAs and regional agencies which are scheduled by the SDE to be monitored for compliance are strongly encouraged to conduct a self-review prior to the scheduled state validation review.

All LEAs, including those which are not scheduled for a review, are encouraged to use this manual to conduct self-reviews at their convenience. As stated in the introduction, the reference to LEAs throughout this manual includes school districts, county offices of education, and consolidated programs cooperatives, and the reference to regional agencies includes SELPAs and migrant education regional offices.

The CCR experiences over the past several years indicate that LEAs receive the following benefits from conducting a self-review:

- They are able to correct identified noncompliance problems prior to the state validation review.
- The validation review process may not cover as many tests as would be necessary if there had been no self-review.
- LEA staff and community gain a better understanding of state and federal requirements.
- LEA staff and community feel better prepared and less anxious about the validation review.

Selecting LEAs for Review

All LEAs are on a three-year cycle for coordinated compliance reviews. The SDE has notified the LEAs to be reviewed in 1989-90.

Conducting a Self-Review

After an LEA receives notification that it has been selected for review, the superintendent should follow the steps outlined here:

☐ Step 1. Consult with appropriate LEA and regional administrators.

The LEA superintendent or designee consults with appropriate LEA and regional staff (e.g., migrant education region administrator and SELPA administrator) to:

- Decide whether to conduct a self-review.
- Identify an individual who will serve as the CCR coordinator.

Our experience with CCRs indicates that they are more likely to be successful when they are coordinated by the person in the LEA with administrative responsibility for all of the programs being reviewed, which is usually the Assistant Superintendent for Instruction. In addition, this person should possess:

- Experience in program or compliance review
- Knowledge of educational programs
- Organizational skills
- Good interpersonal skills

☐ Step 2. Notify appropriate school, LEA, and regional staff.

The LEA superintendent or his or her designee (i.e., the CCR coordinator) notifies appropriate school, LEA, county, and regional administrators of the state validation review. Administrators to be notified should include the persons responsible for the following:

- District or LEA curriculum
- School-based coordinated program
- Pupil motivation and maintenance program
- Child development programs
- Consolidated programs (including compensatory education programs, state programs for LEP students, school improvement programs, and so forth)
- Migrant education program (both regional and district administrators)
- Special education program (both SELPA and district administrators)
- Vocational education program
- Juvenile court schools
- Adult education programs
- School principals
- County superintendent or his or her designee, if appropriate

☐ Step 3: Submit requested information to the SDE.

The migrant education and SELPA administrators are responsible for completing school program information sheets (which were enclosed in the April 1989 letter to the LEAs being reviewed) for submission to the SDE. Using this information, in addition to other program information previously submitted, the SDE selects a sample of individual school or program sites to be reviewed, based on the following criteria:

- Maximum number of different funding sources among all sites selected
- Different grade levels among sites selected
- Different programs and services among sites selected
- Lack of growth in student performance, particularly performance of students served by categorical programs
- Persistent or unique compliance problems at a site
- No site-level compliance review during past five or six years

The SDE notifies the LEA of the sites selected, the date of the validation review, and the training dates.

☐ Step 4: Suggest other sites, if appropriate, for the validation review.

If appropriate, the LEA may use the following criteria to suggest sites not selected by the SDE:

- There are persistent or unique compliance problems or areas of concern.
- The site or program has never been reviewed or has not been reviewed for five or six years.
- Programs or services which are required to be available to students are not being provided.

After a suggestion is received, the SDE CCR regional manager will contact the LEA to discuss possible changes and make a final determination of the sites for the validation review.

☐ Step 5: Attend SDE regional training.

The LEA ensures that staff responsible for conducting the LEA CCR training attend an SDE regional training session. Staff attending the training should include:

- The LEA CCR coordinator
- Regional administrators (i.e., SELPA administrator, migrant education region administrator, and cooperative administrator)
- District or county administrators who have responsibility for the programs to be reviewed
- Program coordinators and directors (i.e., school-based programs, consolidated programs, special education, child development, adult education, migrant education, and vocational education)
- The curriculum administrator who is involved in implementing the integrated programs items

The SDE will also train a limited number of county office and district staff who are willing to provide assistance to LEAs during the self-review process and assistance to the SDE during the validation review process. LEAs interested in assistance with self-review should contact the CCR Northern Region manager at (916) 322-3776 or the CCR Southern Region manager at (916) 322-3483.

The training sessions will address the following areas:

- An overview of SDE compliance administration
- Self-review procedures, instruments, and instructions
- State validation review procedures, instruments, and instructions
- Resolution of noncompliance findings

☐ Step 6: Decide on the self-review approach.

There are many ways to conduct a self-review. The models which follow have been used successfully during past years and may be adapted to the needs and skills of a specific LEA.

Administrative approach. For this approach, the CCR coordinator and responsible LEA and regional administrators review their respective programs using the *CCR Manual* and prepare a report of findings.

Peer observation approach. For this approach, teams trained by the CCR coordinator and LEA and regional administrators review programs for compliance at the selected sites. These teams come from the same review site or from different review sites and usually consist of staff members of equal rank who have similar program responsibility.

Eclectic approach. A number of CCR coordinators and LEA and regional administrators developed combinations of the above approaches which were tailored to their own needs. Descriptions of some of these approaches will be disseminated by these coordinators during SDE regional training sessions. Newly appointed CCR coordinators may find it appropriate to contact coordinators in nearby LEAs who have conducted exemplary self-reviews.

Regardless of which self-review approach is chosen, the outcome should be the identification of noncompliance issues and the development of a plan for correcting noncompliance.

☐ Step 7: Select the self-review team.

The LEA identifies staff who will participate in the self-review. As all programs operating within the LEA should be reviewed during the self-review, it is important that persons knowledgeable about each of the programs be included on the team.

The team should, at a minimum, include:

- The LEA CCR coordinator
- Regional administrators (i.e., SELPA administrator, migrant education region administrator, and cooperative administrator) and district administrators of programs to be reviewed
- Principals of schools to be reviewed
- The curriculum administrator, program specialists, and mentor teachers

Depending on which self-review approach the LEA chooses, site administrators, teachers, and specialists representative of each program or service may also be included.

☐ Step 8: Develop a schedule for self-review.

The LEA develops a schedule for the self-review. (Examples of different schedules will be distributed during training.) The following guidelines are suggested for scheduling self-reviews:

Schedule an administrative review of the LEA office first, then selected sites.

During the administrative review, identify and review the LEA's core curriculum and instructional delivery system provided to all students and identify and review how categorical programs provide supplementary resources to assist identified students in learning this curriculum. Some of this information may be found in local plans, school plans, working forms, policies, handbooks, budgets, the school accountability report cards, if completed, etc.

Schedule the review of each site selected for validation review.

- Inform all educational personnel about the purpose of the review.
- Arrange interviews with the principal and other school leaders.
- Allocate time to observe all affected programs and services and interview appropriate staff.
- Allocate time to observe a sample of students receiving multiple programs and services, and interview all teachers and aides providing services to the sample students.
- Arrange a group interview of all teachers, specialist staff, and other site personnel involved with the affected programs. If appropriate, include instructional personnel from on-site county operated programs.
- Arrange a group interview of all aides involved with the programs implemented at the site.
- Allocate time to review pertinent records.
- Arrange an interview with parents and other community members; include those who are members of advisory committees or site councils, if appropriate.

Schedule a time to report self-review findings to the LEA staff.

☐ Step 9: Conduct the self-review

Use the *Coordinated Compliance Review Instruments and Instructions* (Section IV of this manual). Apply all primary and secondary items and tests for all programs being reviewed.

The **How to test for compliance** column for each program identifies the methods to be used in collecting information to determine compliance. In cases in which interviews are to be conducted, sample questions to ask during an interview are also in this column. The next two pages suggest a sequence of activities for conducting a self-review. Techniques that can be used to conduct interviews, observe classrooms, and review records appear on page 12.

Hold an entrance meeting.

PARTICIPANTS	ACTIVITY
- LEA CCR coordinator - Self-review team members - LEA superintendent - LEA administrator(s) responsible for curriculum - Migrant education region administrator, SELPA administrator, and LEA administrator for each program to be reviewed - Principal of each school/site to be reviewed - LEA business manager - County program administrator(s), as appropriate	Discuss purposes and goals of the review. Define reviewers' roles and responsibilities. Finalize specific times and locations for the review.

Conduct a curriculum and administrative review.

PARTICIPANTS	ACTIVITY
Those listed above, as appropriate	The self-review team identifies and examines the core curriculum and instructional delivery system provided to all students in the LEA. In addition, each program representative reviews his or her respective program area, including how that program provides supplementary resources to assist identified students to learn the core curriculum and how the program services are coordinated with other categorical program services. As a reference for many of the compliance items, each program representative reviews local plans, school plans, forms, policies, handbooks, budgets, student records, complaint procedures, personnel assignments, purchasing practices, inventories, staff development activities, etc.

Review each selected school/site.

PARTICIPANTS	ACTIVITY
Self-review team members, principal, teachers, other site personnel, parents, teachers' aides, students, etc.	*The self-review team:* Interviews the principal and other site leaders. Observes all programs and services and interviews appropriate staff. Observes a sample of students receiving multiple programs and services and interviews all teachers and aides providing services to the sample student(s). Conducts a group interview of all teachers, including specialist staff involved with the programs implemented at the site. When appropriate, instructional personnel from on-site county-operated programs should be included. Conducts a group interview of all aides involved with the programs implemented at the site. When appropriate, instructional aides from on-site county-operated programs should be included. Reviews pertinent records. Interviews parents, as appropriate. Compares observations and opinions with statements in the school accountability report cards, if completed.

Conduct a parent advisory group, parent, and community input meeting.

PARTICIPANTS	ACTIVITY
Self-review team members, parent advisory groups, parents, and community members	Provide parents and community members the opportunity to voice opinions and respond to questions regarding the programs. Meeting(s) may be scheduled during the regular school day or in the evening hours.

NOTE: All parents of participating students should be notified of the dates and times of public input meetings and meetings/interviews held in each LEA. To increase participation of parents and community members, schools should place notification of public input meetings and LEA parent meetings in newspapers and school newsletters. Schools may send notices to the home via the student or other means of home/school communication. Notices may also be placed in public places, and local TV/radio public information spots can be utilized. In addition, the advisory councils and committees may be called on for assistance in reaching parents and the community.

LEAs are encouraged to notify parents in a timely manner to ensure a high level of parent/community participation.

TECHNIQUES FOR COLLECTING INFORMATION

Suggestions for conducting interviews

When the word "interview" appears in the **How to test for compliance** column of an instrument, the corresponding statement in the **What to look for** column will suggest the questions and content of the interview. In addition, specific sample questions have been included when an interview is indicated. While these are not the only questions which may be asked, they should be useful in getting an interview started.

Interviews may be conducted individually or in small groups on a formal or informal basis. However, we encourage that teachers be interviewed together and aides be interviewed together regarding program integration and coordination issues.

The purpose of interviews should be to:

- Verify information obtained from other sources.
- Collect information not available through other sources.
- Resolve discrepancies among information sources.

Suggestions for observing classrooms

The reviewers should visit the classrooms and areas where educational and other program services are provided to students in order to gather basic information about the programs to be reviewed. When the word "observe" appears in the **How to test for compliance** column of the instrument, the corresponding statement in the **What to look for** column will describe what should be observed.

Recommendations for conducting observations are:

- Structure classroom visits to make the most of the time available.
- Identify the students participating in the special programs.
- Observe how these students are grouped and how individual assistance is provided.
- Observe teachers, teachers' aides, parents, and other school personnel (i.e., program specialists, tutors, support staff, etc.) as they work with students.
- Listen to the questions asked by students and the responses made by school staff.
- Observe what the students are doing.

Suggestions for reviewing records and documents

Certain information gathered through classroom observations and interviews should be verified and clarified through the review of records. When the word "review" or "compare" appears in the **How to test for compliance** column of the instrument, the corresponding statement in the **What to look for** column will identify what should be reviewed.

The following are examples of documents which the self-review team may need to review:

- School plans, the special education local plan, and the adult basic education (ABE) project proposal
- Individualized education programs (IEPs)
- Minutes of school site council, school advisory committee, and district and community advisory committee meetings
- Contracts or agreements with other agencies
- Needs assessments and evaluations of staff development and parent education activities
- Lesson plans, individualized instruction plans, curriculum, and course outlines
- Budgets
- Newsletters and other communications to parents and the community
- Accounting and bookkeeping records (including working papers)
- Procedure and policy handbooks
- Financial reports
- Program evaluation reports, including copies of previous self-review and state review findings
- Position descriptions
- Time accounting for employees paid from more than one source (multifunded employees)
- Summary of special education compliance or fair hearing findings
- The school report cards, if completed, for schools selected for review

☐ **Step 10:** Develop a summary of findings.

Upon completion of the self-review, the LEA completes a summary of noncompliance findings, which covers all programs, including the integrated programs items (see forms CTS-1a through CTS-1g, pages 16 through 25).

The summary should allow the LEA to analyze noncompliance areas, develop strategies to address the problems, and identify technical assistance needs.

If there are noncompliance issues for which the LEA would like technical assistance as part of the validation review, the LEA should complete the *LEA Self-Review Coordinated Compliance Review--Technical Assistance Request*, Form CTS-1g (see page 25).

☐ **Step 11:** Report findings to LEA staff.

The LEA holds a meeting to present the final report to all parties who participated in the self-review. The following procedures are recommended:

- Introduce the self-review team.
- Explain the purposes of the self-review.
- Describe the self-review process and activities.
- Report the findings specific to each program.
- Answer questions from the audience.
- Describe how the self-review findings are to be validated by the SDE.

☐ **Step 12:** Submit self-review information to the SDE.

The LEA submits the following (to the address printed on the forms) at least 30 days in advance of the validation review:

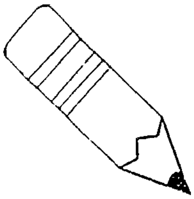
- *LEA Self-Review Coordinated Compliance Review, Summary of Findings* (forms CTS-1a through CTS-1f)
- *LEA Self-Review Coordinated Compliance Review--Technical Assistance Request* (Form CTS-1g), if technical assistance is being requested
- Documents related to the district's core curriculum
- Pertinent school plans
- Special education procedural handbooks
- Proposed schedule for the SDE compliance review team (to be developed after discussion with the validation review team leader)

SELF-REVIEW SUMMARY

COORDINATED COMPLIANCE REVIEW
SUMMARY OF FINDINGS

This report will be prepared by the LEA self-review team leader and submitted to the SDE, according to instructions on Form CTS-1a.

Forms CTS-1a through CTS-1g



California State Department of Education
Form CTS-1a (Rev. 7-89)

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LEA SELF-REVIEW COORDINATED COMPLIANCE REVIEW--SUMMARY OF FINDINGS

COVER PAGE

County-district code | | | | | |		County	
School district		Cooperative (if applicable)	
SELPA		Migrant education region (if applicable)	
CCR coordinator		Phone number ( )	Self-review date(s)

Forms CTS-1a through CTS-1g represent the report of findings of the local educational agency (LEA) self-review regarding the status of the district or agency.

1. **Purpose.** The purpose of the coordinated compliance review (CCR) is to examine all of the LEA's educational categorical programs for compliance with federal and state laws and regulations. The *Coordinated Compliance Monitoring Review Manual* and **Summary of Findings** (forms CTS-1a through CTS-1g) are designed for use by LEA self-review teams.

2. **Completion and distribution.** This **Summary of Findings** will be completed by the LEA self-review team for each of the programs operated by the LEA and listed on Form CTS-1b. The LEA CCR coordinator is responsible for distribution of copies to appropriate LEA and regional personnel.

3. **Other forms in the CTS-1 series.**

   - Form CTS-1b is used to record the names of the self-review team member(s) and which sites were visited.
   - Form CTS-1c is a summary of findings of the LEA self-review.
   - Form CTS-1d is used to record any findings of noncompliance.
   - Form CTS-1e is used to record findings regarding the integrated programs items.
   - Form CTS-1f is used to analyze compliance trends.
   - Form CTS-1g is a request for technical assistance from the State Department of Education (SDE).

4. **Submission of forms to the SDE.** This series of forms is to be completed by the LEA self-review team leader and submitted at least four weeks in advance of the SDE validation review. Two copies should be sent to :

California State Department of Education
Management Systems Development Unit
ATTN: CCR Processing
P.O. Box 944272
Sacramento, CA 94244-2720

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Form CTS-1b (Rev. 7-89)

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**REVIEWERS/
SITES**

LEA SELF-REVIEW
COORDINATED COMPLIANCE REVIEW--SUMMARY OF FINDINGS (cont.)

County-district code ___ ___ ___ ___ ___ ___ ___ LEA name ______________________

Programs reviewed	Name of reviewer(s)	Telephone number(s)
Integrated programs items		
School-based programs (AB 777 or SB 65)		
Child development		
Consolidated programs		
Migrant education		
Special education		
Vocational education		
Adult education		
Other reviewer:		

List sites included in the review and check program(s) reviewed at each site:

	Program(s) reviewed							
Site Name	Integrated programs items	School-based programs	Child development	Consolidated programs	Migrant education	Special education	Vocational education	Adult education

SUMMARY

LEA SELF-REVIEW
COORDINATED COMPLIANCE REVIEW--SUMMARY OF FINDINGS (cont.)

County-district code	County
School district	Cooperative (if applicable)
SELPA	Migrant education region (if applicable)
CCR coordinator	Phone number ( )
	Self-review date(s)

This form is a summary. Complete only one for each district. For a cooperative, complete a separate form for each member district.

Column 1 -- **Items:** The number of items/tests in each program's compliance instrument are displayed.

Column 2 -- **Compliant: or # NC** If a program is totally compliant, enter a "C". If a program has any noncompliance findings, enter how many and describe the specific findings on Form CTS-1d (form CTS-1e for IPI).

Code	Program	*(Col. 1)* Total Items	*(Col. 2)* Compliant or # NC
IPI	Integrated Programs	[3]	________
SBP	School-Based Programs	[26]	________
	Child Development		
GEN	General child dev	[30]	________
SPS	State preschool	[25]	________
MIG	Migrant child dev	[31]	________
APP	Alternative payment	[26]	________
R&R	Resource & referral	[10]	________
FCC	Family child care	[25]	________
LKY	School-age community	[30]	________
SH	Severely handicapped	[22]	________
SPD	School-age parenting	[12]	________

Code	Program	*(Col 1.)* Total Items	*(Col 2.)* Compliant or # NC
	Consolidated Programs		
CON	All consolidated	[11]	________
CEP	Compensatory educ	[54]	________
LEP	State LEP program	[17]	________
SIP	School improvement	[7]	________
M-U	Miller-Unruh	[3]	________
CH2	ESEA Chapter 2	[7]	________
N/D	Neglected/delinquent	[3]	________
M	Migrant Education	[28]	________
S	Special Education	[57]	________
V	Vocational Education	[29]	________
A	Adult Education	[21]	________

California State Department of Education
Form CTS-1d (Rev. 7-89)

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NC FINDINGS

LEA SELF-REVIEW
COORDINATED COMPLIANCE REVIEW--SUMMARY OF FINDINGS (cont.)

County-district code ___ ___ ___ ___ ___ ___ ___ LEA name ____________________

Use this form only if noncompliance findings are identified. If none, make sure that all programs reviewed have a "C" in column 2 on form CTS-1c.

For any noncompliance finding enter in . . .
Column 1: The program code
Column 2: The item number
Column 3: The test letter
Column 4: For **child development only,** the subprogram suffix (e.g., GEN for general child development)
Column 5: The school/site where the noncompliance was found
Column 6: A description of the specific noncompliance finding(s)

Noncompliance finding					
(1) Program	*(2)* Item	*(3)* Test letter	*(4)* Child dev. subprg.	*(5)* Site name	*(6)* Description of noncompliance

California State Department of Education
Form CTS-1d (Rev. 7-89)

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NC FINDINGS

LEA SELF-REVIEW
COORDINATED COMPLIANCE REVIEW--SUMMARY OF FINDINGS (cont.)

County-district code ___ | | | | | | | LEA name ___

Noncompliance finding					
(1) Pro- gram	(2) Item	(3) Test letter	(4) Child dev. subprg.	(5) Site name	(6) Description of noncompliance

California State Department of Education
Form CTS-1e (Rev. 7-89)

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IPI FINDINGS

LEA SELF-REVIEW
COORDINATED COMPLIANCE REVIEW--SUMMARY OF FINDINGS (cont.)

County-district code	__|__	__|__|__|__|__	LEA name

Indicate below the findings for the integrated programs items.

1. IPI.1 Multifunded students receive the district's core curriculum through the district-supported instructional delivery system.

☐ Compliant ☐ Noncompliant

Observations:

2. IPI.2 Multifunded students receive the appropriate supplemental program services for which they are eligible. These services support their learning of the district's core curriculum.

☐ Compliant ☐ Noncompliant

Observations:

3. IPI.3 Multifunded students receive a coherent and coordinated program which enables them to learn the district's core curriculum.

☐ Compliant ☐ Noncompliant

Observations:

INSTRUCTIONS FOR COMPLETING THE SUMMARY STATEMENTS FOR THE INTEGRATED PROGRAMS ITEMS

CTS-1E

The purpose of Form CTS-1e is to summarize the self-review team's analysis of each of the three integrated programs items (IPI) issues in terms of compliance. The statements represent the team's final observations regarding the development and implementation of the district's core curriculum, how the instructional delivery system serves all students, and how this delivery to multifunded students is enhanced through the appropriate coordination of supplemental funding sources.

After the review of the IPI has been completed and specific compliance issues have been determined, team members will be in a position to write their observations collectively. Background information necessary to write this statement will depend on an analysis of information reviewed during the compliance activities listed below:

1. Observations of the district's implementation of its core curriculum and instructional delivery system following its presentation by the LEA at the beginning of the review

2. Observations of what and how students are learning the district's core curriculum

3. Interview with adults serving the sampled multifunded students, as well as a review of the students' records

4. Group interviews with all specially funded aides

5. Group interviews with all teachers in elementary schools and specially funded teachers in secondary schools

Completing this section requires the review team to take the perspective of the multifunded student and describe how the supplementary services and materials relate to the district's core curriculum and provide a coordinated and coherent program for the student.

Once the three compliance determinations have been made and the correct boxes have been checked as compliant or noncompliant, the team's observations should be described under the appropriate item number (IPI.1, IPI.2, or IPI.3). The texts of these issues appear in the IPI compliance instrument, pages 53-57.

If the item is marked noncompliant the observation write-up should specifically describe how and why the item is noncompliant-- indicating specific schools, grade levels, or subjects, etc, and where the compliance problems were found.

If the item is marked compliant, the observation write-up should include a description of the program from the perspective of the multifunded students and, if appropriate, commendations.

California State Department of Education
Form CTS-1f (Rev. 7-89)

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SUMMATION

LEA SELF-REVIEW
COORDINATED COMPLIANCE REVIEW--SUMMARY STATEMENT

County-district code			LEA name

Use the space below to summarize compliance trends, reflecting general patterns of success or problems.

INSTRUCTIONS FOR COMPLETING THE SUMMARY STATEMENT

CTS-1F

Purpose. The summary statement allows the self-review team to make final observations which go beyond the individual compliance items for each program. It takes advantage of having different people review the LEA's program from different perspectives at the same time. All review team members should convene near the close of the review for the purpose of developing these statements. The statements should be written to highlight patterns of strengths or problems that cross funding sources.

Summary Statement:. Review all items marked for noncompliance from the point of view of each program as well as across programs.

Also, review the administrative practices or mechanisms related to compliance monitoring and program coordination and who is responsible, both within and across programs. Look for any patterns of problems which the LEA may be having with issues, such as curriculum delivery, student eligibility, program placement, the proper use of personnel or materials and equipment, parent and community involvement, staff development, etc. Also, notice if there are NO consistent patterns of noncompliance within or across programs; that is, the LEA may have only scattered problems or issues related to unique circumstances. In some instances, the trend may be one of noncompliance, and it should be so stated.

California State Department of Education
Form CTS-1g (Rev. 7-89)

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TECHNICAL
ASSISTANCE

LEA SELF-REVIEW
COORDINATED COMPLIANCE REVIEW--TECHNICAL ASSISTANCE REQUEST

County-district code | | | | | | |	School district
Program	Self-review date(s)
District contact person	Telephone number ( )

Request(s) for compliance-related technical assistance

III. STATE VALIDATION REVIEW

Purposes of the State Validation Review

The major purposes of the state validation review process are to:

1. *Validate LEA identification of items and tests of compliance and noncompliance for all programs included in the self-review.*
2. *Investigate the extent of noncompliance when the validation review indicates that the LEA has mistakenly identified items/tests as indicating compliance.*
3. *Work in collaboration with the LEA staff to prepare to respond to identified noncompliant items.*
4. *Provide compliance-related technical assistance to the LEA as time permits.*
5. *Acknowledge areas of LEA excellence or extra performance as they relate to compliance issues.*

Conducting a State Validation Review

In order to achieve the purposes mentioned above, the SDE review team will do the following:

☐ Step 1: Contact the LEA's CCR coordinator.

At least four weeks before the validation review, the SDE team leader will contact the CCR coordinator to establish the validation review schedule. Sample schedules will be distributed during regional training sessions.

☐ Step 2: Review documents and records.

Prior to the validation visit, each SDE program representative will read the documents related to his or her program responsibility, including documents related to the district's core curriculum, the school plans for the schools under review, the child development contract, the consolidated application, the migrant education regional plan and service agreement, the local plan for special education, the vocational education application, the adult education application, and so forth, to ensure understanding of the district/site programs. The team will also review previous district compliance findings and other compliance-related documents.

☐ Step 3: Conduct the validation review.

Entrance meeting

LEA Participants:	Activity
- LEA CCR coordinator - LEA superintendent - LEA administrator(s) responsible for curriculum - Migrant education region administrator, SELPA administrator, and district or county administrator for each program to be reviewed - Principal of each school/site to be reviewed - County program administrator(s), as appropriate - Other staff, as appropriate	Introduce team members and identify program review areas. Identify any team members who will begin mid-review. Define reviewers' roles and responsibilities. Discuss purposes and goals of the review. Obtain an overview of the LEA's core curriculum and how programs for specially funded students relate to it. The LEA should describe how the core curriculum was developed, who was involved, who is responsible for implementing it, and how it is implemented both at the school and in the district. In relation to this core curriculum, the LEA should describe how the categorical programs support the district's core curriculum and how they are coordinated with each other. Review major findings from the self-review process. Finalize specific times and locations for the review.

SELPA administrative review

LEA Participants	Activity
SELPA administrator and others listed above, as appropriate	This review is conducted prior to a district's administrative and curriculum review when it is the first district scheduled in a SELPA. The special education SDE team member will use the appropriate CCR instrument to apply items and tests that require interviews and review of documents at the SELPA.

District and county administrative review

LEA Participants	Activity
Those listed above, as appropriate	Each SDE team member will use the appropriate CCR instrument to apply items and tests that require interviews and review of documents at the LEA office. As necessary, team members will meet with the LEA business manager to review categorical program funding formulas, allocations, expenditures, personnel time accounting, and inventory controls.

School/site review

LEA PARTICIPANTS	ACTIVITY
Principal, teachers, other site personnel, parents, teachers' aides, students, etc.	Each SDE team member will review his or her respective program area, conduct interviews and observations, and review records. Specifically, the team member: ▪ Interviews the principal and other key planners ▪ Observes all affected programs and services at each school site and interviews appropriate staff ▪ Observes a sample of students receiving multiple programs and services and interviews all teachers and aides providing services to the sample student(s) ▪ Conducts a group interview of teachers, including specialist staff involved with the programs implemented at the site ▪ Conducts a group interview of aides involved with the programs implemented at the site ▪ Reviews pertinent records ▪ Interviews parents and other community members, as appropriate ▪ Compares observations and opinions with statements in the school accountability report cards, if completed.

Parent advisory groups, parents, and community input meeting

LEA PARTICIPANTS	ACTIVITY
Parent advisory groups, parents, and community members	Provide community members opportunities to voice opinions regarding their participation in the planning, implementation, and evaluation of program(s). Meetings may be scheduled during the regular school day or in the evening hours. If necessary, the LEA is encouraged to provide translators for the meeting(s). All parents of participating students should be notified of the dates and times of public input meetings and meetings/interviews held in each LEA.

NOTE: All parents of participating students should be notified of the dates and times of public input meetings and meetings/interviews held in each LEA. To increase participation of parents and community members, schools should place notification of public input meetings and LEA parent meetings in newspapers and school newsletters. Schools may send notices to the home via the student or other means of home/school communication. Notices may also be placed in public places, and local TV/radio public information spots can be utilized. In addition, the advisory councils and committees may be called on for assistance in reaching parents and the community.

LEAs are encouraged to notify parents in a timely manner to ensure a high level of parent/community participation.

Meeting to prepare for the pre-exit meeting, including discussion of the Integrated Programs Items

PARTICIPANTS	ACTIVITY
Validation review team members	Review the program compliance findings to date and discuss the integrated programs items from the *CCR Manual* in the context of student observations and staff interviews already conducted. Make additional assignments to team members to complete review of incomplete compliance findings and/or the integrated programs items. As a result of this meeting, the team leader makes arrangements to have the notification of findings (forms CTS-2a through CTS-2f) prepared.

Pre-exit meeting

LEA PARTICIPANTS	ACTIVITY
Attendance at the pre-exit meeting should be at the discretion of the LEA and may include: - LEA CCR coordinator - LEA superintendent - LEA administrator(s) responsible for curriculum - Migrant education region administrator, SELPA administrator, and district administrator for each program to be reviewed - Principal of each school/site visited - County program administrator(s), as appropriate - Other staff, as appropriate	SDE team members will share their program compliance findings that are to be presented during the exit meeting. This activity addresses the LEA's self-review process and any discrepancies from the self-review which are discovered during the validation review. LEA staff will have an opportunity to ask questions about the SDE's findings and, if appropriate, present additional documentation to demonstrate compliance for a questioned item. SDE team members will work collaboratively with LEA staff to determine what procedure to use for resolving each noncompliance issue; i.e., the compliance response or the compliance agreement. Team members will suggest what type of documentation would be adequate to resolve noncompliance issues.

LEA exit meeting

LEA PARTICIPANTS	ACTIVITY
All persons involved in the SDE compliance validation review process, including parents, advisory groups, and community members	In presenting the final report to the assembled community, the SDE team members will: Emphasize that the validation review represents the SDE's effort to streamline its review procedures by monitoring all categorical programs during one coordinated review. Emphasize that the self-review and validation review are reviews of the LEA's compliance with laws and regulations. Explain how this process relates to program quality review and the efforts to reform the core curriculum. Emphasize that the CCR looks at how the students participating in specially funded programs receive supplementary resources to assist them in learning the district's core curriculum. Indicate how well the LEA's self-review process worked. Acknowledge areas of excellence or extra performance as they relate to compliance issues. Present the findings of the compliance review and, if there are any noncompliance items, indicate that the LEA should take corrective action by submitting within 45 calendar days of the review a *Proposed Resolution of Noncompliance Findings* (Form CTS-4). If an in-depth follow-up review is needed to determine the full extent of noncompliance in any area, that should be noted in the report. Ensure that there is an opportunity for interested parties to obtain clarifications or register concerns about the review and report. Leave copies of the notification of findings (forms CTS-2a through CTS-2f) with the CCR coordinator; the SELPA administrator; and the migrant region, cooperative, and county administrators, as appropriate. Thank those involved for their hospitality.

SELPA Exit Meeting

LEA PARTICIPANTS	ACTIVITY
SELPA administrator and others who participated in the SELPA administrative review and representatives from the member districts of the SELPA	This meeting is scheduled (for any SELPA with more than one district) by the special education validation team member and the SELPA administrator. The special education team member will: Acknowledge areas of excellence or extra performance. Present the findings of the compliance review and, if there is any noncompliance item, indicate that the agency should take corrective action by submitting within 45 calendar days of the review a *Proposed Resolution of Noncompliance Findings* (Form CTS-4). If an in-depth follow-up review is needed to determine the full extent of noncompliance in any area, that should be noted in the report. Work collaboratively with SELPA staff to determine what procedure to use for resolving each noncompliance issue; i.e., the compliance response or the compliance agreement. Suggest what type of documentation would be adequate to resolve noncompliance issues. Leave a copy of the notification of findings (forms CTS-3a and CTS-3b) with the SELPA administrator. Thank those involved for their hospitality.

Migrant education region administrative review and exit review

LEA PARTICIPANTS	ACTIVITY
Migrant education region administrator and others, as appropriate	This review is scheduled on a date following completion of all validation reviews in the migrant region. The migrant education SDE reviewer will use the migrant education CCR instrument to apply items and tests that require interviews and review of documents at the regional office. The reviewer will prepare a report and conduct an exit meeting to: Acknowledge areas of excellence or extra performance. Present the findings of the compliance review and, if there is any noncompliance item, indicate that the agency should take corrective action by submitting within 45 calendar days of the review a *Proposed Resolution of Noncompliance Findings* (Form CTS-4). If an in-depth follow-up review is needed to determine the full extent of noncompliance in any area, that should be noted in the report. Work collaboratively with migrant regional staff to determine what procedure to use for resolving noncompliance; i.e., the compliance response or the compliance agreement. Suggest what type of documentation would be adequate to resolve noncompliance issues. Leave a copy of the notification of noncompliance findings (forms CTS-3a and CTS-3b) with the migrant education region administrator. Thank those involved for their hospitality.

☐ Step 4: Provide follow-up to the validation review.

- For any item/test found to be noncompliant, the LEA is responsible for taking corrective action in the entire LEA.
- Upon request, and as follow-up to the self-review process, SDE staff will assist the LEA in resolving noncompliance findings by providing a variety of options for the LEA to accomplish its programmatic purposes.
- SDE staff will enter the validation review results into the computerized compliance tracking system by returning the completed noncompliance findings to the Management Systems Development Unit staff.
- An LEA or agency with compliance exceptions has 45 calendar days in which to submit a *Proposed Resolution of Noncompliance Findings* (using Form CTS-4) in which the agency demonstrates to the SDE how it has (or will) satisfactorily solved the problem.
- SDE staff and management will work with each LEA to resolve all noncompliance issues. If, after 225 calendar days, noncompliance issues have not been resolved, the SDE will request that the LEA superintendent notify the local board of education of the noncompliance and efforts of resolution. If, after 365 calendar days, the noncompliance issues have not been resolved, the SDE will communicate directly with the local board about noncompliance resolution.

☐ Step 5: Provide additional technical and program assistance, as necessary.

At the request of the LEA, program and technical assistance requests will be referred to the appropriate SDE units.

Complaints regarding the CCR process

If the LEA has evidence that a finding of noncompliance is in conflict with its curriculum and instruction improvement process, or if the LEA believes the law has been misinterpreted, the specifics should be incorporated in a letter to:

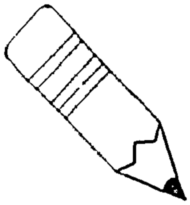
Wade Brynelson, Assistant Superintendent
Compliance and Consolidated Programs Management Division
State Department of Education
P.O. Box 944272
Sacramento CA 94244-2720

STATE VALIDATION REVIEW SUMMARY

Coordinated Compliance Review
Notification of Findings

This report will be prepared by the SDE compliance review team leader, signed by each SDE program representative and the official LEA CCR coordinator, and presented to the LEA representative at the completion of the compliance review.

Forms CTS-2a through CTS-2f



California State Department of Education
Form CTS-2a (Rev. 7-89)

STATE VALIDATION REVIEW
COORDINATED COMPLIANCE REVIEW--NOTIFICATION OF FINDINGS

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County-district code | | | | | | |	County
School district	Cooperative (if applicable)
SELPA	Migrant education region (if applicable)
CCR coordinator	Phone number ( ) | Exit date

Forms CTS-2a through CTS-2f represent the official report of findings of the State Department of Education's review regarding the compliance status of the district or agency.

Purpose. The purpose of the coordinated compliance review (CCR) is to examine all of the local educational agency's categorical programs for compliance with federal and state laws and regulations. The *Coordinated Compliance Monitoring Review Manual* and "Notification of Findings" (forms CTS-2a through CTS-2f) are for use by Department compliance review validation teams.

Signatures and Distribution. This "Notification of Findings" will be completed by the SDE CCR team leader for each program indicated on Form CTS-2b. Copies will be distributed as follows: original and one copy to SDE, one copy to the district LEA representative, and one to each applicable regional LEA administrator (i.e., cooperative administrator, migrant region, SELPA, county). The LEA CCR coordinator is responsible for distribution of copies to appropriate LEA and regional personnel.

Required Response. If noncompliance findings are identified by the compliance review team, the LEA is required to resolve each finding within 45 calendar days of the exit date of the review. In those cases when certain issues cannot be resolved within the required 45 calendar day period, the LEA must submit a proposed compliance agreement. In either case, the LEA must respond by completing and submitting a "Proposed Resolution of Noncompliance Findings". This is form CTS-4 in section III.E of the *Coordinated Compliance Monitoring Review Manual.*

> The date by which your agency must submit its "Proposed Resolution of Noncompliance Findings" is:
>
> ____________________

Failure to Resolve Noncompliance Findings (Sanctions). When an LEA fails to resolve compliance exceptions within the 45 calendar day limit and there is no compliance agreement, the LEA becomes a potential candidate for sanctions. If the LEA, working with Department management, is unsuccessful in resolving compliance exceptions, one or more of the following sanctions may be invoked:

- Withholding of categorical aid funds
- Withholding of a.d.a. funds
- Institution of civil action
- Termination of a contract

If you have questions regarding the resolution of compliance exceptions, please contact the appropriate program director(s). Assistance from the Department is available to your LEA.

For SDE use only	Compliance review Notification of Findings received by LEA CCR coordinator:	Compliance review team leader:
Log ________	(Typed name)	(Typed name)
CTS ________	(Signature)	(Signature)
Route ________	(Date)	(Date)

California State Department of Education
Form CTS-2b (Rev. 7-89)

STATE VALIDATION REVIEW
COORDINATED COMPLIANCE REVIEW--NOTIFICATION OF FINDINGS (cont.)

