Gap Analysis: Monitoring, Sustaining Compliance and Improvement

For more information, visit <https://ectacenter.org/topics/gensup/dms-preparing.asp>

# Using this Worksheet

This worksheet is based on the [OSEP Sustaining Compliance and Improvement Protocol](https://sites.ed.gov/idea/grantees/#DMS,DMS-2), and can help identify gaps in your monitoring system. By completing the worksheet, you will assess your state’s status on the ten Overarching Questions included in the protocol. Use this information to develop plan(s) to address gaps.

# Sustaining Compliance and Improvement: Component Definition

A system for recognizing and improving compliance and results, including use of improvement activities, incentives, and sanctions.

# Instructions

Compile, organize, and make accessible to team members all written documents, including internal and public-facing policies and procedures, for each system assessed. Then, use the gap analysis worksheet to review each overarching question's Protocol Items and complete the following:

* Use the Systems Overview developed in **Step 3** to identify current policies, procedures, and practices related to each Protocol Item.
* Determine if what you are doing aligns with the foundational information in **Step 4**.
* Determine if what you are doing (or need to do) is described in your written procedures. Record the document and page number or section where this information can be found.
* Determine and record a status code: 1, 2, 3, or 4.
* Note anything missing or that needs modification.
* Document your key conclusions for the overarching question.

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| --- | --- |
| Status Code | Definition |
| 1 | We are doing it correctly and it is documented. |
| 2 | We are doing it correctly, but it needs to be documented. |
| 3 | We are doing some of it, but not all of it, and documentation needs to be developed or modified. |
| 4 | We need to give this item a lot of attention. |

# Overarching Questions

1. How does the State ensure timely correction of noncompliance?
2. What criteria are used to determine that a finding of noncompliance has been corrected?
3. How does the State verify that individual child-specific noncompliance is corrected as soon as possible and in no case later than one year after the State's identification of the noncompliance?
4. How does the State determine the nature and scope of any corrective action needed to correct the noncompliance?
5. What methods does the State’s general supervision system use to ensure and document timely correction of noncompliance (e.g., technