

## Assessing the Evidence of a System of General Supervision: Part B

State \_\_\_\_\_

Date \_\_\_\_\_

<b>Component 1: State Performance Plan</b>		
<b>Evidences</b>	<b>Description/Documentation</b>	<b>Extent of evidence</b>
1. There is broad stakeholder involvement in establishing and revising targets.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
2. There is broad stakeholder input, including the State Advisory Panel, on improvement activities and monitoring progress and slippage.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
3. The SPP has measurable and rigorous targets.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
4. Data used to establish baselines, set targets, measure progress and slippage, are current, valid, and reliable.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
5. A complete SPP is submitted in a timely manner.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
6. The state evaluates each LEA's performance against state targets.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced

Component 1: State Performance Plan		
Evidences	Description/Documentation	Extent of evidence
7. The state allocates resources and technical assistance to facilitate improved performance.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
8. The most current dated SPP is posted on the state's website.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
9. The state publicly reports each LEA's performance against state SPP targets.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
14. The state reports to the Secretary, in an annual performance report, the performance of the state under the SPP.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
15. The SPP is integrated within the state's accountability systems.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced

## Component 2: Policies, Procedures, and Effective Implementation

Evidences	Description	Extent of evidence
1. State policies and procedures are aligned with IDEA.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
2. State policies and procedures include descriptions of the range of sanctions to enforce correction		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
3. LEAs have policies and procedures aligned with state policies and procedures.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
4. LEAs have policies and procedures in place to ensure that all personnel necessary to carry out the requirements of IDEA are appropriately and adequately prepared.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
5. The state establishes and maintains qualifications for highly qualified personnel.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
6. The state and LEAs have written policies and procedures in place, including assurances, that these are implemented to ensure FAPE in the LRE.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced

**Component 2: Policies, Procedures, and Effective Implementation**

<b>Evidences</b>	<b>Description</b>	<b>Extent of evidence</b>
7. Required MOUs, interagency agreements or other mechanisms to ensure the provision of early intervention services and fiscal responsibility for those services are in place, current and being implemented effectively.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced

Component 3: Effective Dispute Resolution		
Evidences	Description	Extent of evidence
1. Resolution of all disputes must be in accordance with required timelines.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
2. Dispute resolution processes include mechanisms for ensuring that all related corrective actions have been implemented and noncompliance has been corrected.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
3. All personnel, including hearing officers and mediators, are trained appropriately on dispute resolution processes and IDEA requirements.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
4. Tracking of issues identified is used to determine patterns or trends.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
5. Results of dispute resolution processes are analyzed to determine the effectiveness of the dispute resolution system.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced

### Component 4: Data on Processes and Results

Evidences	Description	Extent of implementation
1. Data are collected as required under section 618 of IDEA and by the secretary.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
2. LEAs submit data in a timely and accurate manner.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
3. Verification is achieved through multiple methods and activities, including electronic, comparative and on-site monitoring to determine data accuracy.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
4. LEA reports, dispute resolution data, and other sources of data are used by teams conducting on-site monitoring visits.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
5. The state distributes to LEAs and publicly reports on the LEA's performance in comparison to state targets.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
6. State makes determinations on the status of LEAs consistent with the minimum requirements as specified by OSEP.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
7. States include multiple measures of status in their determination decisions.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced

Component 4: Data on Processes and Results		
Evidences	Description	Extent of implementation
		<input type="checkbox"/> Not evidenced
8. Data are used to target and maximize technical assistance, professional development, as well as state resources.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced

### Component 5: Integrated Monitoring Activities

Evidences	Description	Extent of evidence
1. There is stakeholder involvement in the development of measurable and rigorous targets.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
2. There is stakeholder involvement in the design, implementation, and evaluation of integrated monitoring activities (e.g., State Advisory Panel, family members, LEA staff).		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
3. Training is provided at all levels (state and local) for those involved in monitoring to provide consistency in the implementation of monitoring procedures and to ensure transparency of the process.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
4. State and LEA data are systematically reviewed to determine focused monitoring activities.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
5. Monitoring results trigger effective corrective actions, technical assistance, improvement strategies, fiscal decisions and other investments, sanctions, and incentive that ensure timely correction.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced