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County-district code	| | | | | |	LEA name

Programs reviewed	Typed name of SDE reviewer, by program	Signature of SDE reviewer, by program
Integrated programs items	Team leader	
School-based programs (AB 777 or SB 65) (contact team leader)		
Child development (916) 322-6233		
Consolidated programs (916) 322-5205		
Migrant education (916) 445-9850		
Special education (916) 445-3561 (north) or (213) 620-2151 (south)		
Vocational education (916) 445-8758		
Adult education (916) 322-2175		
Other reviewer: ( )		

List sites included in the review and check program(s) reviewed at each site:

		Program(s) reviewed							
School code (if applicable)	Site Name	Integrated programs items	School-based programs	Child development	Consolidated programs	Migrant education	Special education	Vocational education	Adult education

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STATE VALIDATION REVIEW
COORDINATED COMPLIANCE REVIEW--NOTIFICATION OF FINDINGS (cont.)

Page___of___

County-district code	| | | | | |	County
School district		Cooperative (if applicable)
SELPA		Migrant education region (if applicable)
CCR coordinator		Phone number ( )

This form is a summary. Complete only one for each district. For a cooperative, complete a separate form for each member district.

Column 1 -- **Items:** The number of items/tests in each program's compliance instrument are displayed.

Column 2 -- **Compliant: or # NC** If a program is totally **compliant,** enter a "C". If a program has **any noncompliance findings**, enter how many and describe the specific findings on Form CTS-2d (form CTS-2e for IPI).

Code	Program	*(Col. 1)* Total Items	*(Col. 2)* Compliant or # NC
IPI	Integrated Programs	[3]	________
SBP	School-Based Programs	[26]	________
	Child Development		
GEN	General child dev	[30]	________
SPS	State preschool	[25]	________
MIG	Migrant child dev	[31]	________
APP	Alternative payment	[26]	________
R&R	Resource & referral	[10]	________
FCC	Family child care	[25]	________
LKY	School-age community	[30]	________
SH	Severely handicapped	[22]	________
SPD	School-age parenting	[12]	________

Code	Program	*(Col 1.)* Total Items	*(Col 2.)* Compliant or # NC
	Consolidated Programs		
CON	All consolidated	[11]	________
CEP	Compensatory educ	[54]	________
LEP	State LEP program	[17]	________
SIP	School improvement	[7]	________
M-U	Miller-Unruh	[3]	________
CH2	ESEA, Chapter 2	[7]	________
N/D	Neglected/delinquent	[3]	________
M	Migrant Education	[28]	________
S	Special Education	[57]	________
V	Vocational Education	[29]	________
A	Adult Education	[21]	________

California State Department of Education
Form CTS-2d (Rev. 7-89)

STATE VALIDATION REVIEW
COORDINATED COMPLIANCE REVIEW--NOTIFICATION OF FINDINGS (cont.)

Page___ of___

County-district code | | | | | | | | LEA name ____________

Use this form if noncompliance findings are identified and to record commendations.

For any noncompliance finding enter:

Column 1: The program code
Column 2: The item number
Column 3: The test letter
Column 4: For **child development only,** the subprogram suffix (e.g., GEN for general child development)
Column 5: The school/site where the noncompliance was found
Column 6: A CR (compliance response) if the noncompliant item will be resolved within 45 calendar days, or a CA (compliance agreement) if the LEA is proposing a compliance agreement to extend the 45 calendar day period allowed for resolution. In either case, the LEA must submit a "Proposed Resolution of Noncompliance Findings" (Form CTS-4) within 45 calendar days of the CCR exit date.
Column 7: A description of the specific noncompliance finding(s) or a commendation

Noncompliance finding						
(1) Pro-gram	(2) Item	(3) Test letter	(4) Child dev. subprg.	(5) Site name	(6) CR or CA	(7) Program name, commendations, and specific noncompliance findings

California State Department of Education
Form CTS-2d (Rev. 7-89)

STATE VALIDATION REVIEW
COORDINATED COMPLIANCE REVIEW--NOTIFICATION OF FINDINGS (cont.)

Page____of____

County-district code								LEA name

Noncompliance finding						
(1) Program	(2) Item	(3) Test letter	(4) Child dev. subprg.	(5) Site name	(6) CR or CA	(7) Program name, commendations, and specific noncompliance findings

California State Department of Education
Form CTS-2e (Rev. 7-89)

STATE VALIDATION REVIEW
COORDINATED COMPLIANCE REVIEW--NOTIFICATION OF FINDINGS (cont.)

Page___of___

County-district code	| | | | | | |	LEA name

Indicate below the findings for the integrated programs items.

1. IPI.1 Multifunded students receive the district's core curriculum through the district-supported instructional delivery system.

☐ Compliant ☐ Noncompliant

Observations:

2. IPI.2 Multifunded students receive the appropriate supplemental program services for which they are eligible. These services support their learning of the district's core curriculum.

☐ Compliant ☐ Noncompliant

Observations:

3. IPI.3 Multifunded students receive a coherent and coordinated program which enables them to learn the district's core curriculum.

☐ Compliant ☐ Noncompliant

Observations:

INSTRUCTIONS FOR COMPLETING THE FINDINGS FOR THE INTEGRATED PROGRAMS ITEMS

CTS-2E

The purpose of Form CTS-2e is to summarize the validation review team's analysis of each of the three integrated programs items (IPI) issues in terms of compliance. The statements represent the team's final observations regarding the development and implementation of the district's core curriculum, how the instructional delivery system serves all students, and how this delivery to multifunded students is enhanced through the appropriate coordination of supplemental funding sources.

After the review of the IPI has been completed and specific compliance issues have been determined, team members will be in a position to write their observations collectively. Background information necessary to write this statement will depend on an analysis of information reviewed during the compliance activities listed below:

1. Observations of the district's implementation of its core curriculum and instructional delivery system following its presentation by the LEA at the beginning of the review
2. Observations of what and how students are learning the district's core curriculum
3. Interview with adults serving the sampled multifunded students, as well as a review of the students' records
4. Group interviews with all specially funded aides
5. Group interviews with all teachers in elementary schools and specially funded teachers in secondary schools

Completing this section requires the review team to take the perspective of the multifunded student and describe how the supplementary services and materials relate to the district's core curriculum and provide a coordinated and coherent program for the student.

Once the three compliance determinations have been made and the correct boxes have been checked as compliant or noncompliant, the team's observations should be described under the appropriate item number (IPI.1, IPI.2, or IPI.3). The texts of these issues appear in the IPI compliance instrument, pages 53-57.

If the item is marked noncompliant, the observation write-up should specifically describe how and why the item is noncompliant--indicating specific schools, grade levels, or subjects, etc., and where the compliance problems were found.

If the item is marked compliant, the observation write-up should include a description of the program from the perspective of the multifunded students and, if appropriate, commendations.

California State Department of Education
Form CTS-2f (Rev. 7-89)

STATE VALIDATION REVIEW
COORDINATED COMPLIANCE REVIEW--SUMMARY STATEMENTS

Page____of____

County-district code								LEA name

Use the space below to write summary statements for the identified topics. Instructions for completing this form are on reverse.

1 Compliance trends: Summarize compliance trends, reflecting general patterns of success or problems.

2 General commendations: List general or cross-program commendations related to the coordinated compliance review process. (Commendations related to specific programs should be identified on Form CTS-2d.)

INSTRUCTIONS FOR COMPLETING THE SUMMARY STATEMENTS

CTS-2F

Purpose. The summary statements allow the validation review team to make final observations which go beyond the individual compliance items for each program. It takes advantage of having different people review the LEA's program from different perspectives at the same time. All review team members should convene near the close of the review for the purpose of developing these statements. The statements should be written to highlight patterns of strengths or problems that cross funding sources.

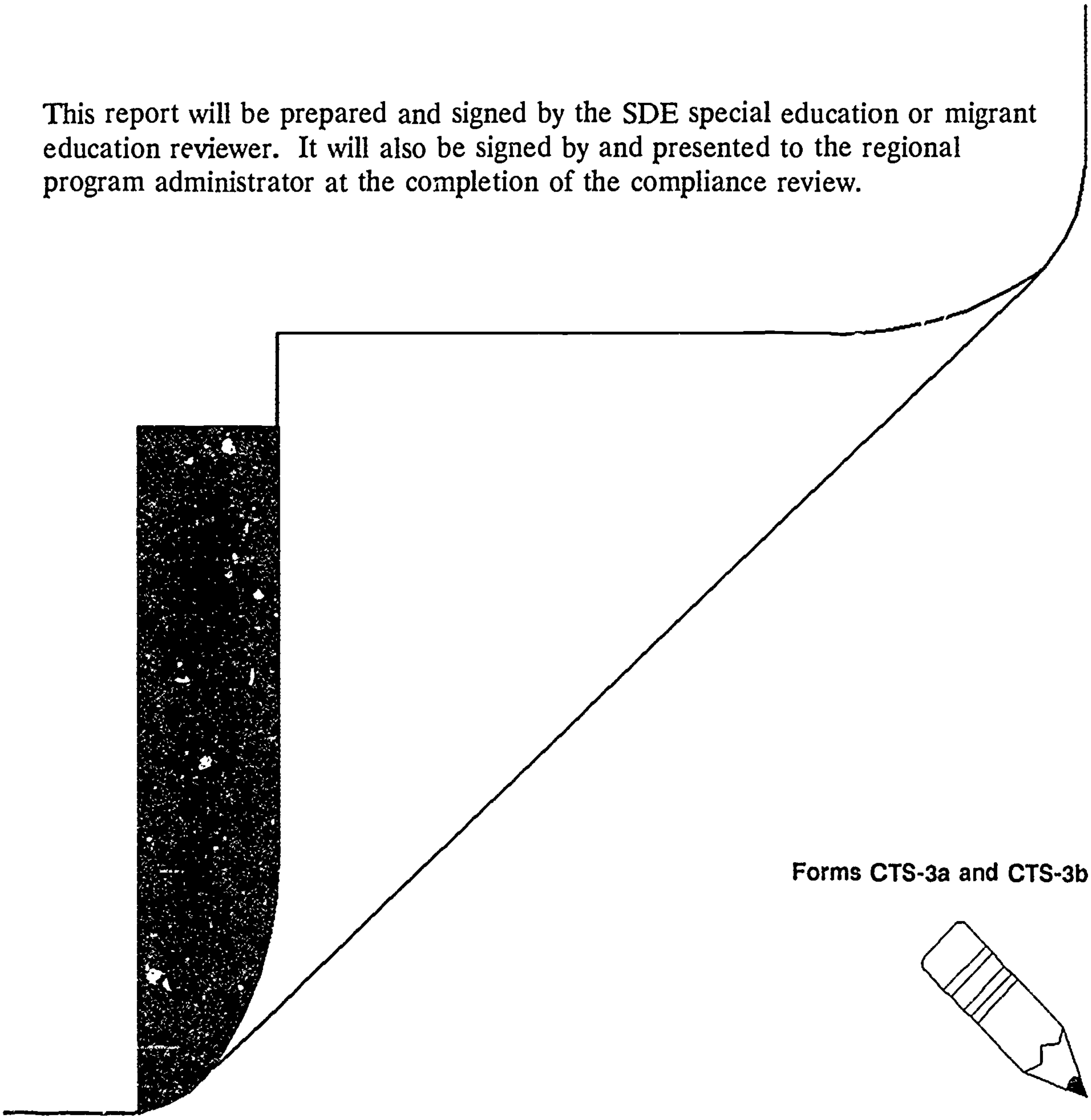
Summary Statement #1: *Compliance trends.* Review all items marked for noncompliance from the point of view of each program as well as across programs. Also, review the administrative practices or mechanisms related to compliance monitoring and program coordination and who is responsible, both within and across programs. Look for any patterns of problems which the LEA may be having with issues such as curriculum delivery, student eligibility, program placement, the proper use of personnel or materials and equipment, parent and community involvement, staff development, etc. Also, notice if there are NO consistent patterns of noncompliance within or across programs; that is, the LEA may have only scattered problems or issues related to unique circumstances. In some instances, the trend may be one of noncompliance and it should be so stated.

Summary Statement #2: *General commendations.* General commendations are included as part of the validation review. They are statements of administrative and instructional practices or mechanisms with regard to compliance monitoring or interprogram communication and coordination which appear to be very effective or exemplary. These statements should be included under Summary Statement #2 on Form CTS-2f. Commendations related to specific programs (e.g., vocational education, child development) are to be labeled as such and included on Form CTS-2d.

SELPA/MIGRANT EDUCATION REGION SUMMARY

Coordinated Compliance Review
Notification Of Findings

This report will be prepared and signed by the SDE special education or migrant education reviewer. It will also be signed by and presented to the regional program administrator at the completion of the compliance review.



Forms CTS-3a and CTS-3b

California State Department of Education
Form CTS-3a (Rev. 7-89)

SELPA/MIGRANT EDUCATION REVIEW
COORDINATED COMPLIANCE REVIEW--NOTIFICATION OF FINDINGS

Page____of____

SELPA code		SELPA	Migrant region

Program reviewed	Typed name of SDE reviewer	Signature of SDE reviewer
Migrant education (916) 445-9850		
Special education (916) 445-3561 (north) or (213) 620-2151 (south)		

Forms CTS-3a and CTS-3b represent the official report of findings of the State Department of Education's review regarding the compliance status of the special education local plan area (SELPA) or migrant education region.

Purpose. The purpose of the coordinated compliance review (CCR) is to examine all of the local educational agency's categorical programs for compliance with federal and state laws and regulations. The *Coordinated Compliance Monitoring Review Manual* and "Notification of Findings" (forms CTS-3a and CTS-3b) are for use by Department compliance review staff.

Process and Distribution This "Notification of Findings" will be completed by the SDE CCR reviewer. The reviewer will visit the SELPA office prior to the review of the first district in the SELPA. The reviewer will visit the migrant regional office after the last district in the region has been reviewed. The regional level administrative review will be conducted by applying the items/tests specified in the CCR manual. As soon as the reviews of all the districts in the SELPA or migrant region have been completed, this report will be completed. Copies will be distributed as follows: original and one copy to SDE and one copy to the SELPA or migrant region administrator.

Required Response. If noncompliance findings are identified by the SDE reviewer, the agency is required to resolve each finding within 45 calendar days of the exit date of the review. In those cases when certain issues cannot be resolved within the required 45 calendar day period, the agency must submit a proposed compliance agreement. In either case, the agency must respond by submitting a "Proposed Resolution of Noncompliance Findings". This is form CTS-4 in section III.E of the *Coordinated Compliance Monitoring Review Manual.*

The date by which your agency must submit its "Proposed Resolution of Noncompliance Findings" is:

____

Failure to Resolve Noncompliance Findings (Sanctions). When an agency fails to resolve compliance exceptions within the 45 calendar day limit and there is no compliance agreement, the agency becomes a potential candidate for sanctions. If Department management is unsuccessful in resolving compliance exceptions, one or more of the following sanctions may be invoked:

- Withholding of categorical aid funds
- Withholding of a.d.a. funds
- Institution of civil action
- Termination of a contract

If you have questions regarding the resolution of compliance exceptions, please contact the appropriate program director(s). Assistance from the Department is available to your agency.

For SDE use only	*Compliance review Notification of Findings received by administrator:*	*SDE CCR reviewer:*
Log ________	____________ (Typed name)	____________ (Typed name)
CTS ________	____________ (Signature)	____________ (Signature)
Route ________	____________ (Date)	____________ (Date)

ERIC Full Text Provided by ERIC

California State Department of Education
Form CTS-3b (Rev. 7-89)

SELPA/MIGRANT EDUCATION REVIEW
COORDINATED COMPLIANCE REVIEW--NOTIFICATION OF FINDINGS

Page___of___

SELPA code									SELPA/Migrant region name

Check if all items/tests are in **compliance**. ________

For **noncompliance**, enter the number of:

Noncompliant items/tests _______ Total items/tests reviewed ______

For any noncompliance finding enter:

Column 1:	The item/test number
Column 2:	The name of the district(s) where noncompliance was identified
Column 3:	A CR (compliance response) if the noncompliant item will be resolved within 45 calendar days, or a CA (compliance agreement) if the agency is proposing a compliance agreement to extend the 45 calendar day period allowed for resolution. In either case, the agency must submit a "Proposed Resolution of Noncompliance Findings" (form CTS-4) within 45 calendar days of the CCR exit date.
Column 4:	Any commendations and a description of the specific noncompliance finding(s)

(1) Noncompliance item/test	(2) District Name	(3) Agency will submit CR or CA	(4) Commendations and specific noncompliance finding(s)

Resolution of Noncompliance, Form CTS-4

All compliance reviews conducted by the California State Department of Education are conducted in accordance with the legal responsibility set forth in federal and state laws and regulations. When an LEA or other agency receives official SDE notification of noncompliance findings from a compliance review, the LEA or agency is legally responsible for the timely resolution of those issues.

Within 45 calendar days of the official notification date (exit date of the review indicated on the *Coordinated Compliance Review--Notification of Findings* (Form CTS-2a or CTS-3a), the LEA must submit a *Proposed Resolution of Noncompliance Findings* (Form CTS-4).

For noncompliance findings which *are resolved by the LEA/agency within 45 calendar days* of the official notification date of the review, the LEA must:

1. Complete Form CTS-4--Describe the specific corrective action(s) taken to resolve each identified noncompliant issue. On the right side of the form, under the header Past (CR), enter the date on which the resolution activity was completed.
2. Sign the form and submit the original and one copy to the SDE at the address cited at the end of this section.

If noncompliance findings *cannot be resolved by an LEA/agency within the 45-calendar-day response period*, federal and state laws and regulations permit an LEA/agency and the SDE to enter into a compliance agreement. An approved compliance agreement permits the SDE to suspend, for the duration of the compliance agreement, any enforcement actions which it may be obligated to perform in response to noncompliance findings. Compliance agreements may:

- Only be requested for an item/test for which it is legal to extend the 45-calendar-day resolution period
- Not be extended or rewritten once approved by the SDE
- Not be longer than 180 days from the compliance agreement approval date

When the LEA wishes to submit a proposal for a compliance agreement:

1. Complete Form CTS-4--include information that identifies the compliance item, the proposed corrective actions, and the date by which these actions will be completed.
2. Sign the form and submit the original and one copy to the SDE at the address listed at the end of this section.

NOTE: Before the expiration date of a compliance agreement, the LEA must submit a new Proposed Resolution of Noncompliance Findings (Form CTS-4) indicating that the agreed-upon actions have been completed. The compliance status of the LEA will revert to noncompliant if the LEA/agency does not make this submission.

Additional required materials

Any additional materials submitted should be clearly labeled on the top of each attachment to indicate the applicable program. Include additional supportive information, such as documents and detailed narratives, as attachments to the compliance response. If necessary, submit amendments to the program applications and/or school plans, local plans, procedural handbooks, etc. If the school program is affected, submit amended assurance pages from all appropriate advisory committees and councils indicating that they have been involved in the development of the revised program, if their participation is required by law or regulation.

Mailing address:

California State Department of Education
Management Systems Development Unit
ATTN: CCR Processing
P.O. Box 944272
Sacramento, CA 94244-2720

California State Department of Education
Form CTS-4 (Rev. 6-88)

PROPOSED RESOLUTION OF NONCOMPLIANCE FINDINGS
COORDINATED COMPLIANCE REVIEW

Page___of___

County-district code | | | | | | | LEA/Agency name

NOTE. Complete a separate Form CTS-4 for each program listed in boldface type on the reverse of this form (i.e., one for all consolidated education programs, one for all child development). Further instructions on reverse.

Enter the name of the program: __________________________

REQUIRED SIGNATURE - *The LEA certifies that all corrective actions specified below have been or will be (according to the dates in Col. 4) implemented at all sites in the LEA and assures that the corrected procedures will be used in ensuing years:*

Signature of authorized agent __________ Date __________ Telephone __________

(Col. 1) Item/test # with program prefix	*(Col. 2)* Title of individual responsible	*(Col. 3)* Specific corrective action which resolved or will resolve noncompliant items/test	*(Col. 4)* Date of compliance	
			Past (CR)	Future (

INSTRUCTIONS FOR COMPLETING THE PROPOSED RESOLUTION OF NONCOMPLIANCE FINDINGS

FORM CTS-4

Enter the name of the program on the line provided (**one program per form**). Program names are listed in boldface type below.

The CTS-4 must be signed and dated by the authorized agent. Include a contact phone number.

In column (1), indicate the program prefix, item/test number, and test letter from the appropriate program instrument, if applicable (e.g., V.1a, A.1b).

> Note: For child development, also enter the subprogram suffix (e.g., C.1a.GEN for general child development and C.1a.MIG for migrant child development).

In column (4), enter the date the LEA resolved noncompliance findings (past), or the date the LEA expects to resolve noncompliance findings (future). A past date indicates that this is a proposed compliance resolution (CR), and a future date indicates a proposed compliance agreement (CA).

Attach and label any necessary documentation. Submit original and one copy to:

California State Department of Education
Management Systems Development Unit
ATTN: CCR Processing
P.O. Box 944272
Sacramento, CA 94244-2720

PROGRAM NAMES

IPI	**Integrated Programs Items**
SBP	**School-Based Programs**

Child Development

GEN	General child development
SPS	State preschool
MIG	Migrant child development
APP	Alternative payment
R&R	Resource and referral
FCC	Family child care
LKY	School-age community
SH	Severely handicapped
SPD	School-age parenting and infant development

Consolidated Programs

CON	All consolidated programs
CEP	Compensatory education
LEP	State LEP program
SIP	School improvement
M-U	Miller-Unruh
CH2	ESEA, Chapter 2
N/D	Neglected or delinquent

M	**Migrant Education**
S	**Special Education**
A	**Adult Education**
V	**Vocational Education**

IV. CCR INSTRUMENTS AND INSTRUCTIONS

Structure of the Instruments

The CCR instruments are organized by program, all items specifically related to a program are grouped together in a separate instrument. Since there are some items from the law and regulations that clearly apply to more than one program, these items are grouped together in an instrument called *Integrated Programs Items.*

Program Goals

At the beginning of each compliance instrument is a brief statement summarizing the intent of that program. These goal statements are included to facilitate communication among different people with different program specialties who may be working together to conduct or use the results of a coordinated compliance review.

Key Strategy Statements

For each program there are several key strategy statements, each supporting the program goal and addressing a key policy from that program's law and regulations. These statements serve as organizers for compliance items.

Compliance Items

These are the specific program requirements that summarize law and/or regulation and/or agency contract. The compliance items for a program are organized and grouped under key strategy statements.

Compliance Tests

A compliance test is a part of a compliance item and is directly referenced to law and/or regulation. Most items in the instrument are made up of these compliance tests. The tests under a compliance item are always directly related to that item and are generally more specific than the item. Occasionally an item cannot be divided into tests; in this case the item is referenced to law or regulation and is treated as a test. Each compliance test is identified as either primary or secondary. All tests must be met as part of program compliance.

Primary Compliance Tests are those tests that are central to the intent of the law, civil rights guarantees, or historically problematic. During a self-review and validation review, all primary tests are to be applied.

Secondary Compliance Tests are those tests which do not meet the criteria for a primary test. During a self-review all applicable compliance items, primary tests, and secondary tests are to be reviewed. During a validation review, secondary tests may not be reviewed when primary test findings for the same item show compliance. Secondary tests will be reviewed when primary tests(s) for the same item are noncompliant, when problems are noted during self-review, and when secondary tests are part of a random sample.

Compliance items/test columns

Techniques and procedures for determining compliance are included in the columns to the right of each compliance item or test and are described below.

Review Level

This column indicates where the compliance test/item should be reviewed. Some items/tests should be reviewed at a school or instructional setting; some, at a district office; some, at a regional or agency office; and some, at several locations. The items/tests on the instrument are coded to indicate the appropriate review level.

Site: The place where the program services are delivered to students (i.e., a school)

District: The district office or LEA office

County: The county office or LEA office

Region: A migrant education regional office

SELPA: A special education local plan area office

If an item/test is to be reviewed at more than one level, the levels will be identified with an "and" between them. If an item/test should be reviewed only at one level, but not necessarily the same in every review, the choices are listed with "or" between them. The levels are related to the information in the **How to test for compliance** and **What to look for** columns.

How to test for compliance

This column contains brief instructions about the process of review for the corresponding item or test. These instructions specify the method of review (e.g., interview, observation, document review) and identify who should be interviewed or what should be reviewed. If an interview is indicated, it will usually be followed by a sample question(s) to ask during the interview. Of course, other questions may be necessary to determine compliance.

What to look for

This column contains brief instructions about what the reviewer needs to see or hear to establish compliance. These instructions outline what needs to be determined through an interview, what should be seen during an observation, or what the content of documentation should be. The column is left blank if the item or test is self-explanatory in this respect.

Comments

This column may be used by the reviewer to record the compliance findings for each item/test and to write any comments related to the status.

Reporting Findings

Self-review: All noncompliance findings should be recorded on the *LEA Self-Review Coordinated Compliance Review--Summary of Findings* (forms CTS-1a through CTS-1f), following the instructions on those forms.

State validation review: Noncompliance findings will be recorded on the *Validation Review Coordinated Compliance Review--Notification of Findings* (forms CTS-2a through CTS-2f).

Regional administrative review: Noncompliance findings will be recorded on the *SELPA/Migrant Education Region Coordinated Compliance Review--Notification of Findings* (forms CTS-3a and CTS-3b).

To respond to any noncompliance issues identified during a CCR, use *Proposed Resolution of Noncompliance Findings* (Form CTS-4).

Program :

Integrated Programs Items

Program Goal

To provide multifunded students with the district's core curriculum and instructional delivery system as well as support from supplemental funds to help them successfully learn the core curriculum

Key Strategies

- *The K-12 specially funded programs support and do not supplant the district's core program and other district or specially funded services for eligible students.*
- *The K-12 specially funded program services are coordinated to provide multifunded students with a coherent educational experience which enables them to learn the core curriculum.*

Program: Integrated Programs Items (K-12)

Program Goal: To provide multifunded students with the district's core curriculum and instructional delivery system as well as support from supplemental funds to help them successfully learn the core curriculum

Key Strategy: *The K-12 specially funded program services support and do not supplant the district's core curriculum and other district or specially funded services for eligible students.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **IPI.1 Multifunded students receive the district's core curriculum through the district-supported instructional delivery system.** NOTE: Multifunded students are ones receiving services from district funds and at least one other funding source. (ESEA, Ch.1, 556; EC 1241, 33350, 37224, 44805, 49067, 51012-14, 51040, 51050, 51053-57, 51200-4, 51206, 51210-15, 51220-28, 51243-44, 51260-62, 51402, 51420, 51500-1, 51510-10, 51530, 51540, 51550, 51700, 51810, 51831-33, 51850-53, 51879, 51881, 51890, 52310, 54000, 54401, 54402, 54403, 54443.1, 56336.2, 56702, 56802, 58800, 60040, 64001; CCR T5 3934)	**District** - Interview district staff during the entrance interview and the school staff during the site review. ASK: - How do you ensure that the multifunded student receives the core curriculum and the instructional delivery system supported by the district's general fund? - When did the district board of education compare its core curriculum (grades 9-12) with the state Model Curriculum Standards (grades 9-12)? - Collect information at the sites to compare the district- and site-level versions of the core curriculum and instructional delivery system and how all students are ensured access. - Compare the core curriculum and instructional delivery system provided to students participating in multiple specially funded programs with that which is provided to students not eligible for such programs.	- Information presented by the district establishes what is offered to all students, regardless of supplementary funding. The district's program includes, but is not limited to, the: Core curriculum -- the knowledge and skills in the district-adopted prescribed course of study that must be learned for successful grade promotion and graduation. This curriculum may include academic, career and vocational, as well as cultural, social, and moral knowledge and skills. Instructional delivery system -- the type and number of personnel, services, materials, equipment, schedules, assessment, staff development, parent involvement, and any other program components which support learning of the district's core curriculum for students not eligible for special funds. - The district governing board has reviewed and compared the core curriculum, including where appropriate the vocational-career education curriculum, with the state Model Curriculum Standards (9-12) within the past three years.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
IPI.1 (Continued)	**Site** - Interview a sample of district-funded staff members at different grade levels about the core curriculum in relation to multifunded students. ASK: - How do you know what your district's core curriculum is? - In what ways do categorical services help students succeed with their regular program? - How do you collaborate with categorical staff? District-funded staff? - How do you ensure that the multifunded student learns the core curriculum?	- District-funded staff members can give examples of how the district's core curriculum is being provided to multifunded students.	
Primary item **IPI.2 Multifunded students receive the appropriate supplemental program services for which they are eligible. These services support their learning of the district's core curriculum.** (34 CFR 104.321-27, 200.63, 298.8, 298.10-.11, 298.13, 298.19, ESEA Ch.1, 555-56; EC 48431.7, 48438, 48440, 51225, 54000, 54001, 54004.3, 54004.7, 54007, 54402, 54421, 54443.1, 56001, 56200, 56220, 56302-3, 56342, 64001; Former EC 52161, 52164.1, 52168; CCR T5 3021, 3030, 3930, 3934, 3940, 3946; 4200, 4304-5, 4320, 4412-14, 4420-21, 4424, 4426)	Site - Interview administrators and staff serving multifunded students. ASK: - How and on what basis are decisions made to apply funds from a given specially funded program to serve the needs of eligible students? - How do Chapter 1 services supplement district and EIA-LEP services for eligible LEP students? - How do special education services supplement Ch. 1 services for students eligible for services from each funding source? - How do migrant services provide only for those needs not met by district, EIA-LEP, Ch. 1, and special education for students eligible for such services?	- The supplemental funds are expended in the proper sequence so that one supplemental funding source is not paying for that which another supplemental funding source should be paying: *District:* Students' learning of the core curriculum is supported through expenditures for personnel, materials, equipment, evaluation, planning, staff development, and parent involvement. Although all students receive this program, it is most easily defined by what students receive who are in no specially funded programs.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
IPI.2 (Continued)	- **Interview** and observe a sample of three multifunded students per school as well as all adults who work with them. ASK adults: - What is the daily curriculum of the multifunded students identified in the sample? - How is the student's learning of the core curriculum supported by supplemental funds? ASK students: - What are you learning with each adult you work with? - What kinds of lessons and assignments do you get? - Do you understand your lessons and assignments?	*EIA/LEP*: applied only to LEP students for excess-cost services and materials related to bilingual district-funded service requirements *SIP*: applied only to students in participating SIP schools and grades *Chapter 2:* applied to students receiving Chapter 2 services *Ch.1/SCE:* applied only to identified students (NOTE: See pp 26-27 of the Ch.1 nonregulatory guidelines, for examples of permissible Ch.1 expenditures and services for handicapped and LEP students.) *Special Education:* applied only to eligible students and only after the district-funded services, EIA/LEP, SIP, and Ch.1/SCE services have been provided and/or found to be partially or wholly inappropriate or ineffective *Migrant Education*: applied only to eligible migrant students and only after all other district-funded services, EIA/LEP, SIP, Ch.1/SCE, and/or special education services have been provided. *Vocational-Career Education:* applied to eligible students when matching federal and nonfederal excess-cost services have been provided for students by district, EIA/LEP, SIP, Ch.1/SCE, and/or special education funds - Supplementary services, including vocational-career education, support students' learning of the district's core curriculum.	

Key Strategy: *The K-12 specially funded program services are coordinated to provide multifunded students with a coherent educational experience which enables them to learn the core curriculum.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **IPI.3 Multifunded students receive a coherent and coordinated program which enables them to learn the district's core curriculum.** (34 CFR 104.5, 200.51(b)(3)(ii), 300.306; ESEA, Ch.1, 556; EC 2, 30, 44670.3, 44805, 48431.6, 51004, 51204, 51225, 51700, 51762, 51764, 52000, 52100-2, 54401, 54403, 54443.1(e), 56001(f)(k), 56200, 56220(d)(e)(f),56240, 56243, 56302, 64001)	District and Site - Review the information collected in writing and through staff and student interviews in tests IPI.1 and IPI.2 to determine how the goals, objectives, activities, methods, schedules, pace, curriculum, materials, equipment, planning, evaluation, staff development, and parent involvement interrelate to provide students participating in specially funded programs with a coordinated and coherent program. - Review evaluation data, especially where available by student population. - Interview all adults who work with the sample of students identified in IPI.2. ASK: - How do adults in the school plan, work, and communicate with each other relative to multifunded students with whom they each work? - How do the district and school periodically assess and modify the school program to ensure that all services received by the multifunded students are coordinated? - What evidence do you have that each student population, e.g., LEP, special education, compensatory education, GATE, and average student, is learning the core curriculum? - Interview categorically funded staff who work with the sample of students in IPI.2 ASK: - How do you decide what kind of help or assignments you provide to multifunded students? - How does your work relate to the core curriculum and assignments made in the regular classroom?	- All adults, both district- and categorically funded, working with multifunded students coordinate by communicating effectively with each other concerning specially funded students' educational experiences and progress. Coordination provisions may include student study teams; individual student plans; meetings to plan, monitor, or problem-solve; or other planning and communication mechanisms which promote coordination. - The multifunded student's daily educational experience is coherent; i.e., there are no duplications, gaps, or misalignments in services or curriculum. - There is evidence that multifunded students are learning the district's core curriculum.	

Program :

School-Based Programs (School-Based Coordinated Programs and School-Based Pupil Motivation and Maintenance Programs)

Program Goal

School-Based Coordinated Programs: To provide greater flexibility for schools and school districts in coordinating and using the various funds they receive

School-Based Pupil Motivation and Maintenance Programs: To increase the school's retention rate of all students, with special emphasis on the needs of high-risk students

Key Strategies

- *The school's planned program coordinates the categorical funds to meet the special needs of students and enables them to learn the district's core curriculum.*
- *The local board of education and school site council(s) have been involved in planning school-based programs.*
- *Individual program protections are provided by school-based programs.*
- *The school's planned program aims to increase retention rates for all pupils, with special emphasis on the needs of high-risk pupils.*

Instructions for Using the School-Based Programs Instrument

SCHOOL-BASED COORDINATED PROGRAMS

The first nine compliance items (SBP.1-SBP.9) of the School-Based Programs instrument must be applied to any school that has chosen to operate a School-Based Coordinated Program (SBCP) and is coordinating one or more of the following five funding sources:

- School Improvement
- Economic Impact Aid/State Compensatory Education (EIA/SCE)
- Miller-Unruh Reading Program
- Special Education
- Gifted and Talented Education (GATE)

The first eight compliance items take the place of the compliance instruments for any of the first four funding sources listed above when they are included in the SBCP. In the case of special education, services are coordinated, not actual funds. A modification of the special education instrument is contained within this instrument (see SBP.9) and the reviewer must also use the special education instrument during a compliance review.

In addition, even if Economic Impact Aid/Limited-English-Proficient (LEP) funds are coordinated, the requirements for serving LEP students are not modified. The compliance instrument for LEP services is used in conjunction with the School-Based Programs instrument.

SCHOOL-BASED PUPIL MOTIVATION AND MAINTENANCE PROGRAM

A school which operates a School-Based Pupil Motivation and Maintenance Program (i.e., SB 65) must use both the School-Based Programs instrument (SBP.1-SBP.9) and the addendum for School-Based Pupil Motivation and Maintenance programs (SBP.10-SBP.13). Schools receiving SB 65 funds, therefore, must comply with all of the items in the School-Based Programs instrument, including the first nine items.

For schools receiving SB 65 funds, the five funding sources mentioned under School-Based Coordinated Programs in the SBCP section may be coordinated. In addition, schools receiving SB 65 funds may coordinate Continuation Education, Independent Study, Opportunity Schools Program, Regional Occupational Center, and Work Experience Education funding sources.

SCHOOL-BASED COORDINATED PROGRAMS AND PUPIL MOTIVATION AND MAINTENANCE PROGRAMS

Federal funds (e.g., migrant education, or ECIA, Chapter 1) are not affected by School-Based Programs and, therefore, are monitored using the appropriate program compliance instrument.

Finally, the Integrated Programs Item instrument must be used for any School-Based Program, with the exception of item IPI.2, which is not applicable to the state-funded School-Based Programs.

Program: School-Based Programs (School-Based Coordinated Programs and School-Based Pupil Motivation and Maintenance Programs)

Program Goal: To provide greater flexibility for schools and school districts in coordinating and using the various funds they receive. To increase the school's retention rate of all students with special emphasis on the needs of high-risk students

Key Strategy: *The school's planned program coordinates the categorical funds to meet the special needs of students and enables them to learn the district's core curriculum.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
SBP.1 The school site council (SSC) has developed a school plan which provides for the special needs of identified students, staff development, program evaluation, and appropriate program expenditures.			
Primary tests **SBP.1a** Each participating school has an approved school plan which lists the categorical programs participating in the school-based program, contains an explicit statement of what the school seeks to accomplish, and includes a budget and approved modifications. (EC 52853(f), 54004.1(b), 54726(j), 54734(e))	Site - Review the school plan. - Review the school budget. - Interview SSC members. - Interview school staff. - Interview district coordinator(s) of categorical program(s).	- There is an annual school plan and that the SSC approved the plan and any modifications. - The plan is being implemented. - The SSC established an annual budget.	
SBP.1b The planned program provides instructional and auxiliary services to meet the needs of the following student populations as listed in the plan: - Limited-English-proficient students, including instruction in a language these students understand - Educationally disadvantaged students - Gifted and talented students - Individuals with exceptional needs (EC 52853(b), 54721, 54726(d))	Site - Review school plan. - Observe classrooms. - Interview staff, parents, and students. ASK: - What are the needs of the various student populations? - How do the services meet the identified needs? - How are students with multiple needs being served?	- Specific needs of each of the four student populations are being met.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Secondary tests **SBP.1c** The planned program provides a staff development program for teachers, paraprofessionals, other school personnel, and volunteers, including those participating in special programs. (EC 52853(c), 54726(a))	Site - Review school plan. - Review staff development agendas and summaries of conferences or training. - Interview staff, volunteers, and SSC members. ASK: - What is the staff development program? - How does it relate to the school plan? - Are adults who work with the various student groups encouraged to participate? - Have staff development needs been assessed and met?	- Description of staff development in plan - Written and/or oral verification that staff development has been provided as planned	
SBP.1d If staff development days are identified in the school plan, they are used to assist in plan implementation or to advise students, and there are no more than eight days. (EC 52854, 54726)	Site - Review school plan and the agenda and materials of the staff development sessions. - Interview staff and SSC members. ASK: - How many days will be used for staff development?	- The SSC determined the content of the staff development activities and how many days are identified in the school plan. - The content of the staff development activities directly relates to the school plan. - The school plan was approved by the local governing board before staff development days were used.	
SBP.1e The planned program provides for ongoing evaluation of the educational program of the school. (EC 52853, 54726)	Site - Review school plan. - Interview staff and SSC members. ASK: - How is the ongoing evaluation used?	- Description of ongoing evaluation - Written and/or oral verification of ongoing evaluation as planned	

Key Strategy: *The local board of education and school site council(s) have been involved in planning school-based programs.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **SBP.2 Only specifically authorized state funds are coordinated in the school-based program plan.** (EC 52851. 54723, 54728,54729, 54730)	District - Examine school plan budgets for school-based programs. - Interview principal. ASK: - What state funds are coordinated in the school-based program budget?	- No state funding sources are used except. ● School Improvement Program (SIP) ● Economic Impact Aid/State Compensatory Education (EIA/SCE) ● EIA/Limited-English-Proficient (LEP) ● Miller-Unruh ● Gifted and Talented Education (GATE) ● Special Education ● Conservation Education ● Staff Development ● Classroom Instructional TV ● Career Guidance Centers ● New Careers ● Cadet Corps - The following additional state funding sources may be used in SB 65-funded schools: ● Continuation Education ● Independent Study ● Opportunity Schools/Programs ● Regional Occupational Center ● Work Experience Education	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
SBP.3 The local governing board has carried out its responsibilities for assisting in the development of and approval of school-based programs.			
Primary test **SBP.3a** The school plan has been approved by the local governing board. (EC 52855)	**District** - Review local governing board minutes.		
Secondary test **SBP.3b** The local board has established policies and procedures and ensured that the following occur: -The principal received and provided information regarding school-based programs. -All interested persons had the opportunity to meet to establish a council. -The school site council (SSC) had the opportunity to decide whether the school would participate in a school-based program. -Funds have been coordinated and supplement existing state and local fiscal efforts. (EC 52852.5, 54725)	**District or site** - Review board-adopted policies. - Review budget as contained in the school plan. - Interview members of the school site council (SSC). ASK: - How did you find out about this program? - Did you have an opportunity to decide whether you would participate in this program? - Interview responsible district administrators. ASK: - What is the district's established policy on school-based programs?	- Information that has been distributed - Meeting notices, proceedings, and lists of attendees - List of council members and signatures acknowledging participation - Regular program expenditures that are comparable to nonparticipating schools, thus demonstrating that school-based program funds and services are supplementary	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
SBP.4 The selection of members and composition of the SSC meet the requirements of the School-Based Program Coordination Act or the School-Based Pupil Motivation and Maintenance Program, and the SSC is carrying out its responsibilities.			
Primary tests **SBP.4a** The SSC annually establishes a new budget and makes modifications to the school plan as necessary. (EC 52853, 52855, 54726)	**Site** - **Review school plan.** - **Interview SSC members.** ASK: - How are you involved in developing, planning, and evaluating the program? - When did the SSC last review the plan and modify the budget? - What modifications did you note?	- Modifications in plan reflecting changing needs and priorities - New budget - Members acknowledge involvement in developing, planning, and evaluation	
SBP.4b The membership of the SSC is as follows: - In elementary schools, half of the members are the principal, classroom teachers, and other school personnel; half are parents or other community members. Classroom teachers are a majority of the first group. - In secondary schools, half of the members are the principal, classroom teachers, and other school personnel; half are students and parents. Classroom teachers are a majority of the first group; students make up one-half of the second group. (EC 52852, 54724)	**Site** - **Review current membership of the SSC.** - **Review SSC bylaws (if developed) and supporting materials.** - **Interview SSC members.** ASK: - What is the composition of the SSC?	- Appropriate SSC membership composition	
SBP.4c Members of the following groups were selected by their peers at the school: teachers, other school personnel, and parents of students attending the school. Community members (if selected) were selected by parents of students attending the school. In secondary schools, students were selected by other students. (EC 52852, 54724)	**Site** - **Review selection policies and records.** - **Interview SSC members.** ASK: - How were you selected to be a member of the SSC?	- Each representative properly selected by his or her peer group	

Key Strategy: *Individual program protections are provided by school-based programs.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
SBP.5 If EIA funds are used in a school-based program (SBP), neither educational services nor the instructional delivery system for EDY students nor parent involvement has been reduced.			
Primary test **SBP.5a** If fewer than 75 percent of the participants in an SBP are educationally disadvantaged pupils, there is state and local funding available for allocation which is equal to or greater than the per pupil amount allocated to that school per disadvantaged pupil through the Economic Impact Aid program multiplied times 75 percent of the school enrollment. (EC 52858, 54723)	District - Review Consolidated Application (page 37) and school plan budgets.	- The Department's Program Advisory (CCP:87/8-113, dated March 23, 1988) has an illustration of how to compute the matching allocation (see question #17, page 14).	
Secondary tests **SBP.5b** The district continues to distribute EIA funds according to a state-approved allocation plan. (EC 52858, 54723)	District - Compare approved Consolidated Application EIA allocation (page 38) with district's SBP budget.	- Actual EIA allocations to SBP schools match those in the Consolidated Application.	
SBP.5c The school continues to maintain a school advisory committee (SAC) required for state compensatory education, or the SAC has designated the SSC to carry out its functions. (EC 52858, 54723)	District and site - Examine records of the committee (minutes, reports, etc.).	- Documentation that an SAC exists or that its functions were delegated to the SSC	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **SBP.6 If EIA/LEP funds are in a school-based program, the SSC shall consult with the school-level bilingual advisory committee prior to submitting a school plan.** (EC 52858.5)	**Site** - Examine SSC minutes.	Documentation that the school bilingual advisory committee was consulted and approval/disapproval has been obtained	
Primary item **SBP.7 If Miller-Unruh funds are used in a SBP, the funds are used according to the priorities established by former EC §54123. First priority shall be supplementing reading instruction in kindergarten and grade 1. Second priority shall be supplementing reading in primary grades. Final priority shall be supplementing reading in grades 4-6.** (EC 52859, 54123)	**District** - Review district personnel records. **Site** - Review records of students receiving Miller-Unruh services to determine that the school is meeting the priorities.	- The Miller-Unruh funds have been used to hire a reading specialist. - The three priorities have been followed in deploying a reading specialist.	
Primary item **SBP.8 If gifted and talented education (GATE) funds are used in a school-based program, the school board has determined that portion of the district's GATE grant which has been allocated [illegible] school-based program schools.** (EC 52857, 54723)	**District** - Review school board minutes. - Review school plan budget.	- The amount of GATE funds allocated matches the amount determined by the school board.	

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Instructions to reviewer: If **Special Education** is included as part of the SBP, the Special Education compliance instrument in the *CCR Manual* must be used, with the exception of item S.5a which must be replaced with the version below.

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **SBP.9 If special education services are used in a school-based program, then (a) resource specialist program services and designated instruction and services may be provided to students who have not been identified as individuals with exceptional needs (IWENs), provided that all IWENs are appropriately served; (b) programs for IWENs shall be under the direction of special education personnel, but services may be provided entirely by personnel not funded by special education funds, provided that all services specified in the IEP are received by the student.** (34 CFR 300.305, 300.551; EC 56360-56365, 52860; CCR T5 3053)	SELPA - Review local plan. - Review interagency agreements. - Review individualized education program (IEP) to ensure that it has been implemented, including time lines, procedural due process, and credential requirements of specially funded staff. - Interview administrative staff. ASK: - What services are available for special education students? Site - Observe programs and services, including services to nonidentified students. - Review school plan. - Interview specialists. ASK: - What services are available for special education students?	- Programs and services available include: • Resource specialist programs (Caseloads do not exceed 28 identified students for any one resource specialist unless a waiver has been granted.) • Designated instruction and services--DIS (Average caseloads of language, speech, and hearing specialists do not exceed 55.) • Special classes and centers • Nonpublic/nonsectarian school services • State special schools - The resource specialist and DIS staff may provide services to nonidentified students as specified in the school plan. - Services to identified students may be provided by personnel not funded by special education if the programs are under the direction of credentialed special education personnel.	

Instructions to reviewer SBP.10 through SBP.13 are to be used only if the school is operating a **Pupil Motivation and Maintenance Program** under the provisions of SB 65.

Key Strategy: *The school's planned program aims to increase retention rates for all pupils with special emphasis on the needs of high-risk pupils.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
SBP.10 The school has a plan designed to increase the retention rates of the school for high-risk students.			
Primary tests **SBP.10a** The planned program for school-based motivation and maintenance programs is designed to increase the school's retention rate of all students, with special emphasis on the needs of high-risk students. (EC 54726)	Site - Review school plan. - Observe classrooms, specifically high-risk students. - Interview staff, parents, and members of the SSC. ASK: - How are high-risk students identified? - How is the district increasing retention rates for high-risk students?	- School plan that contains specific activities to meet the needs of high-risk students - School plan that includes, but is not limited to: a. A staff development program for teachers and school staff b. Provisions for instructional and auxiliary services for limited-English-proficient (LEP), educationally disadvantaged youth (EDY), gifted and talented (GATE), and pupils with exceptional needs - Evidence that the plan is being implemented and that retention rates are improving	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
SBP.10b The planned program provides for the role and function of the student study team (SST) as it relates to high-risk pupils. (EC 54726(d))	Site - Review SST logs. - Review school plan. - Interview SSC members. - Interview staff, parents, students, and the outreach consultant. ASK: - Who has been trained on SST? - Who are members of the SST? - How often are SST meetings held?	- The school is implementing the student study team concept as described in the plan.	
SBP.10c The planned program integrates and coordinates the skills and talents of the outreach consultant. (EC 54726(h))	Site - Review school plan. - Interview SSC members. - Interview the outreach consultant. ASK: - How are your services utilized?	- The school is utilizing a full-time equivalent outreach consultant in a manner supportive of the plan. - The school's outreach consultant performs duties not primarily the responsibility normally associated with a base-funded position (e.g. adminstrator, teacher, or classified clerical position).	
Secondary tests **SBP.10d** The planned program includes procedures for coordinating services from funding sources at the school level to assist pupils to participate successfully in the district's core academic curricula and specialized curricula related to jobs and career opportunities. (EC 51012-5[illegible] 51040, 54726(c))	Site - Review school plan - Observe classrooms. - Interview outreach consultant. ASK: - What funds or services are coordinated?	- Classroom teachers can explain and demonstrate that students learn the district's core curriculum. - Job and career opportunities curricula are integrated into the core curriculum. - Students receive the district's core curriculum. - The school's outreach consultant can explain which funds or services are coordinated.	
SBP.10e At the elementary level, the planned program includes provisions for early identification and intervention of at-risk students. These provisions address learning problems including, but not limited to, the assessment of primary grade pupils to identify and commence remediation of developmental and other learning difficulties. (EC 54726(e))	Site - Review school plan. - Interview classroom teachers. - Interview outreach consultant. ASK: - What criteria are used to identify high-risk students? - What intervention strategies are available for high-risk students?	- Early identification procedures have been articulated to all staff.	

Instructions to reviewer: If Work Experience Education (WEE) is included as part of the SB 65 Pupil Motivation and Maintenance Program, the Vocational Education compliance instrument must be used with the exception of items V.4b, V.4c, and V.4f, which should be replaced with the items below.

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **SBP.11 If students under age 16 are enrolled in general or vocational WEE, WEE is included in the SB 65 school plan.** (EC 54729)	Site - Review SB 65 school plan. - Review student records.	- The SB 65 school plan provides for enrollment of students in WEE with waiver of minimum day requirement.	
Primary item **SBP.12 For students who are not enrolled in continuation school or students whose minimum day is fewer than four periods totaling 180 minutes, WEE is included in the SB 65 school plan.** (EC 54729)	Site - Review school plan. - Review student records. - Interview WEE coordinator. ASK: - Is WEE included in the school plan and how are at-risk students informed of alternatives?	- The SB 65 school plan provides for enrollment of students in WEE with waiver of minimum day requirement.	
Primary item **SBP.13 If maximum credits for a student are exceeded, provisions are included in the SB 65 school plan.** (EC 54729)	Site - Review SB 65 school plan. - Review student records.	- The SB 65 school plan provides for students to exceed maximum credit limits under special conditions.	

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Program

Child Development

Program Goal

To provide an efficient and effective child care and development system as determined by community needs, offering a full range of services in a safe, healthful, and nurturing environment

Key Strategies

- *Agencies provide eligible families with subsidized child care in relation to their socioeconomic levels.*
- *Families are enrolled according to program priorities, and the agency ensures that families are informed of their due process and civil rights.*
- *Agencies provide adequate supervision of children by qualified personnel in licensed facilities.*
- *Personnel policies and procedures which include staff development activities have been developed to ensure program effectiveness, efficiency, and consistency.*
- *Agencies meet their special program requirements.*
- *Nurturing conditions in the center are adequate and developmentally appropriate.*
- *Agencies have formulated and implemented a plan for parent involvement and education.*
- *Agencies inform the community about their services and have a process for providing and referring families with social services or health care needs in the community.*
- *Agencies have a plan to evaluate annually the program to determine whether or not the program goals and objectives are being met.*

Child Development Programs:

(GEN)	General Child Development	(FCC)	Family Child Care
(SPS)	State Preschool	(LKY)	School-Age Community
(MIG)	Migrant Child Development	(SH)	Severely Handicapped
(APP)	Alternative Payment	(SPD)	School-Age Parenting and Infant Development
(R&R)	Resource and Referral		

Program: Child Development

Program Goal: To provide an efficient and effective child care and development system as determined by community needs, offering a full range of services in a safe, healthful, and nurturing environment

Key Strategy: *Agencies provide eligible families with subsidized child care in relation to their socioeconomic levels.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.1 Families with children enrolled in the program have met both the "need" and "eligibility" requirements, and any reimbursement claims are justified.			
Primary tests C.1a (GEN, MIG, APP, FCC, LKY) Families with children enrolled in the program have met the "need" requirement. (EC 8263(a)(z); CCR T5 18083(e))	District or agency - For each contract, select a sample of children's names from the enrollment and attendance register (CD-9400 or comparable form). Sample should include a minimum of two files from each center serving subsidized children. - Refer to the Attendance and Fiscal Report in selecting the sample, making sure the sample includes all enrollment categories claimed; i.e., children with special needs. Also include children with absences and families who pay subsidized fees. - Review Application for Child Development Services and Certification of Eligibility (CD-9600) or comparable agency-adopted form and supporting documentation from family eligibility files.	- A basic data file for each family with a completed application including dates, signatures, verification of need, and applicable medical and emergency information (see Agency Contract for details) - The need requirement is verified by one of the following: • A written referral from a legal, medical, or social service agency stating that the child is or is at risk of being abused, neglected, or exploited • Written verification from a qualified professional stating that the child is medically or psychiatrically incapacitated • A declaration that the family is homeless and seeking permanent housing for family stability - For federally funded migrant agencies the Certification of Eligiblity is required.	

<table>
<tr><th>Compliance item/test</th><th>Review level/
How to test for compliance</th><th>What to look for</th><th>Comments</th></tr>
<tr><td>C.1a (Continued)</td><td>- Number of files sampled should be based on enrollment as follows:
<table>
<tr><th>Enrollment</th><th>No. of files</th></tr>
<tr><td>Less than 100</td><td>10</td></tr>
<tr><td>100 to 249</td><td>15</td></tr>
<tr><td>250 to 499</td><td>20</td></tr>
<tr><td>500 or more</td><td>25</td></tr>
</table>
A maximum sample size for each program type will be limited to 25 files or two files per center serving subsidized children, whichever is greater. (For APP or FCC, use 25 files as the maximum sample size.)</td><td>- Verification that the parent and all other adults counted in the family size are unable to care for the children because of:
• Employment
• Seeking employment (limited to 60 working days per fiscal year)
• Participation in vocational training leading directly to a recognized trade, paraprofession, or profession
• Incapacitation as determined by a qualified professional</td><td></td></tr>
<tr><td>C.1b (GEN, MIG, APP, FCC, LKY)
Families with children enrolled in the program have met the eligibility requirement and required documentation is complete.
(EC 8263(a)(1);
CCR T5 18083(g), 18084, 18090, 18093)</td><td>District or agency
- Review applications in previously selected sample files.</td><td>• The eligibility requirement is established by one of the following:
<i>For Public Assistance Recipiency:</i> Written documentation of viewing a current MediCal card or a public assistance check, or contact with the county welfare department.
<i>For Income Eligibility:</i> Lowest adjusted income is verified by a copy of a check stub or a record of the information from a check stub or other appropriate documents; e.g., self-employed and the calculations used in determining gross monthly income.</td><td></td></tr>
</table>

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Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.1b (Continued)		*For Child Protective Services (CPS):* A written referral from an authorized professional. *For Homelessness:* Written declaration of the family's temporary and substandard living arrangement, or written referral from an emergency shelter or other legal, medical or social services agency. *For State-Funded Migrant Programs:* At least 50 percent of the family's income was derived from agriculture-related employment for the 12 months immediately preceding the application date. *For Federally Funded Migrant Programs:* Completion of the Certificate of Eligibility - A basic data file for each family which includes a completed application containing dates, signatures, verification of eligibility, and various medical and emergency information.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.1c (SPS) Children enrolled in the program have met the eligibility requirements. (EC 8235; CCR T5 18131(a); 18133)	District or agency - Select a sample of family eligibility files from the enrollment and attendance register (CD-8200 or comparable form). Sample should include a minimum of two files from each facility serving subsidized children. Number of files sampled should be based on enrollment as follows: Enrollment — No. of files Less than 100 — 10 100 to 249 — 15 250 to 499 — 20 500 or more — 25 A maximum sample size will be limited to 25 files or two files per facility, whichever is greater. - Review Application for State Preschool[1] Services and Certification of Eligibility (CD 2712 or comparable agency-developed form).	- A determination that the family's income is at or below the amount shown for the corresponding family size as specified in the most recent state preschool family income ceilings. - Verification that the child's age range is three to five years as of date of enrollment - Verification of residency, which may include a parental declaration of intent to live and/or work in California - No more than 10 percent of the total enrollment are families with income exceeding the income ceiling by not more than 15 percent	
C.1d (SH) Children enrolled in the program have met the eligibility requirements. (EC 8250(d)(1)(2); CCR T5 18211, 18212)	District or agency - Select a sample of family eligibility files according to C.1a.	- A basic data file containing the IEP	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.1e (GEN, MIG, APF, FCC, LKY) The special needs of the children claimed for the "special adjustment factors" on the fiscal and attendance report have been documented. (EC 8265.5; CCR T5 18089)	**District or agency** - Review family eligibility files for documentation of special needs.	*For Exceptional Needs:* Written assessment by a licensed professional that the child is mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, orthopedically impaired, deaf-blind, multihandicapped, or has specific learning disabilities. *For LEP:* Information in the family files indicates that the child is age two through kindergarten and uses a language other than English predominantly or exclusively spoken at home. *For CPS:* A written referral from a legal, medical, or social service agency, or emergency shelter specifies that the child is or is at risk of being abused, neglected, or exploited. *For Infants:* Documentation verifies that the age of the child is from birth to two years, nine months.	
C.1f (GEN, MIG, APP, FCC, LKY) The agency provides special services for children for whom adjustment factors are claimed. (EC 8265.5; CCR T5 18089)	**District or agency** - Select random sample of children's names from enrollment register. Refer to C.1a for sample size.	- A basic data file for each family which includes documentation regarding special services that have been provided	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.1g (GEN, MIG, APP, FCC, LKY) The eligibility of each family with children enrolled in the program is formally recertified at least once every 12 months (or academic year for students). Except for migrant and other seasonally employed families, changes in need or eligibility are documented within 30 days. CPS and "homelessness" is verified at intervals as specified in the contract requirements. (CCR T5 18103)	District or agency - Compare current application with previous application(s) and other pertinent material (see test C.1a) in previously selected sample files.	· Completed application, including timely dates, signatures, verification of income, or self-certification of income and need *For CPS:* Referrals are documented every six months with verification (in cases of actual abuse) that the family is receiving counseling services. Need is reviewed every three months. *For Homelessness*: Verification of family's temporary or substandard living arrangement occurs every three months. *For Migrant*: Recertification occurs within 30 days only when changes are due to family size or need based on training or incapacity of the parent.	

Key Strategy: *Families are enrolled according to program priorities, and the agency ensures that families are informed of their due process and civil rights.*

C.2 Families are enrolled according to program priorities. Services are provided to all eligible children in a nondiscriminatory manner. No program is used, in whole or in part, for religious instruction or worship.			

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary tests C.2a (GEN, APP, FCC) Families with children enrolled in the programs are selected on the basis of the following priorities: 1. Children who are or are at risk of being abused, neglected, or exploited. Within this priority, children receiving protective services through the local county welfare department are admitted first. (EC 8263(b)(1); CCR T5 18092) 2. Families who are not within the first priority are admitted in accordance with the lowest per capita income. (EC 8263(b)(2); CCR T5 18106)	District or agency - Review waiting list. - Review the applications of the three most recently enrolled children and evaluate their enrollment in relation to the priorities.	- Detailed information to determine if priorities are being followed - Waiting list includes the following: ● Name ● Address ● Phone number ● Determination of "need" and "eligibility" ● Gross income, less child support payments ● Number in family unit ● Per capita income amount or admission rank (CD-2600A) ● Date of original inquiry ● Date of admission or date removed from list, if applicable	
C.2b (SPS) The program is composed of eligible families whose children are enrolled properly. (EC 8235; CCR T5 18131)	District or agency - Review selected sample of family eligibility files for timely verification of family income and the child's age. - Review the applications of the three most recently enrolled children and evaluate their enrollment in relation to the priorities. - Review waiting list.	- Information to determine whether lowest income families with children enrolled were admitted first; i.e. waiting list - Verification of the family's income within 30 calendar days prior to the start of class - Verification that enrolled children are between the ages of three and five years at the time of enrollment	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.2b (Continued)		- The following priorities may be adopted and used in addition to those above: ● Children identified as limited-English proficient (LEP) ● Children identified as handicapped have an individualized education plan (IEP) that identifies the preschool program as the most appropriate placement ● Children from families whose special circumstances may diminish the children's opportunities for normal development ● Children aged three years, nine months to four years, nine months.	
C.2c (LKY) Families with children enrolled in the program are properly selected. (EC 8468.5; CCR T5 18201)	District or agency - Review waiting list. - Review the applications of the three most recently enrolled children and evaluate their enrollment in relation to the priorities.	*For Latchkey Programs:* - Information to determine whether the latchkey priorities were used: ● Children in grades K-9 were appropriately referred because of abuse or neglect or the risk thereof. Within this priority, children receiving protective services through the local county welfare department are admitted first. ● Children in grades K-3 and their school-age siblings under the age of thirteen. Within this group children from families with the lowest per capita income are admitted first. ● Children in grades 4-9 and their school-age siblings under the age of thirteen. Within this group children from families with the lowest per capita income are admitted first.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.2d (MIG) Families and children are properly selected. (EC 8263(b)(1)(2); CCR T5 18182, 18191)	District or agency - Review waiting list - Review the applications of the three most recently enrolled children and evaluate their enrollment in relation to the priorities. NOTE: For contractors operating in public housing centers, the first 14 days of the initial enrollment period shall be reserved for residents of the housing center.	*For State-Funded Migrant Programs:* Eligibility is based on the family's status, and selection occurs using the following priorities: ● The family moves from place to place. ● The family has migrated within the past five years and is currently employed in agribusiness and is settled near agricultural areas. ● The family resides in an agricultural area and is dependent on agricultural work. *For Federally Funded Programs:* Eligibility is based on the child's status, and selection occurs using the following priorities: ● Current migratory child ● Former migratory child	
C.2e (GEN, SPS, SH, MIG, APP, FCC, LKY) The agency has informed all applicants for service of the right to appeal any adverse action. (CCR T5 18094, 18095, 18118)	District or agency - Review Notices of Action in files previously selected.	- Notice of Action or comparable form with appeal rights was given or mailed to the parent at the time of initial certification, or when a change in service level, family status, or fees has occurred.	
C.2f (GEN, SPS, SH, MIG, APP, FCC, LKY) The program does not discriminate in determining which children are served. (Gov.Code 12900, et seq, 11135-11139.5; CCR T2 7285, et seq)	District or agency - Review agency's written policies.	- Admissions policies verify that eligible children are served without regard to sex, race, religion, ethnicity, or physical handicap.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.2g (GEN, SPS, SH, MIG, APP, FCC, LKY) The program refrains from religious instruction or worship. (Constitution of Calif., Article XVI Sec. 5; CCR T5 18017)	District or agency - Review parent handouts and handbook, admission policies, and posted information. - Observe program to determine if religious instruction or worship is occurring. - Interview child development administrator. ASK: - Does the program refrain from religious instruction or worship?	- A written statement that agency refrains from such practices.	

Key Strategy: *Agencies provide adequate supervision of children by qualified personnel in licensed facilities.*

C.3 Required staff ratio, personnel qualification, and center/site license are maintained (applies to center-based programs only).			
Primary tests C.3a (GEN, SPS, SH, MIG, LKY) The applicable staff/child ratios are met. (EC 8288; CCR T5 18290)	District or agency - Review staff/child ratio sheets. - Determine if ratios are met.	- The following ratios must be met: *Infants, birth to 18 months old:* 1:3 adult/child ratio 1:18 teacher/child ratio *Toddlers, 18 mo. to 36 mo. old:* 1:4 adult/child ratio 1:16 teacher/child ratio *Preschool, 36 mo. to enrollment in kindergarten:* 1:8 adult-child ratio 1:24 teacher-child ratio *Children enrolled in kindergarten through 14 years old:* 1:14 adult-child ratio 1:28 teacher-child ratio - Compliance with these ratios shall be determined based on actual attendance.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C3b (SPD) The applicable ratios are met. (EC 8288; CCR T5 18168(a)(6)(A)(D)(F))	**District or agency** - Review staff/child ratio sheets or comparable form. - Determine that applicable ratios are met.	- School-age parents and other participating students are not be included in the adult-child ratio while performing their practicum experience activities at the center. - The following ratios are being met for all ages of children: 1:4 adult/child ratio 1:20 teacher/child ratio	
C3c (GEN, SPS, SH, MIG, LKY) Each program has a qualified program director. (EC 8208(w), 8360, 8463 (l); CCR T5 18203)	**District or agency** - Review Certified Personnel Roster or comparable form for person indicated as program director. - Review personnel files.	- The contractor employs a program director who has overall administrative responsibility for programs operated at one or more sites. The program director may also serve as a site supervisor at one of the sites if he/she assumes responsibility for the day-to-day operation of the program at the site and is fully qualified. - The program director holds one of the following valid permits or credentials issued by the Commission on Teacher Credentialing: • Children's Center Supervision Permit • Life Children's Center Supervision Permit • Preliminary Administrative Services Credential • Professional Administrative Services Credential • A credential authorizing teaching service in elementary school with either 12 units of training or at least two (2) years experience in early childhood education or a child care and development program, or holds a single subject credential in home economics with either 12 units of training or at least two (2) years experience in early childhood education or child development program.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C3c (Continued)		For Latchkey Only: ● In lieu of the above, the program director may hold a baccalaureate degree in recreation, recreational therapy, special education or a related field and three (3) semester units of administration and supervision of recreation, child development or related programs, and two (2) years of teaching or supervisory experience in recreation or related programs.	
C3d (GEN, SPS, SH, MIG, LKY) Each program with more than one site has a qualfied site supervisor unless exempt. (EC 8208(z), 8360, 8463; CCR T5 18205)	District or agency - Review Certified Personnel Roster or comparable form for person indicated as site supervisor. - Review personnel files.	- Each site, whether or not it is exempt from licensure, has a fully qualified supervisor responsible for program operations on the premises during the hours the program is in operation. (Refer to CCR T5 18205, EC 8208(z), 8463.)	
C3e (GEN, SPS, SH, MIG, LKY) Each site has qualified teachers. (EC 8208(ee), 8360, 8463; CCR T5 18206)	District or agency - Review information on personnel roster or comparable form. - Review personnel files.	- The teacher(s) are fully qualified. (Refer to CCR T5 18206, EC 8208, and 8360.)	
C3f (GEN, SPS, SH, MIG, FCC, LKY, SPD) Each site has a current license issued by the authorized licensing agency, unless the site is exempt from licensure. (EC 8203; CCR T5 18020)	District or agency - Examine the license for each site that the agency uses for subsidized care. - Exempt site: ● Before-and-after-school programs for school-age children operated by a school or district in a school. (Up to 15 percent of the children may be from other schools.) ● Sites on federal property ● FCC home(s) serving only one family.	- Current license issued to the correct agency and site address.	

Key Strategy: *Personnel policies and procedures which include staff development activities have been developed to ensure program effectiveness, efficiency, and consistency.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.4 The agency has developed personnel policies and procedures which include staff development activities.			
Primary tests C.4a (GEN, SPS, MIG, APP, FCC, LKY) Agency board/board designee has approved and implemented personnel policies and procedures. (CCR T5 18221, 18222)	District or agency - Review personnel policy and procedures manual. - Review board agendas and minutes.	- Personnel policies include: ● Employment procedures ● Staff evaluation procedures ● Salary promotion procedures ● Lay-off plan/procedures ● Description of salaries and benefits ● Causes for termination ● Termination procedures ● Grievance procedures ● Confidentiality of records ● Staff recruitment ● Affirmative action plan	
C.4b (GEN, SPS, SH, MIG, APP, FCC, LKY) Each staff member has access to a copy of the agency's personnel policies. (CCR T5 18221)	District or agency - Interview staff. ASK: - Have you received a copy of the agency's personnel policies?	- A copy of the agency's personnel policies.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.4c (GEN, MIG, APP, FCC, LKY) Personnel policies and procedures (PP&P) are developed by a joint effort. (CCR TS 18221)	District or agency - Interview staff. - Review board and staff meeting minutes. ASK: - Was administration and staff involved in the development of the personnel policies and procedures?	- Board/staff meeting minutes	
C.4d (GEN, SPS, SH, MIG, APP, FCC, LKY) There is a staff development plan. (EC 8240(g); CCR TS 18274)	District or agency - Review the staff development plan. - Interview program director. ASK: - How was the plan developed? - Who was involved? - Interview staff. ASK: - Were you involved in developing the staff development plan? - How were your needs determined?	- The staff was involved in the development of the plan - The plan is appropriate - The plan includes the following: • Identification of training needs of staff • Written job descriptions • An orientation plan for new employees • An annual written performance evaluation procedure, unless a different frequency of performance evaluations is specified in the contractor's collective bargaining agreement • Staff development opportunities which include topics related to the functions specified in each employee's job descriptions and identified training needs. - The staff knows about the plan and can identify features that are being implemented.	

Key Strategy: *Agencies meet their special program requirements.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.5 All special requirements for the Alternative Payment Program (APP) are being met.			
Primary tests C.5a (APP) The agency has on file all required information about each provider. (CCR T5 18230, 18231)	District or agency - Review a 10 percent sample of provider files but not less than 10 files if applicable.	- Each file contains verification of license status (where applicable) and a signed statement by each provider which includes: • Provider's statement of usual and customary charges • Provider's agreement to remain in compliance with applicable licensing laws and regulations • Provider's assurance that services do not include religious instruction or worship • Copy of current license • Rate of payment • Schedule of payment • Signed document between program and provider • Age group served - For in-home providers, each file must contain an application describing the provider's qualifications and experience, a health statement, a signed statement from the parent that the parent has interviewed and approves of the provider, and a California driver's license number or other valid identification verifying the provider to be at least 18 years of age.	
C.5b (APP) The program/provider agreement is signed by program staff and provider. (CCR T5 18231)	District or agency - Review a sample of 10 percent but not less than 10 provider files if applicable.	- A properly completed provider's agreement that has been signed by both agency representative and provider	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.5c (APP) Provider is given information regarding alternative payment policies, regulations, and procedures. (CCR T5 18221, 18223, 18224, 18226)	District or agency - Review written materials. - Interview by telephone 10 percent but not less than 10 providers if applicable. ASK: - Were you given information regarding alternative payment policies? - Did you receive them at your initial in-service training or at a later date? If so, when?	- Determine through telephone contact that information is given to providers. - Minutes of meetings - Newsletter	
C.5d (APP) Agency sets forth the basis of provider participation, scheduled provider payments, and its complaint process. (CCR T5 18223, 18224, 18226)	District or agency - Review written materials.	- Provider handbook - Policies and procedures manual - Written agreement	
C.5e (APP) Communication among program staff is conducted in a variety of ways. (CCR T5 18274)	District or agency - Review written materials. - Interview designated staff.	- Internal memos - Bulletin boards - Newsletters - Written policies and procedures	
C.5f (APP) Written information about the alternative payment program is provided to the parent(s). (EC 8220; CCR T5 18222)	District or agency - Review all material which documents availability of information to parents.	- Newsletter - Handbook which includes: ● Definition of AP Program ● Rules and regulations ● Policies ● Information regarding confidentiality ● Right of parent to change care settings within budget constraints.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.6 All special requirements for the Resource and Referral (R&R) program are being met. *Primary tests* C.6a (R&R) The agency maintains a resource file, updated at least quarterly, which includes all licensed providers in the agency's geographic service area (unless provider is exempt from licensing requirements or provider has requested not to be included in the agency's resource file). (EC 8212(a))	District or agency - Review resource file. - Review written agency policies and other written materials made available to current and potential providers of child development services.	- Resource file contains service documentation: ● Provider's name, address, telephone number ● Fees charged ● Ages of children served ● License status (if applicable) ● Number of children for whom licensed ● Hours of operation ● Any special services offered	
C.6b (R&R) The Resource and Referral agency maintains individual files of licensed and exempt providers. (EC 8212(a))	District or agency - Review the provider files.	- Provider files include: ● Information on the type of program offered by the provider ● The provider's hours of operation ● The ages of the children served by the provider ● The fees charged by the provider including any fees for extra services or registration fees ● Any special eligibility requirement imposed by the provider ● Any special or significant information regarding the program provided by the provider ● Number of openings the provider has in the program	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.6c (R&R) Resource and Referral agency provides telephone referrals for a minimum of 30 hours per week and has office locations that are convenient to parents and providers. (EC 8212(b))	District or agency - Review agency's records documenting requests for services and referrals provided by the agency. - Interview appropriate staff. ASK: - How many hours per week does the Resource and Referral agency offer telephone referrals?	- Written policies stating that the agency provides telephone referrals for a minimum of 30 hours per week	
C.6d (R&R) Resource and Referral agency provides a variety of technical assistance to providers and potential providers of service. These technical assistance services include: - Information on all aspects of initiating new child care services including licensing, zoning, program and budget development, and assistance in finding such information from other sources - Information and resources which help existing providers maximize their ability to serve children and parents in their community - Dissemination of information on current public issues affecting delivery of child care services - Facilitation of communication between existing child care and child-related services providers in the community served (EC 8212(d))	District or agency - Review written materials available at the agency. - Interview appropriate staff. ASK: - How does agency facilitate communications with and between local services?	- Agency has: ● Copies (or summaries) of licensing laws, local zoning ordinances ● Books and/or articles about programs for children, articles on budget development and accounting ● Publications released by the Bureau of Labor Statistics, Department of Labor, Department of Finance, local Chamber of Commerce ● Publications describing pending legislation at both the state and federal level ● Notices of meetings held or to be held with those involved in child and family services	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.6e (R&R) The agency provides services which are responsive to the linguistic and cultural needs of the community. (EC 8213)	**District or agency** - Review written agency policies and other written material. - Interview program administrator and appropriate staff. ASK: - How does the agency provide services which are responsive to the linguistic and cultural needs of the community?	- Staff with the same linguistic and cultural background as the community being served - Materials written in the predominant languages used by the parents and providers	
C.6f (R&R) The agency maintains adequate documentation of requests for services. (EC 8212(c))	**District or agency** - Review agency's records documenting requests for services and referrals provided by the agency.	- Documentation includes: ● Number of calls received requesting services (the required minimum of 30 hours of telephone referrals per week) ● Ages of children for whom services are requested ● Time category of requests (full day, part day, evening, etc.) ● Reason child care is needed	
C.6g (R&R) The Resource and Referral agency has developed written referral policies which are available to parents and providers on request. (CCR T5 18244(c))	**District or agency** - Review the agency's written referral policies.	- Referral policies include: ● Referrals are available to all persons regardless of income ● A statement defining the conditions under which a provider may be removed from the provider file ● A statement that any information received from a parent will be considered confidential	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.6h (R&R) The Resource and Referral agency has developed and implemented a staff development program. (CCR T5 18274(a)(f))	**District or agency** - Review agency's plan for staff development. - Review notes of staff development meetings. - Review plans for staff evaluations. - Review written job descriptions. - Review orientation plan for new staff. - Interview appropriate staff. ASK: - How does staff communicate their staff development needs to agency management? - How does management communicate with staff? - Did you receive an evaluation in compliance with agency policy?	- The identification of staff training needs - Written job descriptions - An orientation plan for new employees - An annual written performance evaluation procedure (unless required more frequently by a collective bargaining agreement) - Staff development opportunities which include topics related to the employee's job description - An internal communications system that provides staff with information necessary to carry out his/her assigned duties	
C.6i (R&R) The Resource and Referral agency has developed and implemented written complaint procedures. (EC 62002 and 62003, former CCR T5 18247)	**District or agency** - Review the agency's written complaint policies and procedures.	- Procedures include: ● The procedures for the documentation and resolution of complaints ● The procedures for referring reports of licensing violations to appropriate agencies ● The conditions and procedures for discontinuing referrals to certain providers ● For discontinued providers, written notification to the provider which includes the provider's appeal rights	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.7 All special requirements for the School-Age Parenting and Infant Development (SAPID) program are being met.			
Primary tests C.7a (SPD) Every student claimed for reimbursement as a school-age parent meets the eligibility requirement. (EC 8397(b); CCR TS 18144)	District or agency - Review 10 percent or at least five enrollees from the latest enrollment attendance register.	- Verification that each enrollee meets all three of the following criteria: • Parent is eligible for enrollment in the seventh or eighth grade or enrolled in a secondary school. • Parent is working toward the completion of a secondary school education resulting in a diploma. • Parent needs care for his/her child in order to continue with his/her education. - The program does not specify a minimum or maximum age the child must attain to be eligible. (Note: The child remains eligible until his/her parents have graduated from high school.)	
C.7b (SPD) Priorities are established to admit school-age students into the SAPID program and the pregnant students and nonparent students into the parenting education component. (CCR TS 18145)	District or agency - Review prioritized list of admissions.	- Verification that: • The school-age parents are admitted first into the SAPID program. • Efforts are made to admit pregnant students and nonparent students into the parenting education component.	
C.7c (SPD) Pregnant students are informed of child care/development services in the SAPID program to help their necessary admission/transition into this program after the delivery of the baby. (CCR TS 18150)	District or agency - Review materials/documentation provided to pregnant students about child care/development services in the SAPID program.	- Verification that: • Pregnant students are informed of child care and development services provided in the SAPID program. • Pre-admission/transition into the SAPID program (after the delivery of the baby) provides adjustment in the student's parent's classes to help minimize the loss of school credits.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.7d (SPD) There is a planned education component. (CCR T5 18142(C)(D)(E)(F), 18166)	**District or agency** - Review the parenting education program plan.	- Verification that theory and a practicum course work outline are available.	
C.7e (SPD) The parenting education plan is being implemented. (CCR T5 18142(C)(D)(E)(F), 18166)	**District or agency** - Observe the instruction received by school-age parent and the practical experiences in the infant center.	- Verification that school-age parents and other participating students receive a parenting education program which balances theory and practicum and: ● The program is individualized to meet the students' linguistic, cultural, health, nutritional, social-emotional and academic needs. ● The curriculum includes physical development, family/life skills, family education, career education, and academic skills. ● The program includes observations and experiences in the infant center. ● The program provides instruction and practical experiences in child growth and development.	
C.7f (SPD) An Infant Center Advisory Council has been established. (CCR T5 18146, 18147)	**District or agency** - Review advisory council membership and minutes of the meetings.	Verification that: - The advisory council assists and evaluates the overall infant center program. - The council membership consists of: ● 50 percent parents and other participating students; and ● 50 percent other groups (school, community)	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.7g (SPD) School-age parents' health and social service needs have been identified and provided as needed. (CCR T5 18142(F), 18170, 18172, 18173, 18174)	**District or agency** - Select and review 10 percent of school-age parents' records but no fewer than five files. - Review needs identified.	- The records contain: • Identification of needs. • Record of follow-up procedures with parent to ensure that the needs have been addressed. • Record of group discussions or counseling and home visits.	
C.7h (SPD) Parents and/or children from other teen programs who are not subsidized under the SAPID contract are commingled with SAPID participants only with the advance written approval of CDD. (Agency Contract)	**District or agency** - Interview program director. ASK: - Are any parents or children who are enrolled not subsidized under SAPID?	- Verification that the contractor maintains advanced written CDD approval for a commingled program	
C.7i (SPD) Nonpregnant/nonparent students enrolled in the parenting education component are not to be supported by SAPID contract funds. (CCR T5 18162)	**District or agency** - Review enrollment attendance register and fiscal and attendance reports.	- Verification that nonpregnant/nonparent students are not counted as either pregnant students or school-age parents	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.8 All special requirements for the Family Child Care (FCC) and the Migrant Child Development (MIG) programs are being met.			
Primary tests C.8a (FCC) Communication among program staff is conducted in a variety of ways. (CCR T5 18274)	District or agency - Review written materials. - Interview designated staff. ASK: - How does communication occur among program staff?	- Internal memos - Bulletin boards - Newsletters - Written policies and procedures	
C.8b (MIG) Migrant specialized services are provided. If not a part of the agency's general program, the following may be claimed as "specialized services": ●Physical and dental screening ●Vision and hearing screening ●Follow-up medical and dental treatment (when no alternative funding is available) (EC 8232(c))	District or agency - Review documentation to determine the type of specialized services provided. - Review health and social services referrals. - Review documentation of staff development activities to verify that training is related to the special needs of migratory children. - Review activity plans for enrichment activities which specifically address the special needs of migratory children.	- Expenses are claimed and services are provided or documented. - Referrals are made and followed up when need is documented or observed. - Needed services are being provided when funds are available. - Staff development activities address the special needs of migrant children. - Enrichment activities are provided when expenditures are claimed.	