### Component 5: Integrated Monitoring Activities

Evidences	Description	Extent of evidence
6. State identified noncompliance triggers effective corrective actions, technical assistance, improvement strategies, fiscal decisions and other investments, sanctions, and incentives.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
7. Focused monitoring activities should be geared toward identifying solutions and activities to enhance and improve performance as well as correcting noncompliance.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
8. Multiple data sources and methodologies (e.g., desk audits, surveys, on-site reviews, local agency self-assessments) are used.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
9. Monitoring activities identify status of compliance and performance.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
10. Monitoring activities lead to the identification of underlying causes of noncompliance to assist in the development of improvement strategies.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced

### Component 6: Targeted Technical Assistance and Professional Development

Evidences	Description	Extent of evidence
1. Technical assistance or professional development activities are directly linked to specific indicators in the SPP, including the identification and correction of noncompliance and improvement of performance.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
2. The state systematically disseminates information to LEAs about promising and evidence based practices.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
3. Standards for professional development are designed to evaluate technical assistance and professional development activities.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
4. Evaluations of technical assistance and professional development involve evidence of a change of practice resulting in improved outcomes and compliance as well as building sustainability and capacity.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
5. Follow-up activities are built into the technical assistance design to determine whether improvement activities are carried out consistent with the technical assistance provided.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced

### Component 7: Improvement, Correction, Incentives, and Sanctions

Evidences	Description	Extent of evidence
1. State rules clearly define the state's authority for enforcement.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
2. Targeted training, technical assistance, and support are provided to LEAs when developing and implementing corrective action.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
3. State rules authorize a range of sanctions.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
4. Model practices reflecting improvement activities of high performing LEAs are identified in order to be replicated by other LEAs.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
5. Rewards are provided to reinforce high performing LEAs.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
6. Incentives are provided for improvement at the LEA level.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
7. Targeted technical assistance is provided by other agencies through interagency agreements.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced

**Component 7: Improvement, Correction, Incentives, and Sanctions**

<b>Evidences</b>	<b>Description</b>	<b>Extent of evidence</b>
8. States have procedures to track effectiveness of corrective actions and improvement strategies.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
9. The state uses any monitoring and enforcement authority available.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced

### Component 8: Fiscal Accountability

Evidences	Description	Extent of evidence
1. States implement the correct funding formula in the distribution of IDEA funds.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
2. The funding formula for distribution of state funds does not violate LRE requirements.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
3. States ensure that Charter LEAs receive their equitable share of funds in a timely manner, including significantly expanding Charter LEAs.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
4. LEAs provide a proportionate share of IDEA funds to private schools.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
5. States submit a correctly completed Use of Funds form designating how the state's set-aside will be expended.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
6. The state has a procedure for securing timely reimbursements of funds used under this part in accordance with section 640(a) of IDEA.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
7. States' interagency agreements establish fiscal responsibility for the provision of special education and related services and procedures for dispute resolution.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced

### Component 8: Fiscal Accountability

Evidences	Description	Extent of evidence
8. States and LEAs use applicable procedures related to high risk pools if the state reserves funds for this purpose.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
9. States maintain effort at the state level.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
10. States and LEAs use applicable procedures related to exceptions to maintenance of effort.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
11. State directs the use of 15% of an LEA's IDEA allocation for early intervening services when significant disproportionality is identified.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
12. States ensure that LEAs use IDEA funds to pay the excess costs of providing special education and related services.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
13. States direct the use of state funds (where permitted by state law) or withhold LEA funds based on longstanding noncompliance.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
14. States ensure LEAs maintain effort.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced

Component 8: Fiscal Accountability		
Evidences	Description	Extent of evidence
15. States ensure that audits are conducted annually in accordance with the Single Audit Act.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
16. States ensure that LEAs adjust local fiscal efforts in accordance with 34 CFR 300.205.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
17. States ensure that LEAs do not commingle IDEA funds with state funds.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
18. States ensure that IDEA funds supplement and not supplant the level of other federal, state and local funds.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
19. States ensure that LEAs report on early intervening services.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
20. States have procedures for prohibiting an LEA from reducing maintenance of effort if an LEA is not meeting Part B requirements.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced
21. States have procedures for ensuring that funds are expended appropriately and are not commingled with state funds and do not supplant Federal, state or local funds.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced

### Component 8: Fiscal Accountability

Evidences	Description	Extent of evidence
22. States have procedures for ensuring that funds are used only for the excess cost of providing special education and related services.		<input type="checkbox"/> Clearly evidenced <input type="checkbox"/> Partially evidenced <input type="checkbox"/> Not clearly evidenced <input type="checkbox"/> Not evidenced