Key Strategy: *Nurturing conditions in the center are adequate and developmentally appropriate.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary Item **C.9 (GEN, SPS, SH, MIG, LKY, SPD)** **The site(s)/program appear appropriate and adequate to meet the needs of children.** (CCR T5 18020, 18167(l), 18169, 18273)	District or agency - Observe at the center (indoors and outdoors) during the times the children are present for a minimum of 30 minutes in the morning and 30 minutes in the afternoon (if applicable).	- Determine whether or not the activities occurring in the center are appropriate to the age and development of the children. Refer to the Child Development *Program Quality Review Instrument.* - Determine whether or not culturally relevant materials (i.e., materials related to the cultures represented at the center and/or other cultures) are present and whether or not linguistically appropriate activities (i.e., activities which support the child's dominant language while introducing English) are occurring. - The materials and equipment appear to be in sufficient number, in good repair, and appropriate to the ages of the children. - Adult-child interactions are positive, respectful, and supportive of the child. - There are no obvious health or safety deficiencies.	

Key Strategy: *Agencies have formulated and implemented a plan for parent involvement and education.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.10 (GEN, SPS, MIG, LKY) **Plans for parent involvement and education are developed and implemented.**			
Primary tests C.10a There is a written plan for parent involvement and education. (CCR T5 18275)	District or agency - Review parent meeting minutes for content. - Interview director. ASK: - Do you have a written plan for parent involvement and education?	- A written plan which includes but is not limited to: • Proposed dates for parent meetings • How parenting education topics are identified • Types of opportunities available for parents to participate in the program	
C.10b (GEN, SPS, SH, MIG, APP, FCC, LKY) The parent involvement and education plans are being implemented. (CCR T5 18275)	District or agency - Review the written plan. - Interview director. ASK: - Are regular parent meetings held? - How are parents notified? - How are topics for parenting education determined?	- Written verification that the plan is appropriate and includes the following: • Two scheduled parent-teacher conferences to discuss the child's progress annually • Records of parent meetings • A parent survey to determine if areas of parenting education and interests are conducted annually • Regular parent meetings with program staff • A parent advisory committee • An orientation for parents	

Key Strategy: *Agencies inform the community about their services and have a process for providing and referring families with sc[illegible] services or health care needs in the community.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.11 The agency has a written process for reaching out to the community to make it aware of the program and services and for informing parents/staff of available services.			
Primary test C.11a (GEN, SPS, SH, FCC, LKY, MIG, APP) The agency has implemented a written process for reaching out to the community. (CCR T5 18277)	District or agency - Review policies and procedures manual. - Identify person responsible for this task.	- Written process describing steps for informing community, such as newsletters, news releases, flyers, mailing list, speaking engagements	
Secondary tests C.11b (GEN, MIG, APP, SPS, SH, FCC, LKY) Agency has a community liaison who informs community of services. (CCR T5 18274(b), 18277(b))	District or agency - Review policies and procedures manual. - Identify person responsible for this task.	- Job description of community person with listed duties, such as speaking engagements, community service projects, demonstration projects to make community aware of resources	
C.11c (GEN, SPS, SH, MIG, APP, FCC, LKY) The agency has written information describing its program and who is eligible for services. (CCR T5 18150, 18222)	District or agency - Review written material that supports information regarding program availability.	- Brochures, parents' bulletin board, and parents' handbook	
C.11d (GEN, SPS, SH, MIG, APP, FCC, LKY) The agency distributes outreach information. (CCR T5 18277)	District or agency - Review process and materials to support outreach services.	- Newsletters - News releases - Flyers - Mailing list - Speaking engagements	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.11e (GEN, SPS, SH, MIG, APP, FCC, LKY) The agency maintains a file of available community resources to parents, including materials regarding free or low-cost health care and social services in the community. (EC 8203(c); CCR TS 18276(a)(2))	**District or agency** - Review materials that support availability of information to parents regarding health care and social services.	- Name and telephone numbers of health care and social service providers - Parents' bulletin board - Notes to parents - Newsletter - Announcement of community meetings - Parenting education meeting minutes - Resource book - Pamphlets - Brochures	
C.11f (GEN, SH, SPS, MIG, FCC, LKY) Families' health and social service needs have been identified and documented. (EC 8203(l), 8240(d)(e); CCR TS 18276)	District or agency - Review 10 percent of children's files but no fewer than five files where health and service needs have been identified.	- Health files containing: o Health care referrals o Social service referrals	
C.11g (GEN, SH, SPS, MIG, FCC, LKY) Parent conferences regarding health care needs have been held and documented. (CCR TS 18276(3))	District or agency - Select and review 10 percent of children's files but no fewer than five files.	- Parent conference sign-up sheet - Completed parent conference forms	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
C.11h (GEN, SH, SPS, MIG, FCC, LKY) Referrals are made to meet the needs of the child/family. (EC 8203(l)(m), 8208(h)(5)(r)(1), 8240(d)(e); CCR T5 18276(2))	District or agency - Review written material. - Select 10 percent of children's files but no fewer than five files.	- Referrals to health care and social service providers - Evidence of efforts to secure needed health care services - Communication with parent regarding follow-up on referrals - Written materials include referral information about services, such as: • Child health • Housing • Food stamps • Social services • Special needs - Referral to health care and/or social services	
Key Strategy: *Agencies have a plan to evaluate annually the program to determine whether or not the program goals and objectives are being met.*			
Primary item C.12 (GEN, SH, SPS, MIG, LKY, FCC, APP, R&R) The agency has developed and implemented an annual evaluation plan that determines if the program goals and objectives are being met. (CCR T5 18279)	District or agency - Review the agency's evaluation plan to ascertain if the plan has been implemented. - Review the agency's self-assessment to ensure that it was completed in accordance with instructions specified by the Child Development Division and was included in the evaluation process. - Review the annual evaluation plan to ascertain whether the evaluation plan includes assessment of the program by parents. - Review the evaluation plan to ascertain whether the goals and objectives have been modified due to assessment or evaluation input.	- Verification that the agency's self-assessment was included in the evaluation plan - Assessment and evaluation data and input from students, parents, staff, board, and community	

Program

All Consolidated Programs

Note: The following CCR instruments were affected by the June 30, 1987, "sunset" of five categorical programs. All Consolidated Programs, Compensatory Education, State Program for Students of Limited-English Proficiency (LEP), School Improvement, and Miller-Unruh Reading. These instruments were significantly revised in 1987 to reflect the "sunset" provisions and to follow the Department of Education's August 26, 1987, Program Advisory on this subject.

For the "sunset" programs, the Department has the responsibility to "audit the use of such funds to ensure that such funds are expended for eligible pupils according to the purposes for which the legislation was originally established for such programs" (EC 62003). The Department will carry out this responsibility through the continuation of the CCR process. The Department continues its work with other key agencies and individuals to clarify the effects of Education Code sections 62000-62007 on program operation. Nevertheless, these instruments are used to determine **official** compliance and noncompliance of local educational agencies during 1989-90.

Program Goals

Compensatory Education--To expand and improve the educational achievement of educationally disadvantaged students

State Program for Students of Limited-English Proficiency (LEP)--To develop fluency in English in each student as effectively and efficiently as possible, promote students' positive self-concepts, promote cross-cultural understanding, and provide equal opportunity for academic achievement, including, when necessary, academic instruction through the primary language

School Improvement Program--To encourage school improvements (K-12), through a collaborative decision-making process within the school community to meet the educational, personal, and career needs of every student in a timely and effective manner

Miller-Unruh Reading Program--To prevent and correct reading disabilities at the earliest possible time in the education of the student

ECIA, Chapter 2--To improve elementary and secondary education in public and private nonprofit schools.

Neglected or Delinquent Program--To assist students in acquiring knowledge and skills necessary to participate effectively in society

Program: All Consolidated Programs

Key Strategy: *LEAs have developed a management system to support and monitor compliant school and district plan/program development and implementation.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Con.1 Each participating school is implementing an approved plan that describes the program for each consolidated program funding source. (EC 64001(a),(c))	District - Compare district process for reviewing and approving school plans with page 27 of the Consolidated Application Site - Review school plans. District or Site - Interview key planners. ASK: - Was the school plan modified to implement recommendations from the "Report of Findings" of the latest Program Quality Review?	- Date the plan was approved by the local governing board - The school site council has annually reviewed the school plan, established a new budget, and if necessary, made other modifications in the plan to reflect changing needs and priorities. - The plan accounts for all program services provided by consolidated programs. - The school plan contains improvement activities designed to meet the educational, personal, and career needs of the under-achieving, average, special education, gifted, and limited-English-proficient students.	
Primary item **Con.2 Results of an annual evaluation demonstrate that the district and each participating school are implementing consolidated programs that are not of low effectiveness, under criteria established by the local governing board.** (CCR T5 3942(3))	District or Site - Review criteria established by the local governing board. - Interview members of district and school site advisory councils. ASK: - Do consolidated programs meet the effectiveness standards established by the local governing board? - Do evaluation data demonstrate that Consolidated Programs are effective with all special need student populations, or do the data demonstrate improvement over previous years?	- The local governing board has established criteria to determine that Consolidated Programs are not of low effectiveness. - Districts are encouraged to consider: • Characteristics of effective schools as found in the *Program Quality Review*, including such criteria as academic focus, rigorous content, a safe and orderly environment, coordinated curriculum, and others - The effects of instruction on students: • Test scores • Other kinds of measures: criterion-referenced measures, writing samples, papers, final exams, and teacher judgment	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Con.2 (continued)		- The effects of scheduling on students, such as attendance records, employee reports, dropout rate, expulsions, parent complaints, students with high self-esteem, and participation in school activities - Other criteria established by the local governing board	
Primary item **Con.3 The district has established complaint procedures to ensure a 60-day* response to complaints pertaining to consolidated programs.** (CCR T5 3951; CFR 200.73, 200.74, 200.75) *Uniform complaint procedure.	District - Review written district complaint procedures. - Interview members of district and school advisory councils. ASK: - How has the district disseminated the procedures to advisory committees, administrative and instructional staff, and interested parties? - How are complainants informed regarding their right of appeal to the SDE when dissatisfied with the LEA disposition?	Written procedures include: - An investigation of the complaint, providing an opportunity for the complainant, the complainant's representative, or both, to present evidence relevant to the complaint. - The preparation of a written report on the findings, disposition of the complaint, and the rationale for such disposition. This report shall be in English and, when necessary, in the language or mode of communication best understood by the complainant. The report shall include a notice of the complainant's right to review the decision and appeal to the State Department of Education (SDE) and a copy of the procedures for such appeal. - Dissemination, free of charge, of information concerning these procedures to interested parties, including all district and school advisory councils.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Secondary item **Con.4 Each school operating categorical programs (e.g., SIP, SBCP, SB 65, ECIA-SCE, and SB 1882) has had an on-site program quality review (PQR) conducted at least once every three years, unless authorized to be conducted once every four, five, or six years.** (EC 64001(c))	District - Identify the program review cycle on page 24 of the Consolidated Application. Site - Review the Report of Findings from the last PQR. - Review the school's triennial Self-Study in which it compares it [illegible] gram with each of the quality criteria. - Review evidence that the school is implementing the Suggestions and Assistance Action Plans generated by the last PQR (for 5- and 6-year cycles only). - Review any waivers affecting the program review cycle. - Review documentation that the school was nominated or recognized as a California Distinguished School (for 5- and 6-year cycles only).	- Determine that a PQR was conducted on a 3-year cycle, unless the school obtained a waiver or had applied for and met the criteria for one of the following cycles: *Schools with a 4-year cycle have the following documentation:* ● Written assurance from the district superintendent that the school's program is effectively managed ● Self-Study Report or the schedule for conducting the Self-Study this year ● Minutes of SSC and appropriate advisory committees showing their agreement with the extended cycle *Schools with a 5- and 6-year cycle have the following documentation:* ● Schools meet criteria for 4-year cycle. ● Self-Study has been submitted to the Office of School Improvement with a letter indicating the intent to conduct its next review on a 5-year cycle. ● Evidence that the school(s) are addressing the needs for improvement identified in the last PQR. ● School(s) were nominated for and participated in reviews for the California Distinguished Schools Award. *Schools with 6-year cycle have the following documentation:* ● Schools meet criteria for the 4- and 5-year cycle. ● School(s) selected as a California Distinguished School. ● Plans contain articulation strategies that link sites/district with institutions of higher education, county offices of education, agencies, or other organizations, including consortia, for the purpose of improving the instructional program.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Con.4 (continued)		*WASC/SDE Joint Process:* an exception to meeting the above-mentioned criteria may be made for middle schools or high schools which have conducted a WASC/SDE Joint Process Review. SDE will recognize any accreditation cycle, up to six years, granted to a school by WASC as a result of a Joint Process Review.	
Key Strategy: *LEAs serve eligible students in eligible schools in nonisolated and nonsegregated classrooms.*			
Primary item **Con.5 The program using consolidated programs funds does not isolate or segregate students on the basis of race, ethnicity, religion, sex, or socioeconomic status.** (U.S. Constitution, Fourteenth Amendment; Calif. Constitution, Art. I, Section 7(a); Government Code 11135: 42 USC 2000(d); CCR T5 3934)	Site - Observe the students in the classrooms and other facilities. - Review class lists. - Interview staff. ASK: - Who determines class assignments? - How are classroom assignments determined? - What is the composition of the classes? - Do the criteria for classroom assignment result in isolation, segregation, or tracking?	The program does not: - Create special tracks for the educationally disadvantaged. - Establish adjustment, pregrade, or junior grade classes for the educationally disadvantaged. - Physically isolate students from their classmates on a scheduled daily basis except for: *Elementary students*--On a temporary basis as a result of a comprehensive diagnostic assessment until the diagnosed need has been alleviated *Secondary students*--These students may be assigned to a special class for the equivalent of one or more periods provided that such assignment is based on a comprehensive diagnostic assessment of student needs and such assignment will terminate when the diagnosed need has been alleviated as determined by assessments and preestablished exit criteria.	

Key Strategy: *LEAs are accountable for funds used to hire staff and to purchase equipment and services which supplement general fund programs.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Con.6 Personnel, contracts, materials, supplies, and equipment purchased with Consolidated Application funds supplement the basic public and nonpublic education programs.			
Primary test Con.6a Personnel and contracts purchased with Consolidated Application funds supplement and do not supplant the basic education program. (PL 100-297, 1018(b), 1571(b); EC 62002, 52161, 52168(a), 52034(i), 52035(c)(1))	**District** - Review a copy of the current Consolidated Application and school plan(s). - Examine personnel records, including job descriptions, to determine the assignments and duties of persons funded by consolidated programs. - Review a sample of contracts. - Review district process for approving contracts. - Interview representatives from the consolidated programs office. ASK: - How are staff, materials, equipment and supplies purchased with Consolidated Application funds supplementary to the district-funded program? **Site** - Interview staff paid from Consolidated Application funds. ASK: - Do you know which fund(s) support your position? - Do you know the criteria for the selection of project participants? - How are the services provided to identified participants supplementary to the regular program?	- Job descriptions outline allowable funding source functions which constitute supplementary services. - Employee knows funding source of his or her position. - Employee response that job descriptions are valid and that services provided are supplementary in nature	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Secondary tests **Con.6b** When positions are multifunded, there is written evidence that the duties performed and the proportion of time spent for those duties are appropriate to the funding sources used. (EC 62002, CCR T5 3941)	Site - Determine funding sources and amount of each. - Review time accounting forms, work schedules, task analyses, etc. - Review school plans. - Interview multifunded staff. ASK: - Which funding sources support your position? - How is your time accounting recorded?	- Supplementary services can be separately identified and are proportionately charged to the multifunded activity.	
Con.6c Services, equipment, materials, and supplies purchased with funds from a Consolidated Program source are used to meet the special educational needs of students eligible for service from that source. (34 CFR 204.22; EC 62002, 52035(e)(1); CCR T5 3944)	District and Site Review inventory/invoices. - Review school plans. Site - Review a sample of purchase orders. - Observe the use of such purchases. - Interview staff regarding the use of categorical equipment, materials, supplies. ASK: - Are eligible program participants using equipment, materials, and supplies purchased with Consolidated Application funds?		
Con.6d Equipment purchased with Consolidated Program funds is labeled with the name of the funding source, an identification number, and the name of the district. (CCR T5 3944, 3946)	District and Site - Review equipment inventories. Site - Review labels on a sample of equipment.		

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Con.6e A control system is in effect to prevent loss, damage, or theft of equipment purchased with Consolidated Program funds. (CCR T5 3946)	Site - Inspect property room for safety provisions. - Review inventory for incidence of losses. - Interview staff. ASK: - What are procedures for checkout/in of equipment?	- Safety provisions (locks, freedom from fire hazards, etc.) - Incidence of losses indicated on the inventory - Written evidence regarding checking out/in of equipment	
Primary item **Con.7 At least 85 percent of the funds for SIP, Chapter 1, Economic Impact Aid (State Compensatory Education and Limited-English-Proficient), and Miller-Unruh are spent for direct services.** Note: See Program Advisory CIL: 83/4-11. This item is applicable for SBCPs. (EC 6[illegible]1)	District - Review the expenditure records of the specified program. - Interview project coordinator. ASK: - How do you control expenditures so that at least 85 percent of the funds are spent on direct services to children?	- At least 85 percent of the funds spent are related to curriculum and development where pupils are the direct recipients or beneficiaries.	

Program

Compensatory Education *

Program Goal

To expand and improve the educational opportunities of educationally disadvantaged students to succeed in the regular program

Key Strategies

- *LEAs serve eligible students in eligible schools.*
- *LEAs provide educational services on the basis of assessment and evaluation data, program improvement strategies are implemented as appropriate.*
- *Staff development and innovation projects are based on the LEA's plans and are evaluated annually*
- *LEAs are accountable for the services which supplement district and state general funds.*
- *LEAs provide services of sufficient size, scope, and quality, and these services are coordinated with regular and special educational services.*
- *Schoolwide Project (SWP). Alternative planning and implementation provisions to improve the educational program are available for schools that meet the eligibility cr* *ia.*
- *Equitable ESEA, Chapter 1, services are provided for students in private schools.*

* This compliance instrument applie to compensatory education services to all American Indian students.

Program: Compensatory Education

Program Goal: To expand and improve the educational opportunities of educationally disadvantaged students to succeed in the regular program

Key Strategy: *LEAs serve eligible preschool through twelfth grade students in eligible schools.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
CEP.1 School eligibility is determined by using uniform criteria for Chapter 1 (Ch.1) and State Compensatory Education (SCE).			
Primary tests **CEP.1a** The district has evidence that the schools to be served with Ch.1/SCE funds, as identified in the Consolidated Application, are actually being served. (PL 100-297, 1013(a)(b)(c); 34 CFR 200.20(a)(2); EC 62002; CCR T5 4411, 4412)	**District** - Visit a sample of schools. - Compare the Consolidated Application with evidence of schools actually being served.		
CEP.1b Documentation on file at the district office for Ch. 1 indicates: - Participating schools are located in attendance areas having high concentrations of low-income students; or - Participating schools have a relative degree of concentration of low-income students within 5 percentage points of the districtwide average. (PL 100-297, 1013(a)(1-3); 34 CFR 200.30)	**District** - Review the documentation for the district-established criteria for the selection of schools.	- Criteria, based on the best available data, may include AFDC count, free and reduced lunches, or a combination of these two.	
Note: This item is not applicable to LEAs with fewer than 1,000 enrollment nor to districts that have a single attendance area. (34 CFR 200.30(b)(6))			

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
CEP.1c Documentation on file for SCE indicates that the district is implementing an approved allocation procedure for Economic Impact Aid (EIA/SCE) funds. (EC 62003; CCR T5 4201, 4410)	District - Compare the Consolidated Application's allocation plan (page 38) with the distribution of EIA/SCE funds.		
CEP.1d Schools are ranked appropriately, and supportable documentation is on file. (PL 100-297, 1013(a); 34 CFR 200.20(a)(2); EC 62002; CCR T5 4412)	District - Review the ranking of schools as listed in the Consolidated Application (page 16).	- Documentation confirms that schools are ranked according to the State Board approved Consolidated Application.	

Key Strategy: *LEAs provide educational services on the basis of assessment and evaluation data, program improvement strategies are implemented as appropriate.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
CEP.2 The LEA provides individual student assessment for identification and program assessment for program evaluation and improvement.			
Primary tests **CEP.2a** Each Ch.1/SCE participant's needs have been consistently identified annually and assessed with objective educational criteria established by the district. Documentation for public school participants is on file at each site. (PL 100-297, 1014(b); 34 CFR 200.31(b); EC 62002; CCR T5 4414)	**Site** - Review the list of identified public school and private school Ch.1/SCE participants and determine if the district-approved criteria are used in the selection process. - Review assessment results from a sample of participants. - Compare assessment results with services offered. - Interview staff. ASK: - What type of criteria was used to assess needs? - Is the assessment instrument aligned with what is being taught in the district course of study?	- A consistent use of written or oral criteria to identify students - Services match assessed need.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
CEP.2b Ch.1 funds are used to provide supplementary educational services to LEP and/or handicapped students when they meet the criteria of the February 9, 1988, Department Program Advisory and the Ch.1 law. (PL 100-297, 1014(d); 34 CFR 200.31(5)(i)(A)(B)(ii))	Site - Review the eligibility list and documentation the LEA used to determine that Ch.1/LEP and/or handicapped students are assessed correctly.	- LEP and/or handicapped students receiving Ch.1 services are being served because of needs stemming from educational deprivation and not related solely to their limited-English proficiency or handicapping condition.	
CEP.2c A procedure for evaluating the effectiveness of the Ch.1/SCE program has been established based on desired outcomes in the consolidated programs application. (CFR 200.35(a))	Site - Review the LEA-established criteria for evaluating the effectiveness of Ch.1/SCE. - Review the desired outcomes.		
CEP.2d The Ch.1 evaluation includes individual student achievement using objective measurements of educational achievement in basic and more advanced skills. (PL 100-297, 1019(a); 34 CFR 200.35(a)(1)(i); EC 62002 62003; CCR T5 4422)	District - Review district evaluation results. - Interview appropriate staff. ASK: - What instruments or processes are used to measure participants' achievement in basic/advanced skills? - How are advanced skills assessed?	- Tests used include items that measure basic skills and more advanced skills. - The results are objective. - Tests are aligned with what is being taught.	
CEP.2e A determination has been made on whether there has been improved performance for Ch.1 participants sustained over a period of more than 12 months. (PL 100-297, 1021(a)(2); 34 CFR 200.35(2)(i)(ii)) Note: Students served in kindergarten and first grade are not subject to this provision. (PL 100-297, 1019(c); 34 CFR 200.35(B))	District - Evaluate the growth of Ch.1 students from the sustained effects study over a period of three data collection points. - Interview appropriate staff. ASK: - Has the district identified a research question regarding sustained effects? - What grade levels/curriculum content are involved? - How are student gains measured? - What are the three data points for the study? - When will the study be completed? - How will the results be communicated and used?	- Local objectives of the sustained effects study - Testing schedule	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
CEP.2f The LEA conducts an annual review of program improvement at each site and works with the schools that do not meet the desired outcomes described in the school site plan. (PL 100-297, 1021; 34 CFR 200.38(a))	District - Review the district's plan to determine the appropriateness of strategies to be used to obtain the desired objectives. - Interview appropriate staff. ASK: - Which schools have been identified as not meeting the desired outcomes? - What strategies are being employed for improvement in these schools?	- Strategies that have been effective, based on research, i.e., cooperative learning, study groups for homework, technology, tutoring, etc.	
CEP.2g Students identified as not making the required "substantial progress toward meeting the desired outcomes in the consolidated application have had their services modified. (PL 100-297, 1021(f); 34 CFR 200.38(d)(i)(ii)(2))	District - Review the plans to identify students and modify services to these students. - Interview staff. ASK: - Which students have been identified as not making substantial progress? - What changes have been made in the services? - Were these changes discussed with the identified students and parents? - Are the Ch.1 services coordinated with other services received by these students? - Is there ongoing monitoring to determine academic progress of these students?	- Services are being provided that are improving the academic performance of these students and performance is sustained more than a year.	

Key Strategy: *Staff development and innovation projects are based on the LEA's plans and are evaluated annually.*

CEP.3 LEAs that use Ch.1 funds for staff development shall implement a plan.			
Primary tests **CEP.3a** The staff development plan was developed in consultation with the entire staff to meet the needs of compensatory education participants. (PL 100-297, 1011(a), 1012(a-c); 34 CFR 200.4(b)(4)(6))	Site - Review the documentation that describes the development of the staff development plan.		

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
CEP.3b The staff development activities meet the needs of the compensatory education participants. (PL 100-297, 1011(a), 1012(a-c); 34 CFR 200.4(a)(4),(6),(2)(iv))	Site - Match the contents of the staff development plans with the assessed needs. - Review the evaluation results to determine effectiveness.	- Evaluation results that reflect appropriate needs of staff development	
Primary item **CEP.4** Innovation projects are operated according to statute			
Primary tests **CEP.4a** LEAs that use Ch.1 funds for innovation projects have an SDE-approved description on file for review. (PL 100-297, 1011(b); 34 CFR Part 75 et al., 200.4(d)(2))	District - Review the approved innovation project plan. Site - Sample the activities to determine how the project is being implemented. - Interview staff. - Interview parents. ASK: - To what extent were you involved in the development of the plan? - How do the plan activities directly help compensatory education students to achieve grade level proficiency in basic and advanced skills? - What are the innovative activities being implemented? - Do they match the description in the approved plan (Consolidated Application, pages 21 and 22)	- Plan that describes that one or more of the following innovation provisions is being implemented: ● Maintenance ● Desegregation ● Incentive payments ● Training ● Parent involvement ● Community/private sector	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
CEP.4b A maximum of 5 percent of the total LEA Ch.1 allocation may be used for innovation projects. (PL 100-297, 1011(b); 34 CFR Part 75 et al., 200.4(d)(1))	District - Review district budget to determine the amount of funds allocated for innovation projects in all project schools. Site - Review the site plan budget allocation. - Interview staff - Interview parents. ASK: - How do the funds spent for innovation projects promote quality in the Ch.1 program? - What process was used to determine which innovation projects to fund?	- Documentation that funding for innovation projects does not exceed 5 percent. - Activities conducted include only allowable projects, as outlined in the statutes.	

Key Strategy: *LEAs are accountable for the services which supplement district and state general funds.*

CEP.5 Compensatory education funds are used for conferences and other meetings only when they meet the criteria of the November 9, 1984, Department Policy Memo.			
Primary tests **CEP.5a** The LEA-approved conferences are relevant to the compensatory education programs. (PL 100-297, 1011(2), 1451(c); EC 44032, 62002; CCR T5 4400)	District or Site - Review the list of district approved conferences. - Review school plans. - Review documentation of need for attending the conference/meeting. Interview staff. ASK: What is the benefit to the students of attending these conferences?	- Local board has approved all conferences/meetings through the Consolidated Application, school plans, or another district-approved process. - School plans list the types of conferences/meetings. - Assessment in both district and school documentation clearly identifies need.	
CEP.5b Ch.1 conference attendees have compensatory education responsibilities. (PL 100-297, 1451(c); 34 CFR 200.70(e)(1)(i))	District - Review list of attending staff and their assignments.		

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Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
CEP.5c Ch.1 costs incurred are documented as reasonable and necessary. (PL 100-297, 1451(c))	District - Review purchase orders, travel claims, trip forms, and related documents.	- Records show that costs charged for compensatory education are necessary and reasonable according to the criteria in the November 9, 1984, policy memo. - The nearest location to the district was selected.	
CEP.5d A copy of the conference agenda, written report, fiscal records, and dissemination plan are maintained in the district file according to the mandate of the policy memo. (PL 100-297, 1451(c); 34 CFR 200.70(e))	District - Review the conference-related files.	- Records are on file to document that the conference information has been disseminated to appropriate staff/parents/councils pursuant to the mandates of the policy.	
CEP.6 Expenditures for field trips with compensatory education funds are allowable when they meet the criteria of the November 9, 1984, Department policy memo.			
Primary tests			
CEP.6a Documentation relating the student needs to the trip is on file at the site. (PL 100-297, 1011(2), 1451(c); 34 CFR 200.70(e) EC 62002; CCR T5 4400)	Site - Review a sample of school plans for needs assessment.	- A local assessment in the school plan clearly identifies the need. - Field trips are described briefly in the school plan and approved by the local board of education.	
CEP.6b Ch.1 costs incurred are documented as reasonable and necessary. (PL 100-297, 1451(b)(c); 34 CFR 200.70(e))	Site - Review the documentation of field trip costs. - Interview staff. ASK: - How do the field trips relate to the improvement of the education of the compensatory education students?	- The field trip costs bear a direct relationship to the benefit of the field trip activity.	
CEP.6c A copy of the field trip program and fiscal records are maintained at the school site and are used to provide follow-up activities to students, according to the mandates of the November 9, 1984, SDE policy memo. (PL 100-297, 1451(c); 34 CFR 200.70(e))	Site - Review field trip documentation, including reimbursement forms for transportation fees if applicable.	- The school has provided follow-up activities utilizing the knowledge gained from the trip. - Documentation for those activities.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **CEP.7 Public school personnel, at school site, who are funded entirely by Ch.1 may be assigned limited supervisory duties for the same proportion of time as other similarly situated personnel or one period per day, or 60 minutes, whichever is less, at the same school site.** (PL 100-297, 1451(c); 34 CFR 200.39(a)(b)(c))	Site - Review staff duty records. - Interview appropriate staff. ASK: - What percent of your time is devoted to supervisory duties, including time to conduct program quality reviews (PQRs)?	- Personnel funded entirely out of Ch.1 funds may be assigned to conduct PQRs only if similarly situated personnel at the same school site are also assigned the same duties. - Personnel funded entirely out of Ch.1 funds may be assigned to conduct PQRs for no more time than other similarly situated staff work or one period per day. - Records show that criteria permitting the use of Ch.1 funds for PQRs as outlined in the June 26, 1987, policy memo (CIL 86/7-14) are being followed. - Records of other limited supervisory duties.	
Primary item **CEP.8 For personnel funded, at the school site, from Ch.1 and state or local funds, time assigned to noninstructional duties is funded from state or local sources.** (PL 100-297, 1451(a); 34 CFR 200.39(a)(b)(c))	Site - Review staff duty records. - Review appropriate Ch.1 staff payment schedules. - Interview appropriate staff. ASK: - Do you conduct PQRs? - What funding sources are you paid from while you are conducting PQRs?	- Personnel funded partially from Ch.1 and state or local funds and who are performing PQRs and other noninstructional duties are doing so during the portion of time funded from the non Ch.1 sources. - Time accounting records reflecting proportions.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
CEP.9 An LEA may receive Ch.1 funds if state and local funds remain comparable to the funds in schools that are not receiving Ch.1 funds.			
Primary tests **CEP.9a** The LEA checks comparability annually to determine that there: - Is a districtwide salary schedule. - Are comparability records that include a policy ensuring equivalence among schools in teachers, administrators, and auxiliary personnel. - Are comparability records that include a policy ensuring equivalence among schools in the provision of curriculum materials and instructional supplies. (PL 100-297, 1018(c)(2); 34 CFR 200.43(i)(A)(B)(C))	District - Review the districtwide salary schedule. - Review the policy that ensures equivalence of staff and materials.	- Established policies are being implemented.	
CEP.9b The LEA has established procedures for maintaining compliance with this provision and maintains annual records for documenting compliance. (PL 100-297, 1018(c)(1)(B)(3); 34 CFR 200.43(e)(f))	District - Review the documentation and procedures supporting this assurance.	- Established procedures are being implemented.	
Note: An LEA may exclude state and local funds expended for SCE, SIP, LEP, or special education from comparability. (PL 100-97, 1018(d); 34 CFR 200.45(a)(2)(i)(ii)(iii),(2); EC 62002; CCR T5 4424)			

Key Strategy: *LEAs provide services of sufficient size, scope, and quality, and these services are coordinated with regular and special educational services.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **CEP.10 All LEAs receiving Ch.1/SCE funds provide services to improve achievement in basic and advanced skills that are of sufficient size, scope, and quality to give reasonable promise of substantial progress toward meeting the educational needs of compensatory education students.** (PL 100-297, 1001(b), 1012(c)(1); 34 CFR 200.32; EC 54000, 62002, 62003)	District or Site - Review purchase records. - Compare purchases to program description. - Review compensatory education services to determine that they support the district course of study. Site - Review the results of program quality reviews. - Interview site staff. ASK: - How is the assistance plan, developed after the PQR, being implemented? - How do the Ch.1 services relate to the district course of study? - Interview students.	- Ch.1/SCE funds are purchasing services of sufficient size in order to make substantial progress toward meeting their educational goals. - Achievement data that show the students are learning the district course of study. - The district course of study is supported by the compensatory education services. - The school is implementing the "assistance/action plans" from the program quality review for compensatory education students. - Ch.1 services are provided primarily by certified staff. - Opportunities exist for students to participate regularly in learning activities beyond the basic skills	
Primary item **CEP.11 Compensatory education funds are used to support the district's course of study for participating students.** (PL 100-297, 1001(b); 34 CFR 200.44(a))	Site - Review the site plan to determine the use of the funds. - Interview site staff. ASK: - Are compensatory education students learning the district's course of study or an alternative curriculum? - If the students are pulled out of the regular program, are services coordinated with the regular compensatory education program?		

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **CEP.12 All LEAs allocate time and funds to coordinate Ch.1 services with the regular and special instructional services.** (PL 100-297, 1012(c)(3)(4); 1005(d); 34 CFR 200.20(a)(10)(1)(D)(E), 200.1(a)(3))	**Site** - Review the site plan to determine how services are coordinated. - Interview staff. ASK: - How are Ch.1 staff/materials coordinated between the regular program and LEP/ special education/American Indian Johnson O'Malley Title IV?	- Site plan that clearly demonstrates coordination is being implemented.	
Primary item **CEP.13 The costs of coordinated services are reasonably apportioned among regular, LEP, handicapped, and Ch.1/SCE.** (PL 100-297, 1012(c)(3)(4); 34 CFR 200.20(a)(10)(1),(E))	**Site** - Review budget. - Interview staff. ASK: - What are the benefits of coordinating services at the school site? - Does the school have an allocation plan/ procedures for multi-funding the coordination of services?	- Documentation to support the apportionment of costs to each funding source.	
Key Strategy: *Parents and staff are involved in the planning, implementation, and evaluation of programs in support of the education of their children.*			
CEP.14 Required parental involvement procedures have been implemented with sufficient size, scope, and quality to guarantee substantial progress to meet the goals of this provision.			
Primary tests **CEP.14a** Written policies and goals describing the parent involvement activities are developed in consultation with parents. (PL 100-297, 1016(b)(c); 34 CFR 200.34(c)(1)(i))	- Review the local board minutes to determine when the policies were adopted. - Review the policies to determine whether they contain the goals. - Interview paid staff/volunteers. ASK: - Are the strategies effective? - What training has been provided for strategies to use with children at home?	- Documentation that the parents were consulted in the development of the policies. - The policies meet the size, scope, and quality test of making "substantive" progress meeting the established goals as evidenced by the documentation (sign-in sheets or contracts). - Parent involvement plan that contains a variety of quality activities that appear to meet the needs of the compensatory education students in mastering the district course of study.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
CEP.14b Parent-teacher conferences have been held to discuss each participating child's placement, progress, and methods by which parents can support the child's instruction. (PL 100-297, 1016(c)(3); 34 CFR 200.34(c)(3)(ii))	District or Site - Interview parents. ASK: - What discussion with school personnel provided awareness of student placement and progress? - What methods are you using to support your child's instruction?	Notice of parent/teacher conferences.	
CEP.14c An annual meeting for Ch.1 parents has been held to explain the Ch.1 program and activities. (PL 100-297, 1016(c)(2); 34 CFR 200.34(c)(2))	District or Site - Review documentation regarding the annual meeting. - Interview Ch.1 parents. ASK: - When was the Ch.1 program explained to parents?	- A notice of the meeting and the results of the meeting. - The notice is in the language that is understood by the parents.	
CEP.14d Parents of participating Ch.1 students have had an opportunity to request regular meetings of parents to formulate parental input on the program. (PL 100-297, 1016(c)(4); 34 CFR 200.34(c)(4))	District or Site - Interview Ch.1 staff and parents. ASK: - Have you been given information about the Ch.1 program? - What input have parents had in the formulation of the program?	- Agendas of planning sessions.	
CEP.14e Teachers and other staff involved in Ch.1 have had an opportunity to be trained on effective parent involvement techniques. (PL 100-297, 1016(b)(3); 34 CFR 200.34(e)(6))	District or Site - Interview Ch.1 staff and parents. ASK: - What training have you received regarding effective parent involvement techniques? - What training have you received to help you assist your child at home?		
CEP.14f Parents receive Ch.1 information in a timely manner, and in a form and language they can understand. (PL 100-297, 1016(c)(4B)(6)(c); 34 CFR 200.34(c)(9))	District or Site - Interview parents. ASK: - What communications have you received regarding the Ch.1 programs?	- Samples of communications that have been sent to the Ch.1 parents.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
CEP.14g The LEA annually assesses the parent involvement activities to determine their effectiveness. (PL 100-297, 1021(a)(4); 34 CFR 200.34(d))	**District or Site** - Interview parents; ASK: - How have the parent involvement activities benefitted the academic improvement of your child? - Interview district staff; ASK: - If survey is used, what are the results?	- Assessment results on file and shared with parents/staff.	
CEP.14h Parents cooperate with the school by reinforcing their children's training at home. (PL 100-297, 1016(c)(6); 34 CFR 200.34(b)(2))	**District or Site** - Interview parents to determine how they are working with their children at home; ASK: - Do you cooperate with the school by reinforcing your child's education at home?	- Improved academic achievement because of involvement. - Parent training activities to allow them to reinforce students' schoolwork at home.	
CEP.14i Ch.1 parent involvement services are coordinated with adult education. (PL 100-297, 1016(d); 34 CFR 200.34(c)(8))	**District** - Review documentation about coordination with adult education, if appropriate.	- Opportunities for parents to develop literacy and/or English skills	
CEP.14j A district advisory council (DAC) for SCE has been established and meets the following criteria: - A majority of members of the SCE DAC are parents who reside in the district. - Parent representatives were elected by resident parents of students in the SCE program. Note: In a single school district, the DAC may request the SSC to function as the DAC for a period of up to two years. (EC 62002.5)	**Site** - Review minutes of DAC meetings, agendas, etc. - Review documentation on the DAC election. - Interview DAC members; ASK: - How were you selected to serve on the DAC?		
CEP.14k Each school receiving SCE funds has established a school advisory committee (SAC) using the following criteria: - A majority of the members of the SCE SAC are parents. - Parent representatives were elected by parents of students in the CE program at that school. - If EIA Schoolwide Project (SWP) program options are used, the SAC reviewed the implementation of such options. (EC 62002.5) Note: The SAC may elect to have the SSC be its representative body, under certain circumstances, for a period of up to two years.	**Site** - Review the school site documentation on the election of the SAC. - Review the SAC minutes if there is an EIA SWP program. - Review minutes of the SAC to verify it decided to have the SSC take over its responsibilities. - Interview SAC members; ASK: - How were you selected to serve on the SAC? - Do parents elected by parents of CE students constitute a majority on the SAC? - Who elected SAC members?		

Key Strategy: *Schoolwide Project (SWP): Alternative planning and implementation provisions to improve the educational program are available for schools that meet the eligibility criteria.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
CEP.15 The school district and school operating a SWP improve the entire educational program for participating students.			
Primary tests **CEP.15a** Not less than 75 percent of the students are from low-income families, based on the LEA criteria for low income. (PL 100-297, 1015(a); 34 CFR 200.36(2))	**District** - Review the school eligibility documentation.		
CEP.15b There is evidence that the average per-pupil expenditure exceeds or equals the per-pupil amount for all compensatory education students in other such schools. (PL 100-297, 1015(6)(a); 34 CFR 200.36(c)(1))	**District** - Review documentation that shows levels of funding for other project schools. (Consolidated Application)	- Data that show the Ch.1 fund allocation is the same or more than for other compensatory education schools.	
CEP.15c There is evidence that the average per-pupil expenditures for the SWP (excluding SCE) for the year the plan is implemented are not to be less than the previous fiscal year. (PL 100-297, 1015(6)(a); 34 CFR 200.36(1)(c)(2))	**District** - Review documentation that show levels of funding in previous fiscal year and compare with present fiscal year funding.	- Data that show the other categorical funding is not less than it was in the previous year.	
CEP.15d A plan has been developed for each SWP school, has been approved by the SEA, and is being implemented. (PL 100-297, 1015(b)(1); 34 CFR 200.36(a)(3))	**Site** - Review approved plan to determine whether it is being implemented.		
CEP.15e The plan is developed with all persons who will carry it out and it includes accountability measures. (PL 100-297, 1015(b)(2)(3); 34 CFR 200.36(b)(6))	**Site** - Interview staff and parents to determine whether they were involved in the development of the plan.		

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
CEP.15f Appropriate training is provided for staff/parents to carry out the plan effectively. (PL 100-297, 1015(b)(4); 34 CFR 200.36(b)(8))	**Site** - Review training schedules to determine whether they are appropriate to the needs described in the plan.		
CEP.15g The procedures for measuring progress and the instrument are included in the plan. (PL 100-297, 1015(b)(5); 34 CFR 200.36(b)(9))	**Site** - Review the instruments used to evaluate student progress and make sure they are aligned with the district course of study.		
CEP.15h SWPs demonstrate accountability (at the end of 3 years) by showing that the students' achievement levels exceed the average of other participating students in the LEA or the achievement levels exceed that of such child 3 years prior to becoming a SWP. (PL 100-297, 1015(e); 34 CFR 200.36(f)(i)(ii))	**Site** - Review the documentation that shows the SWP evaluation results show that participating students have made the required academic improvement. - Review the documentation that shows dropout rates and increased retention, if appropriate.		
Note: In secondary schools, demonstrations of lower dropout and increased retention rates are acceptable in lieu of increased achievement over a 3-year period as compared to the 3 years preceding the SWP implementation. (PL 100-297, 1015(e)(B); 34 CFR 200.36(f)(2))			
CEP.15i Achievement and other assessments are reported annually to parents, SEA, LEA, and public. (PL 100-297, 1015(e)(b)(2); 34 CFR 200.36(f)(4)(ii))	**Site** - Review the reports of achievement and assessment results.		

Key Strategy: *Equitable Chapter 1 services are provided for students in private schools.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
CEP.16 Each Ch.1 private school participant has been properly identified with objective educational criteria established by the district.			
Primary tests **CEP.16a** Each Ch.1 private school participant lives in participating public school attendance area. (PL 100-297, 1011(a); 34 CFR 200.50(a)(1))	District or Site - Match the target area selection list with the addresses of identified students in private schools.		
CEP.16b Documentation for private school student participation in Ch.1 is on file at the district office. The criteria for selection of Ch.1 private school participants are the same as those used in selecting public school participants. (PL 100-297, 1014(b), 1017(a); 34 CFR 200.50(a)(1))	District or Site - Review the list of identified private school Ch.1 participants and the district-approved criteria used in the selection process in a sample of participating classrooms. (Consolidated Application, page 19, section D.1, and page 38)	- The students being served meet district-established participant criteria.	
Primary item **CEP.17 Documentation is on file demonstrating that school district officials have consulted with appropriate private school officials prior to making arrangements for special educational services.** (PL 100-297, 1017(a); 34 CFR 200.51(a)(1))	District or Site - Review the plan for consultation of teachers, officials, and parents of private school students. - Interview private school staff. ASK: - How were you consulted on the educational programs for eligible students?	- Parents, teachers, and officials have been consulted. - Documentation confirms educational consultation with private school staff.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **CEP.18** Ch.1 services for private school students are provided on an equitable basis with public school students, taking into account the number of students served and the special educational needs of such students. The expenditures are equal to the per-pupil expenditures of the public schools. The services are provided at an appropriate site. (PL 100-297, 1017(a); 34 CFR 200.52(b))	Site - Validate the program described on pages 18 through 20 of the Consolidated Application by: ● Visiting a sample of private schools ● Comparing dollars for a sample of public and private school services ● Reviewing a planned program of compensatory education services ● Reviewing the distance from the nonpublic school to the alternate site(s) ● Reviewing the route to the alternative site for safety ● Reviewing the materials to determine the appropriateness of quality		
Primary item **CEP.19** The Ch.1 program for private school participants is administered by the LEA in accordance with federal laws. (PL 100-297, 1017(a); 34 CFR 200.50(a)(3))	District - Review LEA supervision and control of Ch.1 staff at private school program sites. - Review a list of current participants. - Review the needs assessment. - Review the evaluation data of the private school participants.	- Evidence that regularly scheduled supervision and control has ocurred (e.g., supervisory schedules, records of administrative visits, etc.) - Participants were selected correctly. - An annual needs assessment was completed. - Ch.1 participants are sustaining gains. - The LEA has exercised and maintained administrative authority over the private school program. - Evaluation data for participants are maintained and available at the district office.	
Primary item **CEP.20** All private schools within the LEA with a current affidavit on file have been contacted by the LEA. (PL 100-297, 1451(b); 34 CFR 200.51(a)(2)(b))	District - Review a file of letters indicating interest or lack of interest.	- Evidence that every private school wishing not to participate has a letter on file with the LEA.	

Program

State Program for Students of Limited-English Proficiency

NOTE: This instrument has been revised to reflect the "sunset" provisions and to follow the Department of Education's May 20, 1988, Program Advisory (CCP: 87/8-14), the February 10, 1989, Program Advisory (CIL: 88/9-6), and the May 15, 1989, Legal Advisory (LO: 1-89) on this subject.

Program Goal

To develop fluency in English in each student as effectively and efficiently as possible, promote students' positive self-concepts, promote cross-cultural understanding, and provide equal opportunity for academic achievement, including, when necessary, academic instruction through the primary language

Key Strategies

- *LEAs identify, assess, and report each eligible LEP student.*
- *LEAs provide programs of instruction for each identified LEP student which comply with state law and federal legal requirements.*
- *LEAs allocate adequate resources from local, state, and other funds to serve LEP students.*
- *LEAs change a LEP student's designation from LEP to FEP on the basis of consistent and verifiable objective criteria.*
- *LEAs involve parents of students in the programs designed for their children.*

Program: State Program for Students of Limited-English Proficiency (LEP)

Program Goal: To develop fluency in English in each student as effectively and efficiently as possible, promote students' positive self-concepts, promote cross-cultural understanding, and provide equal opportunity for academic achievement, including, when necessary, academic instruction through the primary language

Key Strategy: *LEAs identify, assess, and report each eligible LEP student.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
LEP.1 The district has properly identified, assessed, and reported all students who have a primary language other than English and who are of limited-English proficiency (LEP).			
Primary tests **LEP.1a** There is a Home Language Survey (HLS) used to determine the primary language on file for each student in the district, including migrant, special education, and continuation school enrollees. (EC 62002, former EC 52164.1(a); CCR T5 4304)	Site - Take a sample of at least two LEP and two non-LEP students per grade level from at least three grade levels at the school and ask to see an HLS for each student. - Interview principal and responsible staff. ASK: - What is the method used to determine the primary language of each student? - Does each student in the school have a completed HLS? Where are they filed? - Is the HLS available in the languages of the LEP students enrolled in the school?	- An HLS used to determine the primary language of each student at the time of enrollment is on file with each state-authorized question answered and with a signature of parent/guardian. If a signature could not be obtained after reasonable efforts by the district, alternate documentation is on file.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
LEP.1b Each student with a language other than English on the HLS has been assessed within 30 school days of initial enrollment in English comprehension, speaking, reading, and writing. English comprehension and speaking proficiency must be assessed, using a state-designated instrument. Each district shall establish a process by which reading and writing assessments are to be made, including specification of criteria, instruments, procedures, and standards appropriate to each grade level. For purposes of initial identification, English reading and writing assessments are optional for all students in K-2, and for students in grades 3-12 who are identified as LEP on the basis of comprehension and speaking language skills alone. (EC 62002, former EC 52164.1(b); CCR T5 4304, 4305) Note: Testing is optional for students whose HLS includes a language other than English on the fourth question only. 1988-89 state-authorized tests for comprehension and speaking are: - BINL (K-12) - BSM I/II (K-12) - The IPT I/II (K-12) - The LAS I/II, Forms A and B and the short form (K-12) - The pre-LAS (ages 4-6 only) - The QSE (K-6 only) No other instruments may be used without a state-approved waiver. (EC 62002, former EC 52164.1(c))	District or Site - Review evidence of the language abilities and training of at least three or 30 percent of the assessors, whichever is less. - Review district policies and procedures for the identification of LEP students. - Interview administrators and persons responsible for assessment. ASK: - Who is responsible for assessing the oral English language proficiency? - How are testers selected, qualified, and trained to administer the English language assessments? - Which state-authorized test is the district using to assess English language proficiency in comprehension and speaking? - What tests and cut-off scores does the district use to assess English language proficiency in reading and writing for students in grades 3-12? - What cut-off scores are used to determine LEP students? FEP students?	- English proficiency tests are administered to each LEP student by staff who are proficient in English and the primary language of the student tested, unless the district has an approved waiver to use English-only testers for the current school year. Note: FEP refers to all students currently enrolled who were initially identified as FEP or were redesignated from LEP to FEP status.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
LEP.1b (Continued)	Site - Use the sample of LEP students in test LEP.1a and take a similar sample of fluent-English-proficient (FEP) students (not former LEP students) and review: (1) their English-language proficiency test results in comprehension and speaking; (2) English reading and writing test results for students in grades 3-12 who scored fluent on the English language proficiency test in comprehension and speaking; (3) the date when the tests were administered, the publisher's norms for the English comprehension and speaking language proficiency test; and (4) the district's norms for the English reading and writing tests. - Interview administrators responsible and assessor(s). ASK: - Where are English comprehension and speaking language proficiency results recorded for each student tested? (Request actual student samples for LEP and FEP students.) - Who is notified of the results? When?	- Each LEP student has a score of less than fluent according to publisher's norms on a state-authorized test of comprehension and speaking language proficiency (K-12), or a score of fluent on the English comprehension and speaking language proficiency test AND a score below the district-established standards on the district's English reading and writing assessments. For students who, on the basis of comprehension and speaking language proficiency alone, are clearly LEP, assessment of reading and writing skills shall be necessary only to the extent required by LEP.1c. These data were collected within 30 school days of enrollment. - Each FEP student has test results on file, collected within 30 school days of enrollment, indicating at least comprehension and speaking proficiency (K-2), and comprehension and speaking, reading, and writing proficiency (3-12). Note: Students scoring fluent on the comprehension and speaking language proficiency test in grades 3-12 must pass district-established reading and writing standards comparable to the proficiency of the majority of pupils in the district of the same age or grade whose primary language is English in order to be designated FEP.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
LEP.1c The district has further assessed each LEP student for primary language proficiency, including comprehension, speaking, reading, and writing within 90 calendar days of initial enrollment. Parallel forms of the tests used to determine English-language proficiency are used if available. (EC 62002, former EC 52161, 52164(c); CCR T5 4305; 20 USC 1703(f))	**District** - Review documents of all LEP students related to identification, assessment, and designation of those who require academic instruction through the primary language. - Interview administrators and persons responsible for assessment. **Site** - Use the sample of LEP students in school 90 days or more in test LEP.1a and review a dated primary language assessment on file for each student who requires academic instruction through the primary language. - Interview key planners. ASK: - How does the district determine which LEP students will receive primary language instruction? - What formal tests in the primary language does the district use to assess comprehension, speaking, reading, and writing? - How is primary language proficiency recorded for each LEP student (comprehension, speaking, reading, writing)?	- The district documents contain criteria which are used to determine which LEP students are to be designated as requiring academic instruction through the primary language based on assessments in the primary language and in English. - Each LEP student in the sample has formal test results (using parallel forms of the tests used to determine English proficiency, to the degree instruments are available, or, at a minimum, informal diagnostic data) on file regarding the student's primary language proficiency. These data were collected within 90 calendar days of the student's enrollment. - Each LEP student in the sample has assessment information in English and the primary language which resulted in a designation of the extent to which the student requires academic instruction through the primary language.	
LEP.1d The district has completed properly and submitted annual language census reports (R30-LC) which include all LEP and FEP students. (EC 62002, 62003, former EC 52164.1, 52164.2, 52164.5; CCR T5 4304)	**District or Site** - Review current R30-LC reports for corrections and completion. - Review accuracy of LEP and FEP counts. - Review language proficiency and academic assessments which are used for making LEP and FEP designations.	- LEP and FEP counts reported on the R30-LC data reports are based on appropriate comprehension and speaking language proficiency and academic assessments in English. The reports have accurate counts of LEP and FEP students.	

Key Strategy: *LEAs provide programs of instruction for each identified LEP student which comply with state law and federal legal requirements.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **LEP.2 Each LEP student receives a program of instruction in English language development in order to develop proficiency in English as effectively and efficiently as possible.** (EC 62002, former EC 52161; 20 U.S.C. 1703(f); Castaneda v. Pickard (5th Cir. 1981) 648 F.2d 989, 1011; and Keyes v. School Dist. No. 1 (D.Colo. 1983) 576 F.Supp. 1503, 1518.)	District - Review existing district plans or policy statements related to English language development instruction for LEP students. - Interview administrators and key planners. ASK: - What is the district curriculum in English language development for LEP students? - How is the instructional delivery system utilized for non-native speakers? - How are materials reviewed to determine appropriateness for non-native speakers?		
	Site - Take a sample of at least two LEP students per grade level from at least three grade levels and review (1) documentation of lessons in English language development; (2) individual student progress in acquiring English language proficiency; and (3) lessons provided for the sampled students. - Review annual assessments or other group profiles of LEP student performance in English language development. - Interview administrators, key planners, and teachers. ASK: - What evidence and group data has the school gathered to demonstrate students' level of achievement in acquiring English language proficiency? - How are lessons designed to promote English language acquisition in understanding, speaking, reading, and writing for second language learners?	- LEP students participate in English language development lessons which are appropriate for their identified level of language proficiency. - English language development lessons reflect curriculum, materials, and approaches which are designed to promote LEP students' second language acquisition of listening, speaking, reading, and writing skills. - Individual LEP students sampled are making progress in acquiring English language proficiency. - There are group data, by age and time in the program, which indicate that LEP students are acquiring English language proficiency.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **LEP.3 In order to provide equal opportunity for academic achievement and to prevent any substantive academic deficits, each LEP student, whose diagnosis makes academic instruction through the primary language necessary, receives such instruction.** (EC 62002, former EC 52161, 20 U.S.C. 1703(f); Castaneda v. Pickard (5th Cir. 1981) 648 F.2d 989, 1011; and Keyes v. School Dist. No. 1 (D.Colo. 1983) 576 F.Supp. 1503, 1518-1519.)	District - Review any existing district plans or policy statements related to academic instruction in the primary language for LEP students. - Review the district's General Waiver request if the district has requested to waive the statutory requirements to provide academic instruction through the primary language to LEP students whose diagnoses indicate such instruction is necessary.	- If the district has requested a waiver, a letter from the SDE is on file notifying the district that the General Waiver was approved by the State Board of Education (SBE), and that the period of the waiver is for the current school year and does not exceed two years. - The alternative programmatic and support procedures proposed on the waiver request are being implemented as described.	
	Site - Take a sample of LEP students whose diagnoses make academic instruction through the primary language necessary: at least two LEP students per grade level from at least three grade levels. Review (1) documentation of academic lessons conducted through the primary language; and (2) lessons conducted through the primary language for the sampled students. - Review a profile of the academic achievement of the sampled LEP students in lessons delivered through the primary language as shown in such measures as continua, teacher assessments, district tests, commercial tests, etc. - Interview key planners and teachers. ASK: - What is the primary language instructional delivery for those students identified as requiring it for academic access to the core curriculum?	- Sampled LEP students are receiving academic instruction through the primary language. - Lessons reflect curriculum, materials, and approaches which are designed for LEP students. - Content for primary language lessons is drawn from academic courses designed for FEP and EO students in the district. - For LEP students who require academic instruction through the primary language, there are group data by age and time in the program which indicate that students are learning the core curriculum.	

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Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **LEP.4 In order to provide equal opportunity for academic achievement in the district's regular course of study and to prevent any substantive academic deficits, each LEP student whose diagnosis makes it necessary receives specially designed academic instruction in English.** (EC 62002, former EC 52161; 20 U.S.C. 1703(f); Castaneda v. Pickard (5th Cir. 1981) 648 F.2d 989, 1011; and Keyes v. School Dist. No. 1 (D.Colo. 1983) 576 F.Supp. 1503, 1518.)	District - Review any existing district plans or policy statements related to specially designed academic instruction in English for LEP students. Site - Take a sample of LEP students whose diagnoses make specially designed academic instruction in English necessary: at least 2 students per grade level from at least three grade levels. Review (1) documentation of academic lessons conducted in English; and (2) lessons conducted in English for the sampled students. - Review a profile of the academic achievement of the sampled LEP students in lessons delivered in specially designed English as shown in such measures as continua, teacher assessments, district tests, commercial tests, etc. - Interview key planners and teachers. ASK: - How are lessons specially designed to facilitate academic access to the core curriculum? - How are the instructional approaches used with LEP students different from those used for non-LEP students?	- When academic instruction is provided in English to sampled LEP students, teachers use instructional methodology specially designed for non-native speakers of English in order to increase the comprehensibility of the lessons (e.g., sheltered English approaches). - Content for academic instruction in English is drawn from academic courses designed for FEP and EO students in the district. - There are group data for LEP students, by age and time in the program, which indicate that LEP students are learning the core curriculum.	
Secondary item **LEP.5 Each LEP student receives, as part of the district's program, instruction that promotes his or her self-concept and cross-cultural understanding.** (EC 62002, former EC 52161)	Site - Interview resource or classroom staff. ASK: - What are the instructional activities designed to promote the self-concept and cross-cultural understanding of LEP students? - What are the lessons and materials that are used to implement such instructional activities?	- Curriculum includes lessons and materials acknowledging historical and contemporary experiences of groups and individuals that are members of the same cultural group of the LEP students enrolled in the school. - Lessons and activities create awareness and promote understanding of the cultural groups of the LEP students enrolled in the school.	

Key Strategy: *LEAs allocate adequate resources from local, state, and other funds to serve LEP students.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **LEP.6 An adequate number of qualified teachers has been assigned to implement the required English language development instruction for each LEP student. Upon documentation of a local shortage of qualified teachers to perform English language development instruction, the district has adopted and is implementing interim measures by which it plans to remedy the shortage.** (EC 62002, former EC 52161; 20 USC 1703(f); Castaneda v. Pickard (5th Cir. 1981) 648 F.2d 989, 1011-1013; and Keyes v. School Dist. No. 1 (D. Colo. 1983) 576 F.Supp. 1503, 1517-1518.)	Site - Review computation of number of qualified English language development specialists required by analyzing the following information: • Number of LEP students requiring English language development • Number of teachers assigned to provide English language development • The ratio of LEP students to qualified teachers providing English language development instruction • Other relevant information Note: Refer to the *Worksheet for Reviewing Qualified Staff: English Language Development* available from the Consolidated Programs Management unit.	- Each teacher providing English language development instruction meets one of the following specifications: • Holds a bilingual teaching or language development specialist (LDS) authorization* issued by CTC, or • Has been determined by the local school district to have the requisite teaching skills to carry out his or her respective assignment *CTC issues two credentials and a certificate of competency, all of which authorize individuals to serve as qualified bilingual teachers (Bilingual-Crosscultural Specialist Credential, Bilingual Crosscultural Emphasis, Bilingual Certificate of Competence). It also issues an LDS Certificate which authorizes teachers to provide English language development instruction.	
	- Observe selected English language development lessons for LEP students. Follow a sample of at least two LEP students in at least three grade levels in the school.	- The ratio of LEP students receiving English language development instruction to qualified teachers (full-time equivalents) is not substantially greater than the ratio of students in the regular school program to regular classroom teachers. - Each LEP student is receiving English language development instruction from a qualified teacher.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
LEP.6 (Continued)	- Interview district and site administrators. ASK: - Which of the following options is the district utilizing to assign an adequate number of teachers to implement the required English language development instruction for each LEP student? • *Exemption based on educational results* • *CTC authorization* • *Local designation criteria* • *Plan to remedy a documented shortage*		
	- Based on the response to the question, apply the appropriate tests which follow.		
	- If the district has requested an *exemption based on results* as an option, review SDE-approved objective data that confirm former LEP students are performing at academic parity with non-LEP students.		
	- If the district has selected to qualify teachers to provide English language development instruction using the *local designation criteria* option: • Review documentation that the criteria have been approved by the SDE. • Select a random sample of at least three teachers and review documentation supporting the district's determination that the teachers have met the district-adopted criteria.	- A letter from the SDE is on file notifying the district that the local designation criteria were approved by the SBE in Part I or Part II of the district's Consolidated Application for Categorical Funding. - The district has a copy of the approved local designation criteria on file. - Each teacher who is providing English language development instruction to LEP students and who lacks a bilingual teaching or LDS authorization from CTC has met district-adopted criteria.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
LEP.6 (Continued)	- If the district has documented a local shortage of qualified teachers to provide English language development instruction and has decided to develop *a plan to remedy the shortage*, review documentation that the plan has been approved by the SDE.	- A letter from the SDE is on file notifying the district that the plan to remedy the shortage was approved by the SBE in Part I or Part II of the district's Consolidated Application for Categorical Funding. - That the district has a copy of the approved plan to remedy the shortage on file. - Actions specified in the plan in the recruitment, employment, and training components are being implemented according to the time line specified in the plan and have resulted in progress toward meeting staffing requirements as evidenced by: 1. The number of newly hired teachers within the current school year who hold CTC bilingual teaching or LDS authorizations, or who meet local district criteria for designation 2. The number of teachers who do not currently possess the appropriate CTC authorization or who have not met local district criteria for designation are enrolled in the training component specified in the district's plan to remedy.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **LEP.7 An adequate number of qualified teachers has been assigned to implement academic instruction through the primary language for each LEP student when it has been determined to be necessary. Upon documentation of a local shortage of qualified teachers to perform academic instruction through the primary language for each such LEP student, the district has adopted and is implementing measures by which it plans to remedy the shortage.** (EC 62002, former EC 52161; 20 USC 1703(f); Castaneda v. Pickard (5th Cir 1981) 648 F.2d 989, 1011; and Keyes v. School Dist. No. 1 (D. Colo. 1983) 576 F.Supp. 1503, 1518.)	Site - Review computation of number of primary language teachers required by analyzing the following information: • Number of LEP students requiring primary language instruction • Number of teachers assigned to provide primary language instruction • The ratio of students in the regular school program to regular classroom teachers • The ratio of LEP students receiving primary language instruction to qualified teachers providing such instruction • Other relevant information Note: Refer to the *Worksheet for Reviewing Qualified Staff: Primary Language Academic Instruction* available from the Consolidated Programs Management Unit.	- Each teacher providing academic instruction through the primary language meets one of the following specifications: • Holds a bilingual teaching authorization issued by CTC, or • Has been determined by the local school district to have the requisite teaching skills and language proficiency necessary to carry out his or her respective assignment - The ratio of LEP students receiving academic instruction through the primary language from qualified teachers (full-time equivalents) is not substantially greater than the ratio of students in the regular school program to regular classroom teachers. - Each LEP student assessed as requiring academic instruction through the primary language is receiving such instruction from a qualified teacher.	
Note: In response to a district shortage of teachers qualified to perform academic instruction through the primary language, appropriately qualified bilingual paraprofessionals may be teamed with regular teachers on an interim basis to meet this staffing requirement. However, classroom teachers who are assisted by paraprofessionals must retain the responsibility for the instruction and supervision of the students in their charge. (Castaneda v. Pickard (5th Cir. 1981) 648 F.2d 989, 1001; and EC 45344(a), (b))	- Observe selected academic lessons conducted in the primary language. Follow a sample of at least two LEP students in at least three grade levels in the school.		
	- When bilingual paraprofessional/regular teacher teams are formed to meet the primary language instruction staffing requirement, observe a sample of academic lessons conducted in the primary language by such teams. - Interview members of the teams observed.	- Bilingual paraprofessionals work under the direct supervision of teacher counterparts in terms of both the content and instructional methodology used for academic lessons in the primary language.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
LEP.7 (Continued)	- Review documentation demonstrating that the district has established criteria to determine the qualifications of bilingual paraprofessionals who have been assigned as team members to provide academic instruction through the primary language.	- Each bilingual paraprofessional assigned as a team member to provide academic instruction through the primary language has met district-adopted criteria for proficiency in the primary language of LEP students and is appropriately qualified for his or her assigned responsibilities.	
	District - Interview district and site administrators. ASK: - Which of the following options is the district utilizing to assign an adequate number of qualified teachers to implement academic instruction through the primary language? ● *Educational results* ● *CTC authorization* ● *Local designation criteria* ● *Plan to remedy a documented shortage* ● *General Waiver* Based on the response to this question, apply the appropriate tests which follow. - If the district has selected *educational results* as an option, review SDE-approved objective data.		
	- If the district has selected to qualify teachers to provide academic instruction through the primary language, using the *local designation criteria* option: ● Review documentation that the criteria have been approved by the SDE. ● Select a random sample of at least three teachers and review documentation supporting the district's determination that the teachers have met the district-determined criteria.	- A letter from the SDE is on file notifying the district that the local designation criteria were approved by the SBE in Part I or Part II of the district's Consolidated Application for Categorical Funding. - That the district has a copy of the approved local designation criteria on file.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
LEP.7 (Continued)	- If the district has documented a local shortage of qualified teachers to provide academic instruction through the primary language instruction and has decided to develop a *plan to remedy the shortage*, review documentation that the plan has been evaluated and approved by the SDE.	- Each teacher who provides academic instruction through the primary language to LEP students and who lacks a bilingual teaching authorization from CTC has met district-adopted criteria. - A letter from the SDE is on file notifying the district that the local designation criteria was approved by the SBE in Part I or Part II of the district's Consolidated Application for Categorical Funding. - The district has a copy of the approved plan to remedy the shortage on file. - Actions specified in the plan are being implemented according to the time line specified in the plan and have resulted in progress toward meeting staffing requirements as evidenced by: 1. The number of newly hired teachers within the current school year who hold CTC bilingual teaching authorizations or who meet local district criteria for designation. 2. Training opportunities for teachers who do not currently possess the appropriate CTC authorization or who have not met local district criteria for designation.	
	- If the district has an SBE-approved *General Waiver* of statutory requirements for qualified teachers to provide academic instruction through the primary language, confirm that the specific waiver provisions match local instructional practice.	- A letter from the SDE is on file notifying the district that the General Waiver was approved by the SBE and that the period of the waiver is for the current school year and does not exceed two years. - The alternative remedy proposed on the waiver request is being implemented as described.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **LEP.8 The district provides an adequate in-service training program which results in qualifying existing and future personnel in the bilingual and cross-cultural teaching skills necessary to serve each LEP student.** (EC 62002, former EC 52161; 20 USC 1703(f); Castaneda v. Pickard (5th Cir. 1981) 648 F.2d 989, 1012-1013; and Keyes v. School Dist. No. 1 (D. Colo. 1983) 576 F.Supp. 1503, 1517.) Note: Where there is a shortage of qualified teachers to conduct the district's program for LEP students, an adequate teacher training program is required as a matter of federal law. (20 USC 1703(F); Castaneda v. Pickard (5th Cir. 1981) 648 F.2d 989, 1012-1013 and Keyes v. School Dist. No. 1 (D. Colo. 1983) 576 F.Supp. 1503, 1517.)	District or Site - Review a description of the in-service program, including the following information: ● A description of in-service activities and corresponding schedules ● A list of all teachers and other staff assigned to provide primary language and/or English language development instruction who do not possess the appropriate teaching authorizations from CTC or who have not met district-adopted criteria - Review attendance records of teachers and staff participating in the in-service program offered during the current school year.	- The district has implemented an in-service program in at least the following areas: ● English language development teaching methodology ● Bilingual crosscultural teaching methodology ● Acquisition of the primary language of LEP students on the part of teaching staff - In-service training is provided for those teachers who are assigned to primary language and/or English language development instruction for LEP students and who do not possess the appropriate teaching authorizations from CTC or who have not met district-adopted criteria. - Teachers and staff have participated in the in-service program. - The district has made progress in qualifying existing and future personnel as teachers of LEP students as evidenced by: ● The number of teachers who, during the current school year, have obtained a bilingual teaching or LDS authorization from CTC ● The number of teachers who, during the current school year, have met district-adopted criteria in (a) bilingual teaching methodology and language proficiency in the primary language of LEP students; and/or (b) English language development teaching methodology	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Secondary item **LEP.9 There are adequate basic and supplemental resources to provide each LEP student with bilingual learning opportunities in an appropriate program. The provision of such resources is not contingent on the receipt of state or federal categorical aid funds.** (EC 62002, former EC 52161; 20 USC 1703(f); Castaneda v. Pickard (5th Cir. 1981) 648 F.2d 989, 1010, 1012-1013); and Keyes v. School Dist. No. 1 (D Colo. 1983) 576 F.Supp. 1503, 1516-1518.)	District or Site - Review the district's EIA allocation plan as specified in the Consolidated Application (page 23) and compare that with actual school site budgets. - Identify which LEP services are being provided from the general fund and which from EIA-LEP supplementary funds. - Review the availability of primary language materials and materials in English appropriate to non-native speakers relative to the core curriculum; e.g., basic and supplementary classroom materials, library collections, etc. Determine their appropriateness to the core curriculum. - Interview district or site administrators. ASK: - How are the basic state-required services provided to LEP students through district resources? - How do EIA-LEP funds augment and supplement LEP students' learning of the core curriculum? - Describe any other supplemental services above the basic requirements which are provided to LEP students.	- The school site budgets correspond to the district allocation plan. - EIA-LEP funds are spent for basic excess-cost services, such as resource personnel, bilingual aides, bilingual assessment, primary language and ESL materials, parent involvement, and staff training. - The district and site provide adequate and appropriate primary language and English development resources from local, state, and other funds to support the LEP students' learning of the core curriculum.	

Key Strategy: *LEAs change a LEP student's designation from LEP to FEP on the basis of consistent and verifiable criteria.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **LEP.10 Each former LEP student who has been designated to FEP has: demonstrated English language proficiency comparable to that of the average native speakers; and can participate equally with average native speakers in the school's regular instructional program.** (EC 62002, former EC 52164.1; CCR TS 3942; 20 USC 1703(f); see generally Gomez v. Illinois State Bd. of Education (7th Cir. 1987) 811 F.2d 1030, 1041-1042; Castaneda v. Pickard (5th Cir. 1981) 648 F.2d 989, 1009-1010; Keyes v. School Dist. No. 1 (D. Colo. 1983) 576 F.Supp. 1503, 1516-1522.)	**District** - Review the district policy on language redesignation from LEP to FEP to ascertain whether it addresses both English language barriers and academic achievement in the regular course of study.	- The district's policy includes standard procedures for assessing comprehension and speaking English language proficiency and academic achievement and may include multiple criteria, such as: ● Teacher evaluation of the student's English language proficiency and curriculum mastery ● Objective assessment of the student's English comprehension and speaking language proficiency ● Objective assessment of the student's English writing skills ● Parental opinion or consultation during a redesignation interview ● Objective data on the student's academic performance in English ● Other criteria as adopted	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
LEP.10 (Continued)	Site - Take a sample of at least two former LEP students from three different grade levels who have been designated as FEP within the past year. - Review the data collected and considered in deciding to designate a former LEP student as FEP.	- Data and other evidence are available which indicate that the district has used these consistent, verifiable criteria to consider the student's English language proficiency and academic achievement. - Data indicate that each student in the sample redesignated as FEP has the English language skills of comprehension, speaking, reading, and writing necessary to succeed in the school's regular instructional program. - The district or site has evidence of how former LEP students as a group are performing in comparison with their native-English-speaking peers in the core curriculum; e.g., GPA, success rate in passing district proficiency tests, norm-referenced test scores, etc. This evidence demonstrates that the former LEP students have not been left with any substantive academic deficits. - The district or site has evidence of the rate of LEP student redesignation to FEP; e.g., percentage/year, mean months in the program before redesignation, comparisons with previous years' rates, by language group, by grade level, by program type, etc.	

Key Strategy: *LEAs involve parents of students in the programs designed for their children.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Secondary item **LEP.11 All parents of LEP and FEP students have been notified in writing of their child's English and primary language proficiency assessment results.** (EC 62002, former EC 52164.1(b), CCR T5 4308)	District or Site - Review written notification sent to parents of LEP and FEP students. - Review school records that indicate notifications were mailed, sent home, or communicated orally.	- The notification to parents of LEP students contains their child's English and primary language proficiency assessment results. - The notification to parents of FEP students contains their child's English language proficiency assessment results. - Written notification is available in English and in the primary language of the student. - An indication that the results were communicated orally to parents or guardians unable to understand written communication	
Secondary item **LEP.12 A procedure exists which ensures that the participation of each student enrolled in a bilingual program is voluntary on the part of the parent or guardian.** (EC 62002, former 52161)	District or Site - Review the notification process to parents informing them of their child's initial enrollment in programs. - Review school records that indicate notice was given to the parent or guardian of each student enrolled in a bilingual program.	- The notice stated that each child's participation in the district's alternative program is voluntary. It may also have included a brief nontechnical description of the program or services their child will be enrolled in as well as other instructional options that may be available. - Notifications informing parents of voluntary participation in the program are given in English and the primary language of the chiid.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Secondary item LEP.13 Whenever there are 51 or more LEP students in a district, there is a functioning district bilingual advisory committee (BAC) or subcommittee of an existing committee that has met ALL of the following: - Has had the opportunity to advise the governing board regarding: a.* A timetable for and development of a master plan for bilingual education b.* A districtwide needs assessment on a school-by-school basis c.* District bilingual education goals and objectives d. Administration of the language census e. Review and comment on the written notification of initial enrollment f. Review and comment on the General Waiver request (EC 33051(a)(3)) - Has a majority membership of parents of LEP students not employed by the district. In the event an existing committee is used for these purposes, the membership of parents of LEP students shall be made up of at least the same percentage as that of the LEP students in the district. - Has received training materials and training, developed in consultation with the committee, appropriate to assist parent members in carrying out their responsibilities. (EC 62002.5, former EC 52176; CCR T5 4312) *Note: Initial development of these items is optional on the part of school districts. Once developed, however, the committee must be given an opportunity to review and advise on the specific items.	District - Review records of the membership and the activities of the district-level BAC or subcommittee for the past 12 months. - Interview at least one parent member of the district-level committee. ASK: - What opportunities have you had as a parent to advise on the bilingual education plan and related issues such as census, goals, notification, etc.? - What training activities have been provided to assist you in carrying out your responsibilities as a committee member? - What is the composition of the BAC? - What recommendations has the BAC made to the district? - How have these been documented and utilized? (Request sample minutes, agendas, etc.) - Do you have training materials to assist you in carrying out your responsibilities?		

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Secondary item **LEP.14 Whenever there are 21 or more LEP students at a school site, there is a functioning bilingual advisory committee (BAC) that has met ALL of the following:** **- Has advised the principal and staff in:** **a. The development of the school plan for bilingual education submitted to the governing board** **b.*Conducting the school's needs assessment** **c. Administration of the school's language census** **d. Efforts to make parents aware of the importance of regular school attendance** **- Has a membership of LEP parents in at least the same percentage as there are LEP students at the school** **- Has had an election of members in which all parents of LEP students have had an opportunity to vote** **- Has had the opportunity to elect at least one member of the bilingual district advisory committee or participated in a proportionate regional representation scheme where there are 31 or more BACs in the district** **- Has received training materials and training appropriate to assist parent members in carrying out their responsibilities** (EC 62002.5, former EC 52176; CCR T5 4312) *Note: Initial development of this item is optional on the part of school districts. Once developed, however, the committee must be given an opportunity to review and advise on the specific items.	Site - Review records of the membership and the activities of the school-level BAC or subcommittee for the past 12 months. - Interview at least one parent member of the school-level BA . ASK: - How has the BAC advised the principal in the following: a. The development of the bilingual education section of the school plan? b. Conducting the school's needs assessment? c. Administration of the language census? d. Efforts to make the parents aware of the importance of regular school attendance? - How has the BAC been selected and what is the composition? - What are some of the specific advisory and training opportunities in bilingual education issues for the BAC? - What recommendations has the BAC provided to the principal? - How have these been documented? (Request sample minutes, agendas, etc.)		

Program

School Improvement Program

Program Goal

To encourage school improvements (K-12) through a collaborative decision-making process within the school community to meet the educational, personal, and career needs of every student in a timely and effective manner

Key Strategies

- *The School Improvement Program (SIP) supports and guides schoolwide improvements to meet the needs of every student in a timely and effective manner.*
- *The School Improvement Program is designed, implemented, monitored, and evaluated through a collaborative school/community decision-making process which is led by the School Site Council (SSC).*

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Program: School Improvement Program

Program Goal: To encourage school improvements (K-12) through a collaborative decision-making process within the school community to meet the educational, personal, and career needs of every student in a timely and effective manner

Key Strategy: *The School Improvement Program (SIP) supports and guides schoolwide improvements to meet the needs of every student in a timely and effective manner.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
SIP.1 The school is responding in a timely and effective manner to the educational, personal, and career needs of every student.			
Primary test **SIP.1a** The school is effectively responding to the educational and career needs of every student. (EC 62002, Former EC 52000, 52012)	District or Site - Review the school's core curriculum and SIP plan, including any curricular objectives and student performance data. - Review the School Site Council's (SSC) periodic assessment of program effectiveness and current student performance data. - Interview the principal, teachers, coordinators, aides, and SSC members. ASK: - How does the school assess student's educational needs and make adjustments in its program to meet the identified needs? - Observe and interview students. ASK: - What is the school doing to assist students to become aware of the world of work and to prepare students for a career?	- All students are being taught English-language arts; mathematics; arts; humanities; social, physical, and natural sciences; consumer economics; career education; and critical thinking and independent judgment. - All student populations, including underachieving, average, special education, gifted and talented education (GATE), and limited-English-proficient (LEP) students, are making academic progress consistent with the school site plan. Evidence may include staff judgments of program effectiveness, California Assessment Program (CAP) and other norm-referenced or criterion-referenced data showing above-average results or gains, SSC assessments of program effectiveness, staff and student satisfaction, and Program Quality Review (PQR) findings, e.g., recognitions of program strengths and implementation of suggestions and assistance/action plans, school performance reports, etc.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Secondary tests **SIP.1b** The school is responding effectively to the personal needs of every student. (EC 62002, Former EC 52000)	Site - Review the school's core curriculum and SIP plan, including any curricular and noncurricular objectives, and data on student conduct. - Observe students. - Interview the principal, teachers, coordinators, paraprofessionals, counselors, and SSC members. ASK: - How does the school become aware of the personal needs of students, and what does the school do to meet the identified needs?	- The program effectively addresses students' emotional, physical, and mental health; esteem of self and others; and personal and social responsibility. Evidence may include curriculum, instructional practices, classroom organization, school policies, parent programs, student study teams, morale indicators, auxiliary services, data on student conduct such as disciplinary actions, attendance, incidence of vandalism, etc. - The program is having a positive effect on all student populations, including underachieving, average, special education, GATE, and LEP students.	
SIP.1c The school provides a range of settings and formats which respond effectively to the different ways students learn. (EC 62002, Former EC 52000)	Site - Review the school's core curriculum and SIP plan, including any curricular objectives and student performance data. - Review the SSC's periodic assessment of program effectiveness. - Observe students. - Interview the principal, teachers, coordinators, aides, and SSC members. ASK: - How does the school become aware of students' learning styles and needs? - What arrangements has the school made to provide alternate learning settings and formats for different student populations and their learning styles?	- Instructional settings and formats vary to address effectively the different ways students learn, e.g., visual, auditory, kinesthetic, and eclectic modes of instruction; primary language, sheltered English, and mainstream English instruction for LEP students; individual, dyad, small group, large group, cooperative, and competitive activities; direct instruction and student-centered activities; etc.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **SIP.2 There is a plan approved by the local board that describes school improvement efforts related to instruction, auxiliary services, school environment, and school organization.** (EC 62002, 64001(b), Former EC 52000, 52010, 52021)	Site - Review the school plan. - Interview school staff, especially administrators, coordinators, and providers of auxiliary services. ASK: - How are SIP resources used to improve instruction, auxiliary services, school environment, and school organization to better enable the school to meet the educational, personal, and career needs of students?	- The school is implementing a planned improvement agenda involving instruction; auxiliary services such as counseling, special needs therapy, health, etc.; psychological, social, and physical aspects of school environment; and school organization, including coordination of personnel roles and functions, multifunded students' educational program planning and implementation, expenditures from different funding sources, planning and evaluation activities, etc. - SIP funds have been expended on improving instruction, auxiliary services, school environment, and school organization; the expenditures are supplemental and related directly to the approved plan.	

Key Strategy: *The School Improvement Program is designed, implemented, monitored, and evaluated through a collaborative school/community decision-making process which is led by the School Site Council (SSC).*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
SIP.3 The composition, functions, and responsibilities of the School Site Council (SSC) meet the requirements of the law.			
Primary tests **SIP.3a** The membership of the SSC is as follows: 1. In elementary schools, half of the members include the principal, classroom teachers, and other school personnel; half are parents or other community members not employed by the school district. Classroom teachers are a majority of the first group. 2. In secondary schools, half of the members include the principal, classroom teachers, and other school personnel; half are students, parents, or other community members not employed by the school district. Classroom teachers are a majority of the first group; students make up half of the second group. (EC 62002.5, Former EC 52012)	Site - Review SSC by-laws (if developed) and supporting materials. - Review SSC minutes of meetings and membership rosters. - Interview SSC parent/community representatives as well as school staff and students who are members. ASK: - What is the composition of the SSC? - What is your role as an SSC member?	- SSC composition reflects the appropriate membership requirements at the elementary and secondary levels.	
SIP.3b Members of the following groups were selected by their peers at the school: teachers, other school personnel, and parents of students attending the school. Community members, if selected, were selected by parents of students attending the school. In secondary schools, students were selected by other students. (EC 62002.5, Former EC 52012)	Site - Review SSC by-laws (if developed) and supporting materials. - Review minutes of meeting at which members of SSC were selected. - Review the school plan. - Interview SSC parent/community representatives as well as school staff and students who are members.	- Each representative was properly selected by his or her peer group. - The term and method of selection and replacement of SSC members is specified in the school plan.	

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Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
SIP3b (Continued)	ASK: - How was each segment of the school community notified of meeting to select members of the SSC? - How was each segment of the SSC selected? - When does the SSC selection process take place? - Who has copies of the by-laws (if developed)?		
SIP3c The SSC has fulfilled its planning and monitoring responsibilities. (EC 62002.5, Former EC 52012, 52014-17, 52019a, 52020, 52021, 52034a)	Site - Review SSC by-laws (if developed) and supporting materials. - Review SSC agendas, minutes of meetings, and membership rosters. - Review the school plan. - Interview SSC parent/community representatives as well as school staff and students who are members. ASK: - When did the SSC last develop and recommend the school plan to the local board of education? - How does the SSC monitor the plan and its implementation? - How does the SSC annually assess the program and modify the plan and budget when necessary? - How has the SSC been involved in designing its own training? - What training has been provided to the SSC?	- The SSC received the necessary training to enable it to carry out its responsibilities to develop, monitor, and modify the plan and budget. - The SSC has developed and recommended a school improvement plan to the local board. - The SSC has annually reviewed and modified the plan as necessary. - The plan has been developed through a process which includes school personnel, parents representative of the socioeconomic composition of the school's attendance area, community members, and, at the secondary level, students. - The plan includes improvement objectives with intended outcomes, steps, or activities to implement the components, and the plan includes a related budget. - The SSC has monitored the implementation of the plan. - The SSC has periodically assessed program effectiveness in terms of improvement objectives, student achievement, school environment, and the degree to which fiscal expenditures meet the criteria of the plan. - The SSC has assisted in designing its training activities.	

Program

Miller-Unruh Reading Program

Program Goal

To prevent and correct reading difficulties at the earliest possible time in the educational career of the student

Key Strategy

- *LEAs use a specialist trained in the teaching of reading.*

Program: Miller-Unruh Reading Program

Program Goal: To prevent and correct reading difficulties at the earliest possible time in the educational career of the student

Key Strategy: *LEAs use a specialist trained in the teaching of reading.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **M-U.1 Miller-Unruh (M-U) funds are used to hire a reading specialist (i.e., a Ryan Act Specialist Credential or a teacher holding an appropriate credential issued by the Commission on Teacher Credentialing).** (EC 62002, Former EC 54101)	District - Review district personnel records related to this program.	- Documentation that Miller-Unruh funds are used only for salary payments to a reading specialist. - Documentation that general funds are used for local share of cost for M-U Reading Specialist.	
Primary item **M-U.2 The reading specialist provides services at the earliest possible time in the educational career of the student.** (EC 62002, Former EC 54101)	District · Review district procedure for providing M-U services. Site - Review job description. - Observe specialist in the classroom. - Interview specialist. ASK: - In what ways do you work with the teachers to prevent reading difficulties? - How many demonstration lessons do you do in a school year?	Documentation or evidence at the site of a method or procedure to ensure that the reading specialist is providing services such as: - Working with kindergarten and grade one levels and their teachers in the prevention of reading difficulties - Conducting demonstration lessons - Providing in-service training to the teaching staff in the latest research and instructional techniques	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
M-U2 (Continued)	- In what ways do you provide in-service training to the teaching staff on the latest research and instructional techniques? - How do the reading test scores of your school compare with the district reading scores? - May I see your records of children, teachers, and parents assisted? - What types of motivational strategies do you suggest to teachers?	- Interpreting reading test results schoolwide - Keeping records of the number of children helped, teachers assisted, and parents contacted - Providing teachers with strategies to motivate students	
Primary item **M-U3 The work performed by the reading specialist is preventing and correcting reading difficulties at the earliest possible time in the educational careers of the students being served with M-U funds.** (EC 62002, Former EC 54101)	Site - Review student records and work performance. - Interview the reading specialist. ASK: - What evidence do you have that reading difficulties are prevented or corrected? - Are students reading more books, magazines, articles, stories? - Have reading scores improved?	- Students served by the program consistently have their reading difficulties remedied as indicated by a variety of assessment strategies, such as: ● Increased number and quality of books read ● Increased amount and quality of writing ● Increased student participation in speaking and listening activities ● Improved scores, over time, on reading tests	

Program

ESEA, Chapter 2

Program Goal

To improve elementary and secondary education in public and private nonprofit schools by increasing local flexibility, reducing administrative burden, providing services to students, and encouraging innovation

Key Strategies

- *LEAs have followed federal requirements in developing and implementing Chapter 2 programs.*
- *LEAs administer Chapter 2 programs in private nonprofit schools.*

Program: ESEA, Chapter 2

Program Goal: To improve elementary and secondary education in public and private nonprofit schools by increasing local flexibility, reducing administrative burden, providing services to students, and encouraging innovation

Key Strategy: *LEAs have followed federal requirements in developing and implementing Chapter 2 programs.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Ch2.1 The Chapter 2 (Ch.2) program is being implemented in accordance with the approved Consolidated Application.			
Primary test **Ch2.1a** The district is implementing the services and projects approved in the Consolidated Application. (PL 100-297, Ch.2, 1533)	District - Compare Consolidated Application approved Ch.2 budget (Part II, page 38) with actual expenditures.	- Expenditures relate directly to authorized programs.	
Secondary tests **Ch2.1b** Parents, teachers, and administrators of the district's elementary and secondary schools have been consulted in allocating funds to programs authorized by Ch.2 and in planning and implementing such programs. (PL 100-297, Ch.2, 1533(a)(5))	District and Site - Examine records of staff and parent consultation in allocating funds and in planning and implementing Ch.2 programs. - Interview the project director. ASK: - How are Ch.2 funds distributed? - What is the funding formula? - Who makes the decisions about how funds are used? - Interview parents. ASK: - How were parents consulted to determine specific use of Ch.2 funds? - Interview teachers. ASK: - How were staff members consulted to determine specific use of Ch.2 funds?	One or more of the following: - Results of questionnaires or polls - Meeting notices, agendas, and reports of involvement in activities - Notices to parents, teachers, and administrators requesting involvement - Minutes of a representative committee appointed to make recommendations for Ch.2 programs	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Ch2.1c Ch.2 services, equipment, materials, and supplies are supplementary to the regular instructional program. (PL 100-297, Ch.2, 1571(b))	**District** - Review Ch.2 budget and expenditure records. **District or Site** - Compare regular program expenditures among a number of schools with Ch.2 expenditures.		
Ch2.1d A complete Ch.2 equipment inventory is kept in accordance with the *California School Accounting Manual.* (PL 100-297, Ch.2, 1533(a)(4))	**District or Site** - Examine inventory records.	- Missing or misplaced equipment - All equipment is listed and identifies: • Type of equipment • Manufacturer's ID number, if any • Date of purchase	

Key Strategy: *LEAs administer Ch.2 programs in private nonprofit schools.*

Ch2.2 Ch.2 services for private nonprofit school students are on an equitable basis with those for public school students, taking into account the number of students served and the special educational needs of such students.			

ERIC
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Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary test **Ch2.2a** Expenditures per Ch.2 participant are equal in public and private nonprofit schools or different only if based on documented differential needs of participating students. (PL 100-297, Ch.2, 1572(b))	**District** - Review the district's method for determining equitable shares for participating private school students. - Examine actual expenditure records.		
Secondary tests **Ch2.2b** Nonprofit private school representatives are consulted by public school officials during the planning of the Ch.2 program regarding selection of participants, identification of needs, provision of services, and program evaluation. (ESEA, Ch.2, 586(a)(1); PL 100-297, Ch.2, 1572(a)(1))	**District** - Examine records of private school consultation.	- Signed agreements for Ch.2 services from each participating private school - Minutes showing private school participation in Ch.2 planning meetings - Signed statements of participating private school representatives indicating they were consulted in the planning of the Ch.2 program	
Ch2.3 Ch.2 personnel, equipment, and instructional materials which are provided to private nonprofit schools are under the control and supervision of the district.			
Primary tests **Ch2.3a** Regularly scheduled supervision is provided by district personnel. (PL 100-297, Ch.2, 1572(c)(2))	**District** - Review the supervisory schedule or other documentation. - Review records of administrative visits to private schools. - Review administrative memos to private school personnel. - Review records of attendance of private school personnel at Ch.2 administrative meetings.	- Evidence that regularly scheduled supervision has occurred.	
Ch2.3b The Ch.2 services, equipment, supplies, and instructional materials provided to nonprofit private schools are supplementary to the regular education program. (PL 100-297, Ch.2, 1533(3))	**District and Site** - Compare regular program expenditures among a number of private schools with Ch.2 expenditures. **Site** - Verify the accuracy of the inventory list at a sample of schools.	- Evidence that the Ch.2 services are supplementary to the base education program. - Missing equipment - Equipment in use, but not on inventory	

Program

Neglected or Delinquent

Program Goal

To assist students in acquiring knowledge and skills necessary to participate effectively in society

Key Strategies

- *The agency ensures that eligibility to be counted for funding for Chapter 1 services to neglected or delinquent (N/D) students is correctly determined.*
- *Local educational agencies (LEAs) provide educational services on the basis of assessment and evaluation data.*

Program: Neglected or Delinquent

Program Goal: To assist students in acquiring knowledge and skills necessary to participate effectively in society

Key Strategy: *The agency ensures that eligibility to be counted for funding for Chapter 1 services to neglected or delinquent (N/D) students is correctly determined.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary Item **N/D.1 Each student who has been identified for funding purposes is from 5-17 years of age and has resided in a local institution for at least 30 consecutive days, one day of which was during the prior October.** (PL 100-297, Sec 1017; 34 CFR 200.23(a))	Region - Review the October count submitted to the SDE for accuracy		

Key Strategy: *Local educational agencies (LEAs) provide educational services on the basis of assessment and evaluation data.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary item **N/D.2 Student needs are assessed annually and results for students are on file at each participating site.** (34 CFR 200.31(b))	Site - Review the assessment results for a sample of participating students. - Interview appropriate staff. ASK: - What is the initial assessment procedure used to determine participating student needs?	- The assessment was made using a uniform method. (NOTE: Different grade levels may use different assessment methods.) - The assessment information is at the school site and is available to all appropriate staff.	
Primary item **N/D.3 A procedure for evaluating the effectiveness of the program has been established.** (34 CFR 200.35(a)(1)(i))	Region - Review the county/district evaluation plan for reporting achievement. - Interview persons responsible for evaluation. ASK: - How do you evaluate the effectiveness of the planned program?		

Program

Migrant Education

Program Goal

To provide supplemental services to meet the special educational needs of migrant children in order to address problems arising from their migrant life-style

Key Strategies

- *The agency ensures that eligibility for migrant education is correctly determined and documented.*
- *The agency uses MSRTS records to (1) assist in evaluation and placement, (2) obtain information about services provided to migrant students; and (3) update information to help improve continuity in migrant students' education.*
- *The agency identifies students' current educational and health needs and provides services to address those needs.*
- *Parents of migrant students are provided training and are consulted on the educational and health programs provided by migrant education.*
- *The agency provides supplemental staff development to ensure that migrant education staff have the skills necessary to address the identified needs of migrant students.*
- *The operating agency ensures that its districts and school sites implement the migrant education program evaluation to improve services to eligible migrant children.*
- *Agency expenditures are in accordance with all applicable state and federal statutes and regulations and are supplementary to, but supportive of, the district core and all other categorical programs.*
- *The agency has in place procedures for hearing and resolving complaints.*

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Program: Migrant Education

Program Goal: To provide supplemental services to meet the special educational needs of migrant children in order to address problems arising from their migrant life-style

Key Strategy: *The agency ensures that eligibility for migrant education is correctly determined and documented.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
M.1 Children receiving migrant services are correctly identified and enrolled.			
Primary tests M.1a Certificate of Eligibility (COE) forms have been correctly completed. (34 CFR 201.30)	**District or Site** - Review at a minimum, 15 COEs of currently active migrant children (status 1,2,4,5) - Refer to instructions for completing the COE and the identification and recruitment policies.	- COEs should be completely filled in with appropriate and reasonable information (e.g. type of employment sought is clearly specified, parent signature is within 12 months of last signature). - Item 20 of the COE is used to clarify questionable information.	
M.1b Eligibility is correctly determined on the basis of eligibility rules and guidelines as specified in the *Identification and Recruitment (ID&R) Handbook.* (34 CFR 201.30)	**District or Site** - Review critical eligibility items on the COE: 7, 9. 19, 21, 22, and sometimes 20. - Assess accuracy of determination in accordance with *ID&R Handbook.*	- Accuracy of eligibility determination based on information in critical items, using *ID&R Handbook* for rules and guidelines. (See pages A-1 through A-4. Additional guidelines are in sections B and C.)	
M.1c The agency regularly monitors the accuracy, completeness, and timeliness of eligibility determinations documented on the COE. (34 CFR 201.30)	**Region and Site** - Review the schedule and process for monitoring. - Interview program personnel (regional and district). ASK: - What evidence do you have of regular monitoring of COEs for purposes of determining accuracy, completeness, and timeliness of eligibility determinations?	- Evidence exists that regular monitoring of the identification and recruitment process occurs to ensure accuracy, completeness, and timeliness of determinations. - Findings are documented and follow-up measures are taken to correct deficiencies where identified. - Corrective procedures are developed and incorporated in in-service training and staff development.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
M.1c (Continued)	**Site** - Interview staff responsible for updating data. ASK: - What is some of the identification and recruitment in-service/staff development training you have received?		

Key Strategy: *The agency uses MSRTS records to: (1) assist in evaluation and placement, (2) obtain information about services provided to migrant students, and (3) update information to help improve continuity in migrant students' education.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
M.2 The program correctly uses and updates the Migrant Student Record Transfer System (MSRTS) records about health and education services provided to migrant students.			
Primary tests M.2a MSRTS records are made available to instructional and health personnel for use in identifying student needs and providing appropriate services. (34 CFR 201.1(b) and 201.12(a)(1)(ii))	**District or Site** Examine the system used for distributing and filing the MSRTS records. - Interview program administrators. ASK: - What process do you use for updating, distributing and using MSRTS materials? - How do you ensure that there is an MSRTS health and education record for each enrolled migrant student? - What procedures do you use that encourage the use of MSRTS data?	- Procedures/practices exist which provide reasonable opportunity for site staff to obtain and use the MSRTS data. - There is an MSRTS educational and health record in each student's school file, or it is made available to school personnel.	
M.2b Current information regarding health and education services is properly entered onto MSRTS for all children with documented eligibility for migrant education services. (34 CFR 201.1(b) and 201.12(a)(1)(ii))	**District or Site** - Examine the MSRTS education and health records for the 15 students selected in M.1a.	- Information on the education records has been updated within the last 12 months. - The screenings, labs, and the immunization section of the health records show evidence of updating.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Secondary test **M.2c** The agency regularly monitors the accuracy, completeness, and timeliness of MSRTS data. (34 CFR 201.1(b) and 201.12(a)(1)(ii))	Region and Site - Review the schedule and process for monitoring. - Interview program personnel (regional and district). ASK: - What evidence do you have that regular monitoring of MSRTS for purposes of determining accuracy, completeness, and timeliness of data occurs? How do you ensure that updating of MSRTS data takes place? Site - Interview staff responsible for updating data. ASK: - What is some of the MSRTS in-service/ staff development training you have received?	- Evidence exists that regular monitoring of the MSRTS occurs to determine accuracy, completeness, and timeliness of data. - Findings are documented and follow-up measures are taken to correct deficiencies where identified. - Corrective procedures are developed and incorporated in in-service training and staff development.	

Key Strategy: *The agency identifies students' current educational and health needs and provides services to address those needs.*

M.3 Supplemental services are provided to migrant students on the basis of a timely and comprehensive student needs assessment and an individual learning plan (ILP) which specifies services to be provided to address identified needs. The ILP is prepared in accordance with the student needs assessment and *Migrant Education Health Guidelines.*			

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Primary tests M.3a In order to address student needs identified by the student needs assessment, the operating agency or district provides instructional, health, or special services in accordance with applicable state and federal regulations and with the project's funding terms and conditions as stated in the service agreement. (34 CFR 201.32, 34 CFR 74 Appendix C, Part I,C,b,d,e; EC 54443.1(c))	**District** - Review district service agreement. - Check samples of purchase orders to identify funds used to pay for services. - Compare student needs assessment with student ILP. - Interview program administrator. ASK: - What are some of the services to be provided to migrant children as agreed to in your service agreement?	- Services specified in the regional application and district service agreement include, but are not limited to, the following: ● Academic instruction ● Remedial and compensatory instruction ● Bilingual and multicultural instruction ● Vocational instruction ● Counseling and career education services ● Applicable preschool services ● Other educational services as required	
	Site - Review sample of at least two students' needs assessments from at least three grade levels.	- Services address needs identified by needs assessments and identified in ILPs.	
	- Review documentation of services provided by migrant education to eligible children. - Select two students from at least three grade levels and review services provided to each.	- Health card records, screenings, immunizations, referrals, and services are provided. - Data indicated on health cards reflect types of proposed services to be provided.	
	- Review health cards in students' cumulative files.	- Note any serious health problems indicated on cumulative folders.	
	- Interview teachers and aides. ASK: - How do you determine whether the migrant student is receiving all services for which he/she is eligible? - What kinds of services are you obligated to provide according to the service agreement?	- Teachers and aides are knowledgeable of the services to be provided as specified in the service agreement.	
	- Interview nurses. ASK: - What health services are you providing to migrant students that regular students do not receive?	- Note if services are supplemental and that migrant students have access to services provided to all other children.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
M.3a (Continued)	- Interview parents. ASK: - How and when were you informed of the details of the service agreement? - What kinds of health and/or educational services have your children received from migrant education?	- Program information to parents is timely and consistent.	
	- Interview students. ASK: - How has the migrant program helped you with health and/or dental problems? - What kind of educational program, including migrant education, do you receive from the school?	- Students of need receive all services for which they are eligible.	
M.3b A comprehensive and supplementary individual needs assessment is completed within 30 days of each migrant student's enrollment (and annually thereafter) which correctly and completely identifies the student's needs. (EC 54443.1(a))	Site - Review a printout or individual needs assessment for two students at each of three grade levels.	Needs assessments: - Are completed within 30 days of student's enrollment. - Cover the full range of needs and services identified in migrant legislation. - Are supplementary to any assessments of student needs provided by the district for nonmigrant students. - Include assessments concurrently provided by other programs serving the student. - Contain all names and relevant data to be considered as compliant with statutes.	
M.3c ILPs are developed upon completion of the student needs assessment. The ILP includes the results of assessments concurrently provided for compensatory education, bilingual-bicultural education, school improvement programs, and other programs serving the student. The ILPs indicate migrant supplemental services to be provided to address identified needs for instruction and health and supportive services. (EC 54443.1(d))	Site - Review a sample of at least two ILPs from at least three grade levels, and compare them with the needs assessments. - Compare services provided to services delineated in ILP. - Identify services provided by migrant education, those provided by district core program, and all other categorical programs.	- ILPs are developed and made available to parents with copies in each student's file. - Services identified on ILPs clearly address the needs identified on the students' needs assessments. - ILPs of students receiving services are supplementary to other learning plans developed by the district for nonmigrant students.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
M.3d Services provided by migrant education are supplemental to those provided by the district core program and by all other categorical programs. (34 CFR 204.32)	District or Site - Review operating agency's application and district service agreement. - Compare regional application and district service agreement to services actually being provided. - Review files of a sample of two students from at least three grade levels; compare services provided by migrant education with those provided by district core program and all other categorical programs. - Review student schedules, needs assessments, and ILPs. - Interview program and school administrators. ASK: - How do you ensure that migrant students receive the full range of services for which they are eligible? - How do you determine that migrant services are supplemental to the district program?	- Educational and health services provided by migrant education are supportive to, but different (in kind or intensity) from those provided by the district core program and all other categorical programs. - Supplemental services do not constitute the majority of the student's educational program. - Purchase orders indicate that migrant funds are used only for services to migrant students. - Migrant education services are provided only AFTER staff have investigated and exhausted all other resources (i.e., the district core program and all other categoricals).	
	- Interview students. ASK: - What kind of services do you receive from the school and migrant program? - What is your schedule of classes?	- Student's schedule indicates equal access to core curriculum.	
M.3e The needs assessments of the students are summarized in a general needs assessment for the school site, district, county, and region. (34 CFR 201.32; EC 54443.1(b))	Region - Review district service agreement, regional application and county office files containing needs assessment data.	- Summaries of needs assessment data at the various levels. - A computer printout showing that an aggregation of district needs assessment data is current and available.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
M.3f Children are served according to their needs in order of priorities: 1. School-aged current migratory children 2. School-aged former migratory children 3. Preschool current migratory children 4. Preschool former migratory children (34 CFR 201.31, EC 54443(a))	**District** - Select a sample of current migratory students in the district from MSRTS. - Compare identified needs with services provided (needs assessments, ILPs). - Interview program staff. ASK: - What procedure(s) do you use for determining which migrant students will receive services? - How do you use needs assessments and ILPs in determining services for eligible migrant students?	- Current migratory students receive services to address their needs before services are provided to former migrants.	
Key Strategy: *Parents of migrant students are provided training and are consulted on the educational and health programs provided by migrant education.*			
M.4 Each agency provides for parent involvement through the establishment of, and in consultation with, a parent advisory council in accordance with its funding terms and conditions and in accordance with state statutes and regulations.			
Primary tests M.4a The agency regularly consults the parent advisory council (PAC) regarding program activities, including, but not limited to: 1. Establishing migrant education program goals, objectives, and priorities 2. Reviewing annual and year-end needs assessments, as well as program activities, for each school, and reviewing of individualized education plans	**Region and District** - Review minutes of parent advisory council (PAC) meetings. - Review district and operating agency plans for parent participation. (See agency's application and district service agreement.) - Review resource teacher's files or those of person assigned to deal with parent involvement. - Review meeting agendas.	- Minutes and agendas of meetings specify parent involvement activities. - Topics discussed and action taken - Parent involvement in the four areas listed in M.4a.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
M.4a (continued) 3. Advising on the selection, development, and reassignment of migrant education staff 4. Having active involvement in the planning and negotiation of program applications and service agreements (EC 54444.4)	**Site** - Interview parents. ASK: - What kinds of school and program matters have been discussed at PAC meetings? - Can you give some examples of how you have been involved in PAC activities? - How have you been involved with the establishment of program goals and objectives? - What kinds of opportunities have you had to advise staff on program matters? - Have you served on any committees formed to look at needs assessment reviews, evaluation reports, or program activities?		
M.4b Composition of district and regional advisory committees includes at least two-thirds migrant parents who have been elected by peers. (EC 54444.2(a)1.)	**Region and District** - Review application and service agreement regarding PAC composition. - Interview program administrators. ASK: - What is the composition of the parent advisory council? - How and when are officers of the PAC selected? - What documentation is available which records the activities and recommendations of the PAC?	- Evidence that members of the parent advisory council were elected by peers	
M.4c PAC meetings at the regional and district levels are held at least six times per year. (EC 54444.2(a)1.)	**Region and District** - Review PAC minutes and PAC meeting attendance sheets.	- Records, minutes, and sign-up sheets indicate that meetings are conducted as required by law.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
M.4d The agency follows a schedule for providing appropriate training to members of the PAC. (EC 54444.2(a)(4) and 54444.4(c)(4))	**Region and District** - Review district and operating agency records for training schedules. **Site** - Interview parents on PAC. ASK: - What kinds of training have been provided to you as members of the PAC?	- Training is provided to members of PACs to enable them to carry out their responsibilities. - Training provided addresses activities of PAC as specified in plans and agreements.	
M.4e Information to parents on the PAC is provided in a language they can understand. (EC 54444.2(a)(1))	**Region and District** - Review correspondence sent to PAC parent members, notices, bulletins, etc. **Site** - Interview parents on PAC. ASK: - What kinds of information have you received regarding PAC activities? - Do you receive this information in your primary language?	- Newsletters, minutes, or correspondence in the parents' primary language	
Key Strategy: *The agency provides supplemental staff development to ensure that migrant education staff have the skills necessary to address the identified needs of migrant students.*			
M.5 Staff development activities which improve staff skills in teaching migrant students are provided.			
Primary tests **M.5a** Staff development activities address the identified needs of enrolled students as determined by analysis of the aggregated needs assessments and current staff skills. (EC 54443.1(e) and 54444.4(c)(5))	**Region and District** - Review schedules, agendas, sign-in sheets, and plans for staff development provided for migrant education staff. - Interview program directors. ASK: - How do you determine the kinds of staff development activities to include in the service agreement? - What procedures do you follow to ensure migrant staff participation in staff development activities?	- Operating agency's staff development activities reflect those described in application. - Evidence that the district fulfilled service agreement commitments to participate in operating agency's staff development activities.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
M.5a (continued)	- How do you determine that the staff development activity offered by the migrant program addresses the special needs of migrant students? **Region and Site** - Review operating agency's plan for staff development in application. - Review summaries of needs assessments to identify staff needing training. - Review evaluation forms of trainings conducted. **District or Site** - Interview migrant staff. ASK: - What kinds of staff development activities have you had access to that are specified in the service agreement? - What are the requirements for your attendance and/or access to these staff development activities?	- Staff development offered by migrant education is supplementary to and different from that offered by the district and all other categoricals, and it addresses the special needs of migrant students. - Site and/or region compared identified needs of students (using needs assessment summaries) and skills of staff, identified needed improvement, and provided staff development accordingly. - Evidence exists of staff development to address identified needs. - Agendas indicate type of training offered. - Attendance sheets indicate number and classification of personnel attending.	
M.5b Staff development activities are supplemental to the offerings of the district program and all other categorical programs. (34 CFR 204.32; EC 54443.1(c) and 54444.4(C)(5))	**Region and District** - Review service agreement and migrant region's application. - Compare region and district staff development plans. **District or Site** - Interview school and district administrators. ASK: - What staff development activities are provided by the district program, other categoricals, and by migrant education?	- Staff development activities are provided by district and other categoricals and by migrant education.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
Secondary test M.5c Migrant education staff development is provided in coordination with other staff development and serves to increase the skills of staff to meet migrant students' needs. (EC 54443.1(c) and 54444.4(c)(5))	Region or District - Review planning documents, meeting agendas, descriptions of training, and schedules. - Review service agreements and applications. - Interview regional and district staff development personnel. ASK: - How do you coordinate the staff development activities of the migrant education program with other available staff development opportunities?	- Evidence of planning meetings, actual staff development offerings, and attendance. - Coordination activities are documented and articulated with the district's staff development program.	
Key Strategy: *The operating agency ensures that its districts and school sites implement the migrant education program evaluation to improve services to eligible migrant children.*			
M.6 The operating agency evaluates its programs using objective measures of student achievement in basic skills to determine the effectiveness of its programs and uses this information for program improvement.			
Primary tests M.6a The operating agency provides for an objective, measurable evaluation of educational achievement that includes a determination of whether improved performance in basic skills is sustained. (CFR 201.12(a)(3)(vi))	Region - Review MSRTS printouts to determine if student data have been aggregated by the region. - Interview regional staff. ASK: - What is the process used for collecting the data items for a given year?	- Specified data items have been or are being entered into the MSRTS database. - The process for collecting data is sufficient and complete.	
M.6b Migrant education program staff conduct evaluations. (ESEA, Chapter 1, 556(b)(4))	District - Examine the district report for the previous year, which is entitled "Test Results Reporting Form for Compensatory Education and State Bilingual Programs." - Review MSRTS printouts to determine whether data are being entered.	- The migrant education reporting pages were completed and submitted to the SDE. - Printouts display data for all students who have been enrolled 30 days.	

Key Strategy: *Agency expenditures are in accordance with all applicable state and federal statutes and regulations and are supplementary to, but supportive of, the district core and all other categorical programs.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
M.7 All expenditures for the migrant education program are in accordance with applicable federal and state laws and regulations.			
Primary test **M.7a** Agency and district expenditures are in accordance with the project's funding terms and conditions and with approved budget submitted in application. (34 CFR 204.22)	Region - Review approved budget. - Review operating agency fiscal records, as appropriate. - Compare fiscal records with approved budget.	- Expenditures are in accordance with approved budget.	
Secondary tests **M.7b** The regional office regularly monitors districts' fiscal records to ensure appropriate expenditures, as demonstrated by written evidence. (34 CFR 204.10)	Region - Review operating agency's application, schedule, and plan for monitoring districts' records. - Review operating agency's files. - Interview regional and district fiscal and administrative staff. ASK: - How do you ensure regular monitoring of required fiscal records? - How often are fiscal records reviewed?	- Approvals or suggestions for corrections after monitoring - Evidence of visits - Plans, schedules, and testimony reflect required monitoring by the regional office.	
M.7c Operating agencies have on file at their offices and the district office documentation supporting funds used to pay staff in multifunded positions. (34 CFR Part 74, Appendix C, Part 11.B.10.b)	Region and District - Examine list of names and MSRTS numbers of migrant students served by the multifunded staff person. - Examine time sheets of multifunded personnel and compare with records maintained for time allocation by function or program. - Examine the district program to determine that migrant students received both the core program and additional services.	- Salaries and wages of employees chargeable to one grant program or other expenditures are supported by appropriate time distribution records. - Evidence that the amount of the time charged to the migrant program reflects the amount of time personnel work with migrant students and/or the migrant program as required by federal and state regulations.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
M.7d Budget figures and expenditures correspond to the approved service agreement. (34 CFR 204.22)	**Region or District** - Review a sample of monthly reimbursement claims and the final claim if the district is a reimbursement district. - Review service agreement for determining whether expenditures are approvable.	- Budget figures and expenditures correspond to the approved service agreement.	
M.7e Expenditures are incurred in accordance with locally established policy, approved service agreement, and state/federal current policy. (34 CFR 204.22; Appendix C, Part I, C.I.D., Part II, B.19c)	**District** - Review a sample of purchase orders. - Review a sample of travel claims. - Review payroll and time documentation for migrant personnel.	- Purchase orders are approved in advance and are for budgeted purposes. - Travel claims are approved and paid in accordance with local, state, and federal travel policy and are for budgeted purposes. - Travel claims are for migrant education activities only. - The number of staff reported in the payroll matches the approved budget. - Time sheets for multifunded personnel show hours and/or days charged to migrant education. If direct instructional services are provided, then names, grade level, and status of migrant students are included. - Payroll and time documentation are for migrant education personnel only and reflect the migrant service agreement.	

Key Strategy: *The agency has in place procedures for hearing and resolving complaints.*

Primary item M.8 The regional or direct funded district has developed and implemented written procedures for the resolution of complaints which provide opportunity to present evidence relevant to the complaint and procedures for written resolution of the findings and provides for resolution within 30 calendar days of receipt of the complaint. (34 CFR 204.64)	Region - Review the operating agency complaint procedures. - Interview program staff. ASK: - What complaint procedures has the region and/or direct-funded district adopted?	- Written complaint procedures which provide for resolution within 30 calendar days. - Evidence that there has been use of a formal complaint procedure conforming to the regulations (if complaints have been received or processed). - Provision for a copy of the resolution to the complainant in a language he or she best understands. - Procedures for an appeal.	

Program

Special Education

Program Goal

To ensure that all individuals with exceptional needs, ages birth through twenty-one, are appropriately identified, assessed, and provided free appropriate public education programs and services designed to meet their unique needs

Key Strategies

- *All students in need of special education and related services must be IDENTIFIED, LOCATED, AND REFERRED.*
- *Each local educational agency (LEA) shall establish and implement procedures consistent with the requirements of federal and state laws for educational ASSESSMENT of an individual with exceptional needs.*
- *An INDIVIDUALIZED EDUCATION PROGRAM shall be developed for every individual with exceptional needs and shall be reviewed periodically but not less than annually.*
- *Each LEA shall ensure that a full continuum of program options is available to meet the educational and service needs of individuals with exceptional needs in the LEAST RESTRICTIVE ENVIRONMENT.*
- *All PROCEDURAL SAFEGUARDS of the Education for All Handicapped Children's Act shall be established and maintained by each LEA that provides special education and related services to individuals with exceptional needs.*
- *All school personnel shall be provided an opportunity to participate in an ongoing comprehensive system of STAFF DEVELOPMENT activities.*
- *When appropriate, NONPUBLIC SCHOOL SERVICES (NPS) are provided to individuals with exceptional needs under a contract, as specified in the IEP.*
- *LOCAL PLAN AGREEMENTS entered into by participants (i.e., districts, counties) promote diversity of program options and service.*

Program: Special Education

Program Goal: To ensure that all individuals with exceptional needs, ages birth through twenty-one, are appropriately identified, assessed, and provided free appropriate public education programs and services designed to meet their unique needs

Key Strategy: *All students in need of special education and related services must be IDENTIFIED, LOCATED, AND REFERRED.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.1 There are procedures to ensure that individuals who have been identified are referred for special education instruction and services only after the resources of regular education have been considered and, where appropriate, utilized.			
Primary tests S.1a Students who may be in need of special education have been located and identified. (EC 56301, CFR 300.128)	SELPA and District - Review local plan and procedural handbook. - Interview administrative staff. ASK: - What are your procedures for locating students in need of special education? - What are your procedures for identifying infants and preschool age children?	- Policy and procedures regarding search efforts to systematically locate and identify individuals with exceptional needs including infants and preschool children - Search efforts in languages other than English - Use of screening procedures by language-speech specialist	
S.1b Attempts have been made to modify the regular education program before referring the individual for special education. (EC 56200(h), 56303; CCR T5 3021(B)(2))	SELPA and District - Review local plan. - Review district procedures. Site - Review at least three records of students of various ages (i.e., preschool, elementary, and secondary) recently placed. - Interview principal, key site personnel, other staff. ASK: - What procedures do you use to modify the regular education program before referring to special education? - Who are members of the student study team or other intervention group?	- Documentation of interventions, strategies - Description of process utilized in considering regular education programs prior to referral to special education - Written description of a student study process - Involvement of site principal and regular categorical, bilingual, and migrant program personnel - Assistance given by regular teachers to modify the regular program - Extra help given student before referral - Effectiveness of prior interventions	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.1c Referral procedures are coordinated with other school site programs. (EC 56200(h), 56220(a), 56302, 56303)	Site - Interview regular and special education teachers, Ch.1, bilingual, and migrant coordinators. ASK: - How do you find and refer students who might need special education? - What kind of strategies do you use to help a child before referring to special education? - Are programs such as Ch.1 utilized before referral? How?	- Personnel are aware of student study process. - Procedures ensure cooperation and coordination among specially funded programs in identification, referral, and placement considerations.	
S.2 Policies and procedures regarding referral are clearly defined, consistently used, and documented throughout the special education local plan area (SELPA).			
Primary tests S.2a Referrals are processed for all potential special education students (including infants from birth to 3 years). (34 CFR 300.128, 300.220; EC 56300-56302, 56321)	SELPA and District - Review procedures/forms. - Review site newsletters and notices to parents. - Review referrals. - Interview administrative staff. ASK: - Describe your referral procedures. - How is the information concerning the outcome of the referral used and maintained?	- Search efforts to systematically locate and identify individuals with exceptional needs, including infant and preschool children - District's annual notification of rights and procedures to initiate a referral - Procedures for initiating and processing referrals from teachers, parents, and agencies; and for transmitting these referrals to all appropriate staff members - Logging of dates of referrals and subsequent decisions of those referrals - Ages include 0-22 years - Procedures for monitoring referral/assessment time lines - Hearing and vision screenings for all initial referrals	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.2b The parent is informed that his or her child has been referred for assessment for possible special education services. (34 CFR 300.504-505; EC 56301,56321(a)(c); CCR T5 3021)	Site - Review written referral notice. - Interview parents. ASK: - Did you refer your child for special education? - When did the school inform you that your child might need special education services?	- Evidence is available to substantiate that parents were informed via a written notice in the appropriate language. - Parents are aware that they may refer their child.	

Key Strategy: *Each local educational agency (LEA) shall establish and implement procedures consistent with the requirements of federal and state laws for educational ASSESSMENT of an individual with exceptional needs.*

S.3 Policies and procedures regarding assessment are clearly defined, consistently used, and documented throughout the SELPA.			
Primary tests S.3a There is evidence that all individuals, birth to 22 years of age who are referred are assessed based on an assessment plan that is developed within 15 days from the date of referral and contains the following information: 1. Reason for assessment 2. Description of materials and procedures 3. Indication of trained and competent personnel 4. Individual's primary language and language proficiency status (LEP/FEP) 5. Recent assessments, including any available independent assessments and assessment information the parent requests to be considered 6. Alternative means as appropriate 7. Parent consent/date (34 CFR 300.530-534; EC 52164.1, 56301, 56302, 56320(b)(3), 56321(a-c), 56322; CCR T5 3022, 3023, 3027, 3028,3030(c)&(j))	SELPA and District - Review SELPA procedures and district procedures, if different. Site - Review referral log. - Review assessment plan form. - Examine referral forms and student records. - Interview administrators, assessment personnel, and special education teachers. ASK: - How is the assessment plan developed? - How are assessment personnel involved in the assessment process? - Are assessments conducted when requested? - Interview parents. ASK: - Did you give permission for your child to be assessed? - Were you asked if you had any pertinent assessment information?	- Date of referral - Documentation of individuals referred indicating assessment date and subsequent decision/action - Assessments relate to referral information. - Assessment plans with dates and items as specified in test	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.3b Proposed assessment plans are in a language easily understood by the general public and in the primary language (or mode of communication) of the parent. (34 CFR 300.505; EC 56321(a-c))	Site - Review assessment plan. - Interview parents. ASK: - Did you receive a written assessment plan in your primary language? - Did you understand the proposed actions? - Did you receive a copy of the notice of parent rights along with the assessment plan?	- Parents are aware of and understand assessment plan. - Notice in primary languages	
S.3c Assessments are conducted by a multidisciplinary team, including at least one teacher or specialist knowledgeable in the area of suspected disability. (34 CFR 300.532(e))	Site - Review assessment plan and reports. - Interview special education service providers. ASK: - Who participates in the assessment of students with suspected: a. Learning disabilities? b. Speech and language disabilities? c. Hearing impairments? d. Visual impairments? e. Motor disabilities?	Documentation that appropriate staff, including DIS personnel, conduct assessments (When the student receives unduplicated speech/language service or when the student referral information indicates that speech/language may be the only service required, the language/speech specialist may be the sole assessor.)	
S.3d Assessment personnel are competent and appropriately trained to administer and interpret test results and, when necessary, are knowledgeable and understanding of cultural and ethnic backgrounds and competent in both the oral and written skills of limited-English-proficient (LEP) individuals. (34 CFR 300.532-300.533; EC 56320(b)(3),(f), 56322, 56324; CCR T5 3023)	SELPA and District - Review list of certificated staff. - Review staff development activities. - Review recruitment procedures. - Interview SELPA and district staff. ASK: - What kind of in-service training program is used for assessment personnel? Does it include: a. Administering and interpreting test results?		

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.3d (Continued)	b. Understanding of cultural and ethnic backgrounds? c. Alternate means? d. Oral and written skills in other languages? e. Training of interpreters? - What evaluation methods are used to determine staff competencies? - What procedures are used to select, train, and utilize interpreters for assessment? District and Site - Review assessment reports. - Review SELPA and/or district-adopted competencies for the various assessment personnel.	- Documentation of training on assessment procedures, including sociocultural and economic factors - Employment of personnel with bilingual and multicultural assessment skills - Use of interpreters when qualified staff are not available	
S.3e Individuals are assessed in their primary language or other mode of communication and in all areas related to the suspected disability. (34 CFR 300.532; EC 56320(b)(1),(c),(f); CCR T5 3027)	SELPA - Review local plan, procedural handbook, or administrative procedures. - Interview special education staff. ASK: - Who determines the student's language proficiency? District and Site - Review assessment plan and assessment reports.	- District procedures to determine language proficiency status - Use of Home Language Survey - Description of bilingual assessment procedures - Description of use of interpreters - Description of procedures used for assessing students with impaired sensory, manual, or speaking skills - Documentation of student's performance in primary language or other mode of communication	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.3f Assessment materials and procedures are selected and administered so as not to be discriminatory and to reflect the individual's skills and aptitude levels. (34 CFR 300.530(b), 300.532; EC 56320(a)(3),(d))	**District and Site** - Review student records. - Review sample of records of racial/ethnic and language minority students. - Review assessment plan and assessment reports.	- Statement regarding validity of the tests and the results - Nondiscriminatory techniques, methods, and materials used for ethno- and culturally diverse students - Test reports and/or protocol document assessment in the student's primary language, as appropriate - An assessment process that ensures IQ tests are not administered to black students per Judge Peckham's 1986 court order - Assessment results that reflect the individual's skills and aptitude levels as well as the handicapping condition	
S.3g The assessment process ensures that no single procedure is the sole criterion for determining placement. (34 CFR 300.532(d); EC 56320(e))	**SELPA and District and Site** - Review local plan. - Review assessment plan and assessment records.	- Description of process - Use of a multidisciplinary team - More than one assessment procedure	
S.3h An individual with a suspected low-incidence disability is assessed by qualified and trained personnel, consistent with state guidelines, and in all areas related to the suspected disability. (EC 56320(g), 56324; 34 CFR 300.532(c); CCR T5 3023)	**District and Site** - Review student records. - Review assessment plans. - Review assessment reports. - Interview special education teachers, audiologist, psychologists, health providers, and others. ASK: - Who participates in the assessment of students with low-incidence disabilities? - What are the areas of assessment that are standard for students who are hearing impaired, visually impaired, deaf-blind, or severely orthopedically handicapped? - How are assessments provided which may require participation of other agencies?	- Personnel are qualified as specified in job descriptions by the agency and state and federal law or regulation or state low-incidence guidelines. - Personnel attend to unique needs, skills, and need for specialized materials and equipment. - Assessments are used, where appropriate, for health and development hearing, orientation and mobility, motor, language, career and vocational abilities, social emotional status, and vision, including a low vision assessment consistent with state guidelines.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S3i Assessment results are documented and contain all required information: • Results of tests administered in primary language by qualified personnel • Statement regarding validity of the assessment, if interpreter was used • Whether test results are valid • Whether students' needs can be met in the regular classroom or whether the student may need special education • The relevant behavior noted during the observation of the student in an appropriate setting • The relationship of behavior to the student's academic and social functioning and recommendations based on learning strengths and styles as well as areas of needs • The educationally relevant health, developmental, and medical findings, if any • For students with learning disabilities, whether there is such a discrepancy between achievement and ability that it cannot be corrected without special education and related services • A determination concerning the effects of environmental, cultural, or economic disadvantage, where appropriate • The need for specialized services, materials, and equipment for students with low incidence disabilities • Consideration of independent assessments • Whether the student may need special education and related services • The basis for making the determination - For students with learning disabilities, a single report that reflects the findings and conclusions of each team member is available. (34 CFR 300.533, 300.543; EC 56001(j), 56026(a-c), 56320, 56327; CCR T5 3023)	**District and Site** - Review assessment reports (including speech/language, adapted physical education, and other designated instruction and services [DIS]). - Interview assessment/individualized education program (IEP) team. ASK: - How do you determine what components should be placed in the assessment report? - Are assessments completed before IEP meetings?	- Assessments relate to referral information - Description of required documentation to demonstrate eligibility for special education - Waivers to exceed the time line are documented when appropriate.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.3j There is a system for ensuring that each individual is reassessed at least every three years to determine eligibility, or more frequently when requested by parent or teacher. (34 CFR 300.534(b); EC 56329(a), 56344, 56381)	**SELPA and District** Review the Management Information System (MIS). - Review local plan, procedural handbook, or administrative procedures. - Review initial assessments and IEPs. - Interview psychologists, special education teachers, speech/language specialists, and other DIS providers. ASK: - Are students reassessed every three years or more often if requested? - What system is used to ensure that three-year reassessments are conducted? - Are students waiting to be assessed? - Interview parents. ASK: - Is your child reassessed every three years or more often if you request?	- Individual assessments are current and within the three-year time period. - The system that ensures three-year reassessments occurs in a timely manner. - Reassessment date is indicated on the assessment plan, individualized education program (IEP), or some other form within the MIS. - Initial assessment procedures are applied when conducting a three-year reevaluation. - An IEP meeting is held to review assessment results with the parent(s). - Teachers/parents are aware they may request an assessment prior to the triennial date. - Hearing and vision screenings for three-year assessments	
S.3k Interim placements do not exceed 30 days and are reviewed before the expiration of the 30-day period. (EC 56325)	**SELPA and District** - Review local plan, procedural handbook, and administrative procedures. - Interview administrative staff. ASK: - Do you have a procedure to account for delays in the receipt of records?	- Transfer students are reassessed, as appropriate. - IEP team reestablishes student's eligibility as an individual with exceptional needs (IWEN). - Placement rationale is documented. - A procedure which accounts for the potential delay in the receipt of records	
S.3l Preschool children are reassessed prior to transitioning from a preschool program to kindergarten or first grade and monitored to determine continuing need for special education. (EC 56445)	**District** - Review procedural handbook or administrative procedures. - Interview administrative staff. ASK: - Who is responsible for assessing the preschool child?	- Individual assessments occur near the end of previous school year. - A monitoring process which ensures that special education gains are not lost in the regular education programs - Kindergarten or first grade teachers are knowledgeable about performance levels and learning styles of students who have transitioned from a preschool special education program.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.31 (continued)	- If the child is exited from special education, how is this information shared with the regular class teacher (kindergarten or first grade, as appropriate)? - Who monitors the kindergarten or first grade child who now requires less intensive special education?		
Key Strategy: *An INDIVIDUALIZED EDUCATION PROGRAM shall be developed for every individual with exceptional needs and shall be reviewed periodically but not less than annually.*			
S.4 Policies and procedures regarding IEP development are clearly defined, consistently used, and documented throughout the SELPA.			
Primary tests **S.4a** Parent notification of IEP meetings includes the purpose, time, and location of the meetings and who will be in attendance. (34 CFR 300.345; EC 56329(a), 56341(b)(3),(c)(2),(f))	SELPA and District - Review notices/forms developed by the SELPA and/or district. Site - Interview principal and key site personnel. ASK: - Who notifies parents of their right to attend and present information and are they encouraged to attend and participate as full members of the IEP team? - What verification of written or verbal notification of IEP meeting date, time, and location is there?	- Copy of notice of IEP meeting to parents - Detailed records of attempts to contact, involve, inform, and convince parents to attend IEP meeting - Parents say they are encouraged to attend and participate with their child as full members of the IEP team.	
S.4b A meeting is held and IEPs are developed within 50 days from receipt of parental consent to the assessment plan. (34 CFR 300.343; EC 56340, 56341(a), 56342, 56344, 56441.12)	District and Site - Review IEP and assessment plans. - Interview parents, principal, and key site personnel. ASK: - Describe the IEP development process? - How is the process monitored? - Who is responsible?	- Date parent signed the assessment plan - Date IEP was developed	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.4c Eligibility criteria for special education are utilized and implemented. (34 CFR 300.5; EC 56441.11, 56333, 56337, 56342; CCR T5 3030(a-j), 3031)	**SELPA and District** - Review local plan. - Review procedural handbook. **Site** - Review student records, IEPs, and assessment reports. - Observe services provided to the students. - Interview parents, principal, resource specialist program (RSP) and special day class (SDC) teachers, DIS, psychologist, and key site personnel. ASK: How are the eligibility criteria utilized with regard to placement decisions by the IEP team?	- SELPA-adopted standards which clarify the eligibility criteria - Procedures for demonstrating eligibility for special education - Specific procedures for implementation of eligibility criteria - Results which summarize the IEP team planning and placement decision - Documentation that student qualifies for special education on the basis of one or more of the eligibility criteria - For students receiving an unduplicated DIS or related service (e.g., speech, adapted physical education, transportation, etc.), documentation which meets one of the criteria of CCR Title 5, Section 3030	
S.4d The format and the written IEP contain all the required components. (34 CFR 300.14, 300.346; EC 56001(e), 56345, 56346)	**SELPA and District and Site** - Review IEP form and select and review IEPs that reflect a variety of required services (e.g., LEP, low-incidence disabilities, nonpublic schools, state schools, infant and preschool, etc.). **Site** - Review IEP while observing services. - Interview parents, IEP team members, and special education administrators. ASK: - How do you determine if extended school year services will be provided?	- Present levels of performance - Annual goals, short-term objectives - Specific instruction and related services - Extent of participation in regular program - Date of initiation and duration of service - Objective criteria, evaluation procedures, and a schedule for determining at least annually whether objectives are achieved - Type of physical education - Parental consent to all or part of the IEP - When appropriate: ● Prevocational career education for K-6 ● Vocational education for 7-12 ● Differential proficiency standards for graduation ● Extended school-year services if eligible and needed ● Provision for transition to regular class	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.4d (Continued)		• Linguistically appropriate goals, objectives, programs, and services • Specialized services, materials, and equipment for students with low-incidence disabilities consistent with state guidelines - A single IEP is developed for students who receive both special education and DIS	
S.4e Students are receiving services in accordance with their IEP. (34 CFR 300.13, 300.307, 300.552(a)(2); EC 56345, 56363, 56364; CCR 5 3001(i),3040(c),3043,3051-3051.18,3053)	District and Site - Review IEP. - Interview DIS, IEP team members. ASK: - Is DIS only provided when available? - Interview parent. ASK: - Was IEP completed and presented to you at the beginning of the IEP meeting? - For secondary student: Were vocational or career education opportunities discussed?	- IEP covers only that part of the educational program affected by the student's handicap. - Frequency and duration of DIS - Occupational therapy, physical therapy, or other related services as determined by the IEP team - Length of instructional day for special classes is the same as for the age-appropriate peers in the general education program, unless IEP specifies otherwise. - Extended school year offered, when appropriate.	
S.4f The completed IEP shows a direct relationship among the levels of performance, the goals and objectives, and the specific services to be provided. (34 CFR 300.342-300.345; EC 56341, 56343; CCR T5 3040(c), 3042(a) and (b))	District or Site - Review IEP.	- Goals and objectives are related to assessment results. - Specific services are based on goals and objectives. - Placement decisions are based on the provision of required services in the least restrictive environment. - IEP goals and objectives focus on offsetting or reducing problems resulting from the student's handicap which interfere with learning or educational performance.	
S.4g Student progress is reviewed at least annually by the IEP team. (34 CFR 300.343(d); EC 56343(d), 56345(a)(6), 56362(a)(5); CCR T5 3068)	District and Site - Review IEP.	- Annual review schedule indicated - Objectives that are achieved, modified, or rewritten - Progress reports - Effectiveness of current programs	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.4h Attendance of required personnel at IEP team meetings is verifiable. (34 CFR 300.344, 300.347; EC 56341, 56506(d); CCR T5 3040(c))	**Site** - Review IEPs for signatures and dates. - Interview parents, students, key site personnel, and principal. ASK: - Who attends the IEP team meetings? - If you cannot attend the IEP meeting, what process do you use to ensure that your input is given at the meeting? - How are you informed of the IEP goals and objectives? - Are you encouraged to attend the IEP meeting? - How are surrogates chosen, trained, and utilized? - How do you determine when it is appropriate for the student to participate? - Do you as a parent have an opportunity to share information about your child at the meeting? - Did you participate in decisions regarding the program content and placement of your child? - Did you understand the IEP development process?	- Signatures of administrator/designee, student's teacher, parent/others knowledgeable, and student, if appropriate - Verbal acknowledgment of attendance - Students apprised of IEP goals by teacher - If student in nonpublic school (NPS) or agency, signature of NPS representative(s) - Attendance of LEP, migrant, and Chapter 1 staff, when appropriate - Procedures for use of surrogate parents (selection, training, etc.) - For unduplicated language/speech services, signatures of administrator/designee, language/speech specialist, parent, and student when appropriate.	
S.4i The contents of the IEP have been made available to teachers and service providers serving the student. (EC 56347; CCR T5 3040(b))	**Site** - Interview classroom teachers and other service providers. ASK: - How do you receive information concerning the content of the IEP? - Who discusses the content of the IEP with you?	- Teachers are knowledgeable about the contents of the IEP. - Teachers know how to obtain or where to find a copy of the IEP.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.4j A copy of the IEP is provided to the parents, and when requested, it is in the primary language of the parent. (EC 56346; CCR T5 3040(b))	**SELPA and District** - Review procedural handbook or administrative procedure. - Interview administrators, IEP team members, and parents. ASK: - What is the procedure to obtain a translated IEP? - Who makes the determination to translate the IEP? - For LEP parents: Are you told of your right to have a translated IEP?	- Description of how LEP parents are apprised of their right to obtain a translated copy - Procedures used to obtain translations - A notice regarding this right	
Key Strategy:	*Each LEA shall ensure that a full continuum of program options is available to meet the educational and service needs of individuals with exceptional needs in the LEAST RESTRICTIVE ENVIRONMENT.*		
S.5 Students are offered full and equitable educational opportunities which promote maximum interaction with nonhandicapped peers.			
Primary tests S.5a A continuum of program options for special education and related services is available for students from birth to 22 years of age. (34 CFR 300.304, 300.305, 300.551; EC 56360-56365; CCR T5 3043, 3053)	**SELPA and District** - Review local plan. - Review interagency agreements. - Review waivers. - Interview administrative staff. ASK: - What program options are available? - How are these services coordinated? - What is your continuum of service options for infants and preschool individuals? - When provided, does the extended school year operate for a minimum of 20 school days, including holidays?	- SELPA policy on least restrictive environment (LRE) - SELPA plan for the implementation of its LRE policy - Knowledge of State Board policy on LRE - Programs and services available include: • Resource specialist programs (Caseloads do not exceed 28 students for any one resource specialist unless a waiver has been granted. Duties are appropriate.) • DIS (Average caseload of language, speech and hearing specialists across the SELPA does not exceed 55; for three to five years inclusive, caseload does not exceed 40.) • Special classes and centers • Nonpublic/nonsectarian school services	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.5a (Continued)		• State special schools • Infant services (An adult/child ratio of 1:4 is not exceeded for group services.) • Preschool services (Group service programs for severely handicapped (SH) individuals with exceptional needs (IWENs) do not exceed a ratio of one instructional adult to five children or greater than a 1:6 ratio for other than SH.) • Transportation provided within the SELPA • Availability of a variety of general education programs such as art, music, industrial arts, consumer and homemaking education, and vocational education.	
	Site - Observe programs and services. - Interview parents, principal, and key site personnel. ASK: - What programs and services are available to special education students?	- Verification that above services are provided and caseloads are within maximum limit	
S.5b Steps are taken to ensure that individuals with exceptional needs participate in academic, nonacademic, and extracurricular services and activities to promote maximum interaction with the general school population. (34 CFR 104.4, 300.306, 300.550 (b)(i), 300.552, 300.553; EC 17747.5(b),56001(g)(h), 56364, 56441.3, 56441.4; CCR T5 3042, 3053, 3054(b))	**SELPA and District** - Review local plan, procedural handbook, or administrative procedures. - Interview administrative staff and IEP team members. ASK: - What process is used to determine percent of participation in regular education? - What steps and strategies are used to promote accessibility and interaction? - Do special day classes (SDC) operate for the same length of time as the regular school day?	- Written documentation to justify removal of IWENs from regular educational settings - Written documentation that placement decisions are made only after the IEP has been completed - Written documentation that placement decisions are not made on the basis of the handicap, configuration of service delivery, availability of staff, curriculum content, or method of curriculum delivery - Rationale for placement in a school other than the one regularly designated for attendance	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.5b (continued)	- Do special day classes (SDC) begin and end at the same time as the regular classes at that site? - Interview regular teachers. ASK: - How do you feel about having special education students in your classes/school?	- Written documentation that school chosen, even if not the home school, is as close to home as feasible - Transportation for accessibility and participation in extracurricular activities - Interpreters, transcribers, notetakers, and/or readers for the low-incidence population for academic and nonacademic activities - A description of age-appropriate integrated settings available for preschool children (ages 3-5 inclusive)	
	Site - Review IEPs. - Observe total school environment. - Interview regular and special students and teachers, DIS and assessment staff. ASK: - Do attitudes of regular students and faculty encourage support and acceptance of special programs, IWENs and special education faculty? - Are IWENs eligible to participate in all aspects of the school's programs? - Are there any IWENs participating in before and after school activities? - Are there IWENs in SDCs that should be participating in regular school activities and are not? - Do different daily schedules prevent IWENS from participating in any regular education activities.	- Policy and procedures regarding LRE in the local plan - Interaction of special education students with general school population - Positive attitudes and awareness of special needs - Adaptations to ensure accessibility of site - Specialized equipment, materials, and services in the regular classrooms - Proximity of location of special education programs to regular programs - Services/placement determined annually	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.5c Students with low-incidence disabilities are provided instruction in a manner consistent with state guidelines. (CFR 300.224, 300.303; EC 56156, 56241(f), 56364.1)	**SELPA and Site** - Review results of self-review from guidelines. - Interview administrative staff and special education teachers. ASK: - How were state guidelines used in the self-review process? - What areas were identified for program improvement?	- State guidelines are used to improve local programs. - Building administrators have received awareness-level in-service training on low-incidence guidelines when students with low-incidence disabilities attend the school. - Staff are knowledgeable of and consider state guidelines in identification, assessment, planning, and provision of educational services to low-incidence students. - Self-review results reflect use of low-incidence state guidelines. - Hearing aids are monitored to ensure they are functioning properly.	
S.5d There is coordination of instruction and curriculum with special and regular staff. (EC 56362(a)(3) and (4); CCR T5 3051.1(a)(4))	**District and Site** - Review district core curriculum. - Review district special education curriculum for severely handicapped. - Interview district curriculum administrators, special education administrators, program specialists, and key site personnel. ASK: - How do administrators of categorical programs, special education and general curriculum/instruction coordinate their efforts at the central office level? - Are special education staff involved in curriculum development activities? - Has the special education curriculum for SDC been aligned with the district's core curriculum? - How have you modified and evaluated the curriculum, environment, and instruction to meet the needs, strengths, and modes of learning of IWENs? - What is the procedure for communicating and coordinating instruction and curriculum with special and regular education staff?	- Course of study of district (core curriculum) utilized and followed - Supplementary materials supportive to the district's curriculum - Instruction based on learning strengths and styles/modes of students - Communication regarding the unique needs of IWENs - Special education curriculum for severely handicapped aligned with the core curriculum as appropriate - Coordination between site programs and other public education programs operating on the same or adjoining sites	

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Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.5e Ethnic and culturally diverse students are properly placed in special education programs. (Judge Peckham's court order; CCR T5 3023(b))	SELPA and Site - Review a sample of files of black students. - Review files of LEP/FEP IWENs enrolled in special day classes. - Review files of LEP special education students.	- IQ test scores or results are not contained in files of black students and are not used in the IEP process. - Students are not placed because of unfamiliarity with English language.	
S.5f A disproportionate representation does not exist for racial/ethnic and culturally diverse students enrolled in special education. (Judge Peckham's court order; CCR T5 3023)	District - Review district procedures to determine if students are proportionately represented in special education programs. - Review recent Office for Civil Rights (OCR) survey of educationally mentally retarded students. - Review current pupil count data on racial/ethnic enrollment, by handicapping condition, and calculate percentage of special education students by instructional setting and by race or ethnicity. - Interview administrative staff. ASK: - How do you guard against disproportionate representation of racial/ethnic and culturally diverse students enrolled in special education?	- A statistical formula such as the "E" formula has been used to determine if a racial/ethnic imbalance exists. - A written description explains why an imbalance exists, including causes or reasons for the racial imbalance. - A description of assessment procedures exists. - In-service programs on nonbiased assessment strategies and alternative assessment procedures for psychologists and DIS personnel exist.	

Key Strategy: *All PROCEDURAL SAFEGUARDS of the Education for All Handicapped Children's Act shall be established and maintained by each LEA that provides special education and related services to individuals with exceptional needs.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.6 A process has been established that ensures procedural safeguards, including confidentiality of all students' records.			
Primary tests S.6a Procedural safeguards and due process hearing procedures are established and implemented. (34 CFR 300.501; EC 56500.1, 56500.2, 56501(a),(b)(2)(3); CCR T5 3081(a)(1))	SELPA and District - Review local plan. - Review parents' handbook. - Review annual notice to all parents. - Interview administrative staff. ASK: - How are parents apprised of their due process rights? - Was a public notice placed in the local newspaper informing the public of their rights under PL 94-142? - How are parents apprised of the procedure to use when filing a complaint or requesting a fair hearing against the state or the district? - What procedures are used when investigating a complaint against the district? - How are staff informed concerning parents' rights under PL 94-142? - What rights are explained to the parent at the IEP meeting and at the time of approving the assessment plan?	- Implementation of procedural safeguards and due process guarantees - Process for resolving complaints - Notice concerning due process hearing procedures and hearing rights - Annual notice in newspaper - Annual individual notice in primary language printed in conjunction with public agency's normal notification - Annual notice of right to file a complaint is in primary language.	
S.6b There is a current listing of the names and positions of employees who have routine access to confidential records. (34 CFR 300.572(d))	District and Site - Review files where confidential records are involved.	- Indication that files are not easily accessible to the public - List, as specified in test	
S.6c Records of access are maintained for individual files, which include name of party, date, and purpose of access. (34 CFR 300.563, 300.565)	District and Site - Review student records. - Review records as specified in test.		

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.6d Special education instruction and services are provided at no cost to the parents. (34 CFR 300.401(a)(2))	SELPA and District - Interview administrative staff. ASK: - Are services provided at no cost to parents?	- Provision of services at no cost to parents, including independent assessment	
	Site - Interview parents. ASK: - Do you have to pay for any of the special education services that are provided to your child?	- Provision of services at no cost to parents	
S.6e The district, on request of parent, provides a list of types and locations of educational records collected, maintained, or used by the agency. (34 CFR 300.565)	District - Review annual notice to parents. - Interview parents. ASK: - Are you notified of your right to examine and obtain records?	- List of types and locations of educational records collected, maintained, and used - A notice that informs parents of their right to obtain these records	
Primary tests **S.6f** Notices of rights to parents can be verified throughout the process from referral through implementation. (34 CFR 300.504([illegible]), 300.505, 300.563-300.573; EC 56301, 56321(a), 56329, 56500.2, 56501(b)(c), 56504; CCR T5 3081(a)(1),(2))	SELPA and District - Review SELPA and district forms. Site - Review student records. - Interview parents. ASK: - How were the rights explained to you? - Are the rights reviewed with you at each IEP meeting?	Verify that SELPA and/or district's rights form includes: • Right to be informed of the purpose of the IEP conference--assessment, recommendations, and rationale for the recommendations • Right to parental consent for assessment/placement and to receive assessment plan • Right to an independent assessment at public expense, under certain conditions • Parent's independent assessment to be considered by public agency • Right to present information, including independent assessments, to assessment teams and to participate in meetings and/or have a representative participate • Right to protections in assessment and to receive a copy of findings of the assessment report • Right to maximum interaction of their child, as appropriate, with nonhandicapped peers	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.6f (continued)		● Assurance of confidentiality protections ● Right to due process hearings and civil court appeals ● Right to examine records and receive copies upon request ● Right to amend records ● Right to file a formal complaint Verification that parents understand and receive a copy of the rights listed above	
S.6g All notices are provided in the primary language of the parent unless clearly not feasible. (34 CFR 300.505(b)(2),(c); CCR T5 3040(b))	SELPA and District - Review SELPA forms. - Review procedural handbook. Site - Review student records. - Interview parents. ASK: - Do you receive notices in your primary language? - How does the school district explain your rights? - Are interpreters used?	- Procedures used to inform parents when no written notices are available in that language - Notices are in the appropriate primary language of the parent - Written evidence exists that notices are translated and that parent understands the content of the notice if parent's primary language is not a written language.	

Key Strategy: *All school personnel shall be provided an opportunity to participate in an ongoing comprehensive system of STAFF DEVELOPMENT activities.*

S.7 Procedures have been developed and implemented to ensure that staff development programs are planned, coordinated, monitored, and evaluated.			
Primary tests **S.7a** A SELPA plan for staff development and parent/community education has been developed and implemented. (34 CFR 300.380, 300.383; EC 56240, 56241, 56243, 56426.6(c))	SELPA and District - Review staff development plans. - Review needs assessment. - Review schedule and calendars of in-service training sessions. - Review budget.	- Evidence of a plan - Calendars and schedules of activities - Attendees, dates, topics, and evaluation data	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.7a (continued)	- Interview administrative staff, including the coordinator of staff development. ASK: - What in-service programs have been provided to staff, parents, and the community? - How are needs assessments developed for determining in-service programs? - How were parents involved in the development of the in-service programs? - What is the content of the job-alike meetings? Who attends? Were the various staff members involved in the planning? - How are the results of state compliance reviews, complaint resolutions, and summary of fair hearing findings used in the development of in-service plans? - Interview parents. ASK: - Were you involved in the development of any parent training opportunities? - Were you surveyed regarding your suggestions for parent training? - Have you received notices of parent education opportunities?	- Assignment of a coordinator for staff development - Appropriate ongoing in-service training opportunities based on a needs assessment for special education staff, regular staff, support services personnel, parents, volunteers, community advisory committee (CAC), administrators, and district and county governing boards - Appropriate training each year for regular teachers who provide services to special education students - Completion of needs assessment by parents, regular teachers, and other service providers - Comprehensive training for teachers of infants who have not had appropriate experience in normal and atypical infant development and understanding unique family needs - Budget that reflects reasonable and necessary expenses (i.e., substitutes, materials)	
S.7b Staff development activities are coordinated at the district and the school level (e.g., Chapter 1, bilingual, special education). (EC 56240-56243)	District and Site - Interview regular and special education administrators, regular and special education teachers, and other service providers. ASK: - What training programs have been provided to instructional personnel regarding the unique learning needs of ethnic and culturally diverse IWENs? - How are staff development activities coordinated at the school level (e.g., Chapter 1, bilingual, migrant, special education)? - Have you attended workshops presented by staff from other programs? Describe them. - How do staff members share information received when a representative attends a conference, meeting, and so forth?	- Documentation of coordination of activities with other special programs - Materials/handouts developed	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.7c Resources are available to obtain information about teaching materials and instructional strategies for special education students. (EC 56362(a)(3), 56368(b)) (34 CFR 300.380(c))	**SELPA and District** - Interview administrative staff. ASK: - How are special education resources and teaching materials/instructional strategies provided to special education personnel throughout the SELPA? **Site** - Observe classrooms. - Interview key site personnel, principal, and selected staff. ASK: - Have you been asked what kind of in-service training you need relative to the use of new materials, instructional strategies for special education students, etc.? - What kinds of in-service training have you received? - What services do your program specialists provide? If no program specialists are available, how are these services provided?	- Utilization of state low-incidence guidelines - Use of a variety of materials and strategies that reflect the student's unique learning style - Technical assistance provided through regionalized services by program specialists or other personnel - Announcements of in-service training opportunities - Needs assessment surveys	
S.7d Staff development activities are monitored and evaluated by the SELPA. (EC 56241(e))	**SELPA** - Interview staff development coordinator. ASK: - Who is responsible for monitoring and evaluating staff development activities? - How are staff development activities monitored and evaluated?	- Written evaluation - Lists of attendees - Samples of evaluation forms - Effectiveness of staff development activities	

Key Strategy: *When appropriate, NONPUBLIC SCHOOL SERVICES (NPS) are provided to individuals with exceptional needs under a contract, as specified in the IEP.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.8 Policies and procedures regarding nonpublic school and agency services are clearly defined, consistently used, and documented through the SELPA.			
Primary tests S.8a Policies are developed to implement, on a SELPA-wide basis, the use of nonpublic school/agency services. (34 CFR, 300.401; EC 56221, 56365-56366)	SELPA and District - Review local plan and procedural handbook. - Review master contracts used by SELPA or LEA. - Interview SELPA and district administrative staff. ASK: - What is the procedure for using NPS/agency services? - What criteria are used to determine when NPS services will be considered? - Who is responsible for negotiating the contract with the NPS? - What is the procedure for selecting the NPS? - If the proposed tuition is greater than $20,000, have you asked for Department review?	- Written policies, master contract, criteria for selecting NPS as an option, administrative procedures for negotiating NPS contracted services	
S.8b Services provided to the IWEN are based on the IEP and are specified in the contract. (34 CFR 300.401; EC 56365-56366)	SELPA and District - Interview SELPA and district administrative staff. ASK: - How do you ensure that the IWEN receives the services required by the IEP and guaranteed by the contract? Site - Review a sample of IEPs for IWENs receiving NPS services. - Review the individual contract for the selected IEP.	- Procedures regarding NPS monitoring by SELPA or local education agency (LEA) - Reports of NPS visits by SELPA/LEA staff	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.8c Nonpublic schools and agencies are monitored by the LEA to ensure that the contractual obligations are met. (34 CFR 300.402; EC 56221(b)(1))	SELPA and District - Review local plan and LEA policies. - Interview SELPA/LEA administrators. ASK: - How do you ensure that NPS/agencies are providing the services specified in the contract? - How do you determine that appropriately credentialed staff are implementing the goals and objectives specified in the IEP?	- IEP is reviewed at least annually. - Progress, placement, and program changes are referenced in IEP. - On-site monitoring reports by LEA/SELPA staff. - Reports of student progress are received from NPSs. - Contract has provision for LEA monitoring. - Contract addresses suspension and substitute teacher provisions.	
S.8d Selected nonpublic schools and agencies meet all state certification requirements. (34 CFR 300.401(a)(3); CCR T5 3063, 3064)	SELPA and District - Review SDE's list of certified NPSs. - Review NPS contracts. - Interview SELPA and LEA administrative staff. ASK: - How are NPS/agencies selected?	- NPS/agency on SDE's list. - Contract lists date of SDE's certification. - Contract provides for documentation of appropriate credentialed staff. - Contract was signed by a representative of the LEA and the NPS/agency.	

Key Strategy: *LOCAL PLAN AGREEMENTS entered into by participants [i.e., district(s), county(ies)] promote diversity of program options and service.*

S.9 The SELPA's governance structure provides for cooperation and coordination of services throughout the local plan area.			
Primary tests S.9a Policies and procedures regarding identification, referral, assessment, and placement are clearly defined and implemented and are consistent with agreements adopted via the special education local plan. (EC 56170, 56220, 56369)	SELPA and District - Review local plan. - Review contracts with Head Start and other nonpublic schools/agencies. - Interview district and SELPA administrative staff. ASK: - What is the governance structure of your local plan? - In what way does the plan allow for a uniform procedure regarding identification, referral, assessment, and placement? - When are services contracted outside the SELPA?	- Description of governance/administration Coordinated identification, referral, assessment, and placement system - Procedures for making out-of-district placements - Joint powers agreement - Participating districts' agreements, including districts and/or SELPAs providing services outside the local plan area - Statement of coordination of services between public and private schools/agencies for infant preschool programs	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.9a (continued)	- Describe the provision of infant/preschool services? Who provides? What type of programs are provided? - What kind of coordination is occurring between public and private schools/agencies in serving infant and preschool children? - Are there common forms used throughout the SELPA? If not, do those forms meet all requirements of the local plan?		
S.9b Local agreements and policies are developed for all participants in a local plan. (34 CFR 300.514; EC 56220(a)-(g), 56221)	SELPA and District - Review local plan Part Two. - Review agreements and policies. - Review IEP. - Interview special education administrators. ASK: - On what basis are programs operated by various participants of the SELPA? - How and by whom are complaints and fair hearings processed? - Who is responsible for nonpublic school or agency contract negotiations? - What procedures are used to monitor students' IEPs and the contractual agreements for nonpublic school/agency services? - How and when are State Schools used to provide services for students with low-incidence disabilities? - How do you share results of fair hearing decisions and complaint investigations that have SELPA-wide implications?	- Interagency agreements, memoranda of understanding - A coordinated identification, referral, and placement system - Procedural safeguards - Procedures for appointing and training surrogate parents - Regionalized services - A description of the process for coordinating services with other local public agencies which are funded to serve special education students - A description of the process for coordinating and providing services to students placed in public hospitals, proprietary hospitals, other residential medical facilities, licensed children's institutions, foster family homes, and juvenile court schools or county community schools - Joint procedures for developing an IEP - SELPA staff assist districts in the self-review process - SELPA staff attend CCR exit meetings - SELPA staff assist districts in responding to noncompliance issues - Funds restricted for special education purposes are allocated pursuant to federal and state laws and regulations according to the agreements contained in the Local Plan.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.9c Regionalized services are provided for local programs throughout the SELPA. (EC 56001(m), 56220(c))	**SELPA and District** - Interview district and SELPA administrative staff. ASK: - How do you ensure that each district/program gets an adequate amount of your time? - Who is responsible for curriculum development? - What are the main thrusts in curriculum this year? - Who is responsible for staff development? - How is each of the LEAs within the SELPA involved? - Who is responsible for the MIS? - Is each district using the same procedure? - Is the data base relevant for purposes other than required state reporting? - Is the MIS used for evaluating the special education programs throughout the SELPA? **Site** - Interview principal, RSP, SDC teachers, and DIS providers. ASK: - How often does the program specialist visit your class? What kinds of services are provided? - Does the program specialist keep you apprised of his or her activities while on the site?	- Full educational opportunity throughout the local plan area - Data collection procedures and MIS - Personnel development and training - Curriculum development and coordination - Evaluation and ongoing review of programs and a mechanism for correcting any problems identified through complaints, due process hearings, OCR investigations, or CCRs	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.9d The allocation of instructional personnel service units (IPSUs) is equitable throughout the SELPA and includes units for infants. (EC 56200(c))	**SELPA and District** - Review the SELPA IPSU allocation. - Interview SELPA administrative staff. ASK: - What is the range of programmatic options available throughout the SELPA? - Are some districts overloaded while others are underserving children? - Does the distribution of IPSU units seem equitable throughout the SELPA? - How many IWENs are served outside the SELPA; e.g., NPS, state schools, other SELPAs? - How are program specialist services delivered in each of the districts and programs in the SELPA? - Which categorical areas are served by each program specialist? - If program specialists are not hired, how are the services being provided? - Who provides program support/curriculum development for the infant/preschool programs?	- Units for high incidence disabilities are equitably distributed. - Units for low incidence programs are proportionate to the need. - Distribution of DIS, resource specialist program (RSP), and SDC units appears to be equitable. - Full range of options is available. - There is a similarity of class size loadings throughout the SELPA for high incidence programs. - Extent of duplicated DIS services for SH or low incidence programs - Staff has knowledge of options. - Program specialists are available for infant and preschool programs. - Program specialists are available for the various SDC groupings.	
S.9e There is coordination of services with other local agencies. (EC 56369, GC 7570)	**SELPA and District** - Review local interagency agreements. - Interview SELPA and district administrative staff. ASK: - How are services with mental health, California Children's Services (CCS), and County Social Services utilized? - What procedures are in place to ensure that each agency performs its mandated responsibility? - What problems are occurring? - What is the procedure for initiating a 24-hour placement under AB 3632? - What procedures are used for obtaining occupational and/or physical therapy services or alternative services if IWENs are not CCS eligible?	- Examples of agency cooperation, collaboration, and agreements	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
S.9f A community advisory committee (CAC) has been established. (EC 56190, 56220(d))	SELPA - Review local plan.	- Minutes of meeting(s) with list of attendees - Established committee with officers and written bylaws	
S.9g The community advisory committee is appointed by the governing board of each participating LEA. (EC 56191-56193)	SELPA - Review local plan. - Interview CAC members, SELPA, district administrative staff, and parents. ASK: - Who is on the committee? - How do you communicate with the committee? - How were appointments made?	- Procedures for appointment of members - Appointment by local governing board - Two-year staggered appointments - Representative composition of parents, regular and special education teachers, and public and private agencies, with parents forming majority of membership	

S.9h The CAC fulfills all responsibilities as specified in the local plan. (EC 56194)	SELPA
	- Review local plan.
	- Interview CAC members.
	ASK:
	- What are the functions of your CAC?
		- Description of responsibilities to include:
		  • Development, amendment, and review of local plan
		  • Involvement of parents and volunteers in the implementation of the plan
		- Communication among board/district administration/CAC
		- Parents aware of CAC activities; i.e., notices, newsletters, handbooks	

S.9i Funds apportioned to districts, county offices, and special education local plan areas under Part 30 of the Education Code and Part B of the Education of the Handicapped Act are expended exclusively for the purposes intended. (EC 56825, 56826) (34CFR 300.229, 300.330)	SELPA - Review the external independent audit of special education programs.	- Any audit exceptions were appropriately addressed - Concerns of parents/staff considered	

Program

Vocational Education

Program Goal

To provide vocational education programs and services so that persons of all ages in all communities of the state will have ready access to vocational training or retraining which is realistic in light of actual or anticipated opportunities . employment and which is suited to their needs, interests, and ability to benefit from such training

Key Strategies

- *VOCATIONAL MANAGEMENT: Provide for the administration of the vocational education program.*
- *DISADVANTAGED, HANDICAPPED, LIMITED-ENGLISH-PROFICIENT/OPPORTUNITY PROGRAMS: Expand vocational education opportunities for populations with special needs.*
- *WORK-EXPERIENCE EDUCATION. Provide support services for vocational education participants through work experience education.*

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Program: Vocational Education

Program Goal: To provide vocational education programs and services so that persons of all ages in all communities of the st[illegible] have ready access to vocational training or retraining which is realistic in light of actual or anticipated opportunities for employment and suited to their needs, interests, and ability to benefit from such training

Key Strategy: VOCATIONAL MANAGEMENT: *Provide for the administration of the vocational education program.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
V.1 The district prepares and retains required reports and records.			
Primary tests V.1a Copies of approved Applications for Allocated Federal Vocational Education Funds are retained in the district files for the past five years. (Fed Reg, Vol. 45, No.66, 4-3-80 100b.734)	District - Review vocational education records.	- Approved applications for PY 85-86 to 89-90	
V.1b Copies of Claims for Reimbursement of Federal Vocational Education Funds are retained in the district files for the past five years. (Fed Reg, Vol. 45, No.66, 4-3-80 100b.734)	District - Review vocational education records.	- Claims for PY 84-85 to 88-89	
V.1c The district's vocational education advisory committee is composed of one or more representative(s) of the general public knowledgeable about the disadvantaged, students, teachers, business, industry, school administration, and the field office of the Employment Development Department. (EC 8070)	District - Review advisory committee membership list. - Interview district vocational education administrator. ASK: - Does membership meet legal requirements?	- Each required area of representation is included. One person may represent more than one area.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
V.1d The district's vocational education advisory committee has provided recommendations on the vocational education program. (EC 8070)	District - Review minutes of meetings or other written documentation.	- Recommendations for the vocational education program	
V.1e A copy of the district's *Three-Year Plan for Career-Vocational Preparation* is on file. (Specialized Programs Branch Policy Letter, 4/30/86)	District - Interview vocational education administrator. ASK: - May I see a copy of the plan?		
V.2 The district maintains an inventory record for each piece of equipment purchased, with nonfederal funds, which has a current market value in excess of $500, and equipment purchased with federal funds which has an acquisition cost of $300 or more per unit.			
Primary tests V.2a Inventory control records contain all of the following: 1. Description, including the manufacturer's model identification or serial number 2. Funding source; i.e., federal (part and purpose) or nonfederal 3. Acquisition date 4. Acquisition cost 5. Current location 6. Current condition (34 CFR 74.140; EC 35168)	District - Review the vocational education equipment records. - Select equipment at random and record identification number to verify at school site. Site - Look at equipment in three classrooms and compare with inventory.	- Funding source is listed as either VEA federal and/or nonfederal matching. - Information on equipment contains identification number. - Equipment selected for validation is in designated classroom.	
V.2b Within the past two years, the district has conducted a physical inventory of equipment and reconciled the result with the current inventory control records. (34 CFR 74.140)	District - Interview vocational education administrator.	- Most recent physical audit of equipment - Records of losses or damage of equipment - Police report for equipment that was stolen	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
V.2b (continued)	ASK: - When was the last physical audit of equipment? - Did you uncover items that were lost, stolen, dislocated, in need of repair, or being improperly used? - Were losses, damage, or theft investigated and documented?		
V.2c Records are on file for the transfer, replacement, or disposal of equipment that is no longer needed, obsolete, damaged, or unusable. (34 CFR 74.132-74.142)	District - Interview vocational education administrator. ASK: - What procedures are used to dispose of equipment?	- SDE-approved VE 35 forms	
Key Strategy: *DISADVANTAGED, HANDICAPPED, LIMITED-ENGLISH PROFICIENT/OPPORTUNITY PROGRAMS: Expand vocational education opportunities for populations with special needs.*			
V.3 The implementation of vocational education programs for students being served with Title II, Part A, funds and/or nonfederal matching funds meets legal requirements.			
Primary tests V.3a Equal access is provided to handicapped and disadvantaged individuals in recruitment, enrollment, and placement activities. (PL 98-524, 204(a)(1))	District - Review written district policies applicable to providing equal access to handicapped and disadvantaged students. - Interview vocational education administrator. ASK: - How do you ensure that equal access is transferred from policy to practice?		

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
V.3b Individual student records are on file that identify the categories of disadvantage (i.e, academic or economic) that prevent the student from succeeding in vocational education without the special programs/ service. The records must contain diagnosis, prescription, and treatment(s) to aid the student in overcoming the identified category of disadvantage and an evaluation of the outcomes. (PL 98-524, 521(12), 204(c)	District - Verify existence of individual student records and student roster.	- Either the state form or a local form or database is used for each student served and contains all of the following: o Name of the student o Instructional program area (VE-30) o Diagnosis o Prescription o Treatment o Statement of results - The number of student records is the same as the number reported on the student roster. - The number of students listed on the roster agrees with the number reported on financial schedule SDE-101-A3.	
V.3c Federal and nonfederal expenditures for disadvantaged students are limited to supplementary or additional staff, equipment, materials and services that are not provided to other individuals in vocational education and are essential for disadvantaged students to succeed in vocational education. (Fed. Reg. Vol. 50 No. 159 Aug. 16, 1985 401.53)	District - Interview vocational education administrator(s). ASK: - What criteria were used to determine the eligibility of students served? - Does the expenditure of federal and non-federal matching funds provide supplementary specialized services that address the diagnosed needs of these students? Site - Review all student records. - Interview three vocational education teachers and/or aides providing excess cost services. ASK: - How many disadvantaged students in your classes are receiving supplemental services? - What kind of supplemental services do the disadvantaged students receive?	- Supplemental or additional staff, equipment, materials and services are limited to disadvantaged students. - Expenditures relate to diagnosed needs for disadvantaged students to succeed in vocational education.	

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Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
V.3d Individual student records are on file that identify the handicapping condition(s) that prevent the student from succeeding in vocational education without the special programs/services The records contain diagnosis, prescription, and treatment(s) to aid the student in overcoming the identified category of handicapping condition and an evaluation of the outcomes. (PL 98-524, 521(15), 204(c)	District - Verify existence of individual student records and student roster.	- Either the state form or a local form or database is used for each student served and contains all of the following: ● Name of the student ● Instructional program area (VE-30) ● Diagnosis ● Prescription ● Treatment ● Statement of results - The number of student records is the same as the number reported on the student roster. - The number of students listed on the roster agrees with the number reported on financial schedule SDE-101-A3. - Services to be provided each student are identified. - Students are progressing in class because of services provided.	
V.3e Federal and nonfederal expenditures for handicapped students are limited to supplementary or additional staff, equipment, materials, and services that are not provided to other individuals in vocational education and are essential for handicapped students to succeed in vocational education. (Fed. Reg. Vol. 50 No. 159 Aug. 16, 1985 401.52)	District - Interview vocational education and special education administrators. ASK: - What criteria were used to determine the eligibility of students served? - Does the expenditure of federal or non-federal matching funds (when appropriate) provide supplemental specialized services that address the diagnosed need of students? Site - Review all student records. - Interview three vocational education teachers and/or aides providing excess cost service. ASK: - How many handicapped students in your classes are receiving supplemental services? - What kind of supplemental services do the handicapped students receive?	- Supplemental or additional staff, equipment, materials. and services are limited to handicapped students. - Expenditures relate to diagnosed needs for handicapped students to succeed in vocational education.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
V.3f Vocational education programs and activities for handicapped individuals are provided in the least restrictive environment. (PL 98-524, 204(a)(3)(A))	**District or Site** - Interview vocational education administrator. ASK: - Does the district have a policy for mainstreaming handicapped students? - Do you offer separate specialized vocational education classes for handicapped students? - Can any or all of these students be mainstreamed with specialized services?		
V.3g Each handicapped and disadvantaged student who enrolls in vocational education programs receives: - Assessment of the interest, abilities, and special needs of such student with respect to completing successfully the vocational education program - Special services, including adaptation of curriculum, instructional equipment, and facilities, designed to meet the needs of students that were identified in the assessment process - Guidance, counseling, and career development activities conducted by professionally trained counselors who are associated with the provision of such special services - Counseling services designed to facilitate the transition from school to post-school employment and career opportunities (PL 98-524, 204(c))	**District** - Interview vocational education director and vocational counselor. ASK: - How are these services being provided? - Who provides these services?	- Assessment is conducted and placement services are provided to handicapped and disadvantaged vocational education students.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
V.3h Information has been provided to handicapped and disadvantaged students and parents of such students concerning the opportunities available in vocational education by the beginning of the ninth grade, together with the requirements for eligibility for enrollment in such vocational education programs. (PL 98-524, 204(b))	**District** - Review information sent to parents and students concerning vocational education opportunities and requirements.	- Materials and method of distribution	
V.3i Vocational education planning for handicapped individuals is coordinated among appropriate representatives of vocational education and special education. (PL 98-524, 204(a)(3)(B))	**District** - Interview vocational education and special education administrators. ASK: - How are services for handicapped students being coordinated? - What arrangements exist to ensure this coordination? **Site** - Interview vocational education and special education teachers. ASK: - How are services for handicapped students being coordinated? - Are you aware of the special needs of handicapped students when they enroll in your class? - Do you seek assistance from special education personnel in resolving learning problems of handicapped students?	- Procedures for coordination between the two departments in planning vocational education for special education students - Established methods of coordination in planning vocational programs/services for special education students	

Key Strategy: WORK EXPERIENCE EDUCATION: *Provide support services for vocational education participants through work experience education.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
V.4 District work experience education (WEE) records are maintained.			
Primary tests			
V.4a The district's SDE-approved Secondary District Plan for Work Experience Education is on file. (CCR T5 10071)	**District** - Review district plan for WEE.	- A course description with major units of instruction for each semester of WEE is attached to the district plan. - The procedure for granting school credit for WEE is attached to the district plan.	
V.4b The student is at least 16 years of age or in the 11th grade (except those in exploratory work experience). Note: Exceptions to the 16-years-of-age rule may be made by the principal or have WEE identified on the IEP. (CCR T5, 10071(c); EC 51760.3)	**Site** - Review three students' applications for the work permit. (B1-1) - Review principal's recommendation. - Interview WEE coordinator. ASK: - How many exception letters have been issued in the past year by the principal? - Are you an SB 65 funded school site which allows schoolwide exceptions?		
V.4c The minimum day for WEE students is at least four periods, totaling at least 180 minutes in duration, except for continuation school students. (EC 46144)	**Site** - Review three students' class schedules.	- Students are attending four periods totaling at least 180 minutes, except for continuation school students.	
V.4d Each student receives as a minimum the equivalent of one instructional period per week of classroom instruction or counseling at least twice each semester by a certificated employee. (EC51760.3(b); CCR T5 352)	**Site** - Check class schedule for periods of related instruction. - Interview WEE coordinator. ASK: - How often are related classes conducted? - Are any students required to attend the related class during the noon hour?	- Attendance in related class is in WEE coordinator's roll book.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
V.4e Students in exploratory WEE do not spend more than the limit on the number of hours of observation established for each student at each observation site. (CCR T5 10070. 10071(c))	Site - Review student records. - Interview WEE student. ASK: - What activities have you participated in at the observation site? - How many hours have you spent at the training site?	- The number of hours established for each student at each observation site	
V.4f The school district grants no more than 40 semester credits, of which not more than 10 credits are conferred in any one semester. (EC 51760.3)	District or Site - Review district policy for granting WEE credit. - Review student records.		
V.4g Summer school WEE is conducted during the same time period as the approved summer school for the district. (CCR T5 10070)	District or Site - Review summer school application. - Interview summer school administrator. ASK: - Is the WEE a part of the SDE-approved district summer school program? - How does the program operate during the summer? - During what time frame does the program operate?		
V.4h The student-to-WEE coordinator ratio does not exceed 125 students to one FTE coordinator for regular school year programs. (EC 46300(b)	District or Site - Review WEE enrollment records. - Compare total enrollment to FTE work experience coordinator(s).	- Examine WEE coordinator's roll book for number of students enrolled on Oct. 15, Dec. 15, and Feb. 15.	
V.4i WEE teacher coordinator possesses valid secondary level credential and has two years of occupational experience outside the field of education. (CCR T5, 10075)	District or Site - Interview vocational education administrator. ASK: - What type and duration of occupational experience qualified the work experience coordinator for the position?	- The WEE coordinator holds a valid California secondary level credential.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
V.4j WEE coordinator and other appropriate staff have participated in WEE professional development activities. (CCR T5 10070)	Site - Interview WEE coordinator. ASK: - What professional development activities did you attend last year?		
V.4k Clerical and instructional services are being provided for the WEE program. (CCR T5 10070)	Site - Interview WEE coordinator. ASK: - What level and type of clerical service is being provided?	- Parity of clerical support provided to other secondary teachers	
V.4l Individual student records for participants enrolled in work experience education (WEE) include all of the following: 1. The type of WEE in which each student is enrolled, where the student is employed, and the type of job held 2. Work permit issued, is applicable (not required for Exploratory WEE) 3. Employer's report of student's hourly work record and performance on the job 4. Report of employer consultation 5. Ratings of each student, including his or her grade 6. Formal training agreement for each student that describes the responsibilities of the student, employer, parent(s), and schools 7. Individual training plan for each student (CCR T5 10070 and 10074)	District or Site - Review WEE student records.	- Type of work permit issued on the "Request for Work Permit" (B1-1) - Employer attendance reports, minimum wage requirements met, and performance evaluations submitted - Minimum of two contacts per semester with each employer (one for summer school) - Grades recorded in WEE coordinators' roll books - Training agreement signed by student, employer, and parents - Training agreement contains a nondiscrimination statement - Individual training plan for each student	

Program

Adult Education

Program Goal

To establish quality instruction for adults in authorized program areas (elementary and high school basic skills, English as a second language, citizenship, parenting, programs for substantially handicapped adults, apprenticeship programs, vocational education, programs for older adults, home economics, health and safety) that will (1) enable adults to acquire the knowledge and skills necessary to participate effectively in today's economy and society, (2) help adults to achieve their fullest potential, and (3) help adults pursue their changing individual learning goals in an educational segment that specializes in noncollegiate subject matter

Key Strategies

- *The LEA conducts an adult education program that is designed to meet the needs of the local community.*
- *The agency ensures that the target population is being served as determined by its Adult Basic Education (ABE), Section 321, application.*

ERIC

Program: Adult Education

Program Goal: To establish quality instruction for adults in authorized program areas (elementary and high school basic skills, English as a second language, citizenship, parenting, programs for substantially handicapped adults, apprenticeship programs, vocational education, programs for older adults, home economics, health and safety) that will (1) enable adults to acquire the knowledge and skills necessary to participate effectively in today's economy and society; (2) help adults to achieve their fullest potential, and (3) help adults pursue their changing individual learning goals in an educational segment that specializes in noncollegiate subject matter

Key Strategy: *The LEA conducts an adult education program that is designed to meet the needs of the local community.*

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
A.1 Adult education funds are used to provide adult students with the opportunity to acquire the knowledge and skills necessary to participate effectively in the contemporary economy and society and to meet the particular needs of the local community. (EC 8500(a)(c), 8513, 51225.3, 52517; CCR T5 10501)			
Primary tests A.1a No class for adults is maintained for state apportionment if such class is not open to the general public (jail, apprenticeship, and classes for handicapped adults excepted.) (EC 52517)	District - Interview director. ASK: - How do you ensure that all classes (except jail, apprenticeship, and handicapped) are open to all adult students? Site - Review program's promotional materials.	- Classes are held in locations that are clearly identified as adult education locations. - The general public is informed about all adult education opportunities. - No one is excluded except when classes reach maximum attendance levels set by the district. - All classes offered are listed in the promotional materials.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
A.1b If an adult diploma is granted by the school district, the standards for the adult diploma meet the requirements of the Education Code. (EC 51225.3)	**District** - Review board policy.	- Requirements for granting the adult diploma meet the standards set by the Education Code: ● 3 years of English ● 2 years of mathematics ● 2 years of science, including biological and physical science ● 3 years of social studies, including: > 1 year of U.S. history and geography > 1 year of world history, culture and geography > 1 semester of American government and civics ● 1 year of visual or performing arts or foreign language ● 2 years of physical education (unless student is exempt)	
A.1c Each program area is designed for and attended primarily by adults. (EC 8513; CCR T5 10501 and 10524)	**District** - Interview director. ASK: - What percentage of students enrolled and attending each program area are students who are concurrently enrolled? - Do you have any classes that are primarily attended by concurrently enrolled students? - Are adult students given a priority enrollment in all classes? **District and Site** - Review attendance records. **Site** - Observe classes. - Interview teachers. ASK: - How do you account for the attendance of concurrently enrolled students in your classes? - Is your class open for enrollment to all adult students or is enrollment limited to concurrently enrolled students?	- No more than 49 percent of students attending in any program area are concurrently enrolled high school students. - Adults are not excluded from any class designated as an adult education class. - Adult students have access to all classes offered by the adult school.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
A.2 Adult education funds are used only to provide programs in the ten areas authorized by Education Code 41976. (EC 41976, 52515; CCR T5 10524)			
Primary tests **A.2a** No apportionment is claimed for students enrolled in a course which has not been approved by the State Department of Education (SDE) as being within one of the ten program areas as authorized by former Education Code §41976. (EC 41976, 52515)	District - Review the program's promotional materials and compare with the approved Adult Education Program Approval Request (Form A22).	- All classes listed in the promotional materials are on the approved A22 for the current year.	
A.2b No fees, except for materials and lab, are charged for a class designated by the governing board as a class for which high school credit is granted when such a class is taken by a person who does not hold a high school diploma. (EC 52612)	Site - Review promotional materials. - Review budget. - Interview director. ASK: - What is the district or school policy on charging fees to students who do not have a high school diploma and who are taking courses or classes for high school credit? - Interview students enrolled in high school subjects classes. ASK: - Are you required to pay registration, tuition, or any other fees in order to enroll in adult classes? - Do you pay any lab or materials fees as a result of your enrollment in adult education courses?	- The only fees that are charged for students enrolled in high school courses are materials and lab fees.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
A.2c No charge of any kind is made of students enrolled in English as a second language (ESL), citizenship, or elementary subjects. (EC 52612)	Site - Review promotional materials. - Review budget. - Interview director. ASK: - What is your district policy or school policy on fees or charges for students enrolled in ESL, citizenship, or elementary subjects? - Interview students in ESL, citizenship, and elementary subjects classes. ASK: - Are you required to pay any fees or charges as a result of your attendance in the classes you are taking at the adult school? - Are materials and books provided free of charge for your use in your classes?	- Students are required to pay no fees or charges of any kinds as a result of their enrollment in these classes. - Students may purchase books and materials but are not required to do so as a condition of enrollment or attendance.	
A.2d The district has set aside an amount of money equal to 1.02 times its 1979-80 a.d.a. for adult handicapped multiplied by its current revenue limit and has expended all funds exclusively for those classes for substantially handicapped adults. (EC 52616(e))	District - Review budget. - Interview director or accountant. ASK: - What procedures do you use to account for the required set-aside? - How is the amount of the set-aside determined? - Apart from direct cost for instruction, for what other purposes are funds which are set aside expended? - If set-aside funds are not spent for handicapped programs as required, have proper waivers been obtained?	- The set-aside is based on the a.d.a. generated by adult handicapped in 1979-80 x 1.02 x its current revenue limit. - Proper accounting procedures have been established for the expenditure of the set-aside funds. - All funds which are set aside are expended only for classes for handicapped adults. - There are proper records to account for the proper expenditure of all set-aside funds. - When there is a documented lack of demand, the proper procedures have been followed to obtain the necessary waivers.	

ERIC Full Text Provided by ERIC

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
A.2e Prior to establishing the vocational education program, a job market study was conducted in cooperation with the Employment Development Department, prospective employers, and the district's advisory committee on vocational education. The district's governing board has determined that the job market study justified the initiation of the vocational education program and reviews each vocational training program established after September 22, 1979, every two years to ensure that the program meets all regulations. (EC 52519, 52520)	District - Review minutes of advisory committee meetings. - Review Board of Education minutes. - Interview director. ASK: - What procedures were used to complete the job market study for vocational programs you conduct? - What role did your advisory committee play in these studies? - Interview selected advisory committee members. ASK: - What function has the advisory committee performed in conducting needs studies and job market surveys used to justify vocational programs offered by the district? - What procedures do you use to review each program every two years? - How is the advisory committee involved in this review?	- Job market surveys have been conducted for all vocational courses and programs offered by the district. - The governing board of the school district has approved all vocational programs operated by the district or contracted through private postsecondary schools. - There are board minutes and resolutions for all vocational programs offered by the district. - Each program is reviewed every two years to ensure that it: ● Meets a documented labor market demand ● Does not represent unnecessary duplication of other employment training programs in the area ● Is of demonstrated effectiveness, as measured by employment and completion success of its students	
A.2f All approved contracts with private schools are approved by the SDE, as appropriate, pursuant to rules and regulations adopted by the State Board of Education or the Board of Governors, as appropriate, and Form VE-50 ("Standard Agreement for Vocational Education") is used as an application for approval. (EC 8092)	District - Review contracts and related documentation.	- All contracts have been submitted for review by appropriate SDE offices. - The VE-50 form has been used for all approvals.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
A3 Adult education funds are used only for adult education purposes and are used for neither general education K-12 purposes nor for F-1 visa (nonimmigrant) students. (EC 52501(a)(c), 52613)			
Primary tests A3a No revenue derived from adult a.d.a. is expended for other than adult education purposes. (EC 52501.5(a))	District - Review adult education budget and accounting records. - Interview budget director or accountant. ASK: - How do you account for the expenditure of revenues generated in the adult education program to ensure that funds are spent only in adult education?	- The projected expenditures match the anticipated revenue. - All proposed expenditures are for adult education purposes. - There is separate fund accounting within the budget for adult education.	
A3b The annual adult education budget is limited to the following: - A maximum of 10 percent for "general reserve" - A 5 percent maximum for "appropriation for contingencies" - A maximum of the allowable indirect cost as determined by the SDE (EC 52501.5(c))	District - Review budget. - Interview director or accountant. ASK: - What percent of last year's budget was carried over into the current year? - How much (percent) do you anticipate being carried over into the next year? - What indirect cost rate do you charge to adult education? - Are there additional charges for rent of district-owned facilities or for district self-insurance?	- No more than 15 percent of the revenues generated in the previous year was carried over to the current fiscal year. - No more than 15 percent of the current budget is set aside for general reserve and contingencies. - There is a waiver on file or a waiver request has been submitted if there is more than a 15 percent carryover. - The district is using an approved indirect cost rate. - There are no additional charges for rent or services which should be covered by the indirect cost. - There is no charge for items covered under district self-insurance.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
A.3c The governing board has adopted a fee schedule to cover the full costs of instruction for nonimmigrant (F-1) visa students. (EC 52613(a-b))	**District** - Review board of education policy on F-1 visa student charges. - Interview director. ASK: - Do you serve F-1 visa students? - Has your board of education adopted a fee schedule for charges to F-1 visa students?	- The board has adopted a policy for fees charged to F-1 visa students at least 90 days prior to the commencement of classes. - The fees cover all expenses for providing educational services to F-1 visa students but do not exceed the actual cost of instruction. - Apportionment is not claimed for the attendance of F-1 visa students.	
Key Strategy: *The agency ensures that the target population is being served as determined by its Adult Basic Education (ABE), Section 321, application.*			
A.4 The ABE Section 321 program is meeting the basic goals and objectives to improve access to users, to improve accountability, to improve quality and responsiveness and to improve planning and coordination.			
Primary tests A.4a The students being served are those identified in the project proposal. (Adult Education Act, PL 100-297,341(B)(c)(3); California State Plan for Adult Education)	**District and Site** - Observe classes. - Review the current ABE application and compare the projected student population with the population actually being served. - Observe classes and compare the population being served with the project application.	- The adult school is serving the "hard to teach" and "most in need" students.	
A.4b All students being served are limited-English-proficient or functioning below the eighth grade level. (PL 100-297, 341(B)(c)(3))	**Site** - Observe selected classes covered by the federal ABE funds. - Interview selected teachers. ASK: - What percentage of the students in your class are limited-English-proficient? - Are any of your native English-speaking students functioning at the high school level or above?	- Students are either limited-English-proficient or are functioning below the eighth grade level.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
A.4c Special efforts have been made to identify students. (PL 100-297, 341(B)(c)(3); State Plan)	District - Interview director. ASK: - What efforts have been made to identify and determine eligibility of students being served?	- Students are screened or assessed to determine eligibility.	
A.4d An active recruitment effort is maintained to ensure participation by those most in need. (PL 100-297, App.B(1); State Plan)	District - Review promotional materials. - Interview director. ASK: - What efforts have been made to recruit those students identified as the target population in your ABE proposal? - Have you had to conduct any special or unique recruitment campaign to reach the "most in need" students?	- All classes are listed and identified in the regular adult school promotional materials. - Where appropriate, materials are produced in the primary language of the target population.	
A.4e An assessment system is used for student placement and for monitoring student progress. (PL 100-297, 352(D)(3); State Plan)	District and Site - Review a sample of student records. Site - Interview director, counselor and instructors. ASK: - How is your system used in placement and monitoring student progress? - Who is responsible for completing the pre- and post-assessment? - How do the instructional staff use the test results?	- Records of student tests are maintained for each student enrolled in the ABE program. - Students are placed in classes on the basis of assessment. - Student progress is monitored through periodic assessment. - Staff have been trained in assessment procedures.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
A.4f Staff development and networking activities are (or will be) carried out as described in the project application. (PL 100-297, 343(3); State Plan)	District - Review staff development or networking plan in project proposal. - Review evaluations of staff development or networking activities and compare with staff development plan. District and Site - Interview director, counselor, instructors and aides. ASK: - What staff development activities have been conducted, and what activities are planned? - How has staff development assisted in implementing a competency-based program? - How has the quality of staff development been assessed? - What are you doing to establish various networks if that was identified in your project application?	- Staff development and networking activities have been or will be conducted in accordance with project proposal. - Staff development is available to all staff. - Staff development and networking activities are those that have been identified in the project proposal. - The full $3,500 has been used for these purposes.	
A.5 Fiscal management procedures ensure the proper disbursement of federal funds.			
Primary tests **A.5a** Project money supplements rather than supplants agency funds. (PL 100-297, 343(2); State Plan)	District - Review proposed budget. - Review budget documents. - Interview director. ASK: - How do you account for the cost of operating your ABE and English as a second language (ESL) program? - Are funds generated by ABE-ESL students expended on any other parts of your adult education program?	- The district has established a system to account for the expenditure of funds for ABE and ESL classes. - The district expenditures from state ADA funds account for the major cost of operating the ABE instructional program and are at or about the revenue limit. - Revenues generated from regular state funding sources do not exceed expenditures.	

Compliance item/test	Review level/ How to test for compliance	What to look for	Comments
A.5b All expenditures are within the categories approved by the Adult Education Unit. (PL 91-230, 306(b); State Plan)	**District** - Review budget documents and expenditure records and compare with project application. - Interview director. ASK: - How is the expenditure of federal funds accounted for in your budgeting system? - Are all funds expended before being billed on the final claim?	- All expenditures are in approved categories. - The expenditure of funds in each category does not exceed 10 percent of the approved expenditure. - All expenditures greater than 10 percent of the approved expenditure have been approved by the SDE.	
A.5c Letters of agreement are on file for all organizations listed as collaboratives in the project application. (State Plan, project application)	**District** - Review application. - Review letters of agreement. - Interview director. ASK: - Have formal agreements been made with all collaborative agencies? - Are all letters on file?	- Letters of agreement are on file for all agencies listed in project application. - The responsibilities of each collaborative are listed and each agency cooperates in the delivery of services to the adult students.	

READERS' COMMENT FORM

1989-90 Coordinated Compliance Monitoring Review Manual

Your comments assist us in improving the usefulness of this manual and are an important part of the input used for revisions. Please use this form to note any errors or suggestions for improvements. Please be as specific as possible in your comments and include the page number. To request technical assistance, use the **Technical Assistance Request** (form CTS-1g).

Comments on the CCR Process (Sections I, II, and III)

Comments on the CCR Instruments (Section IV)

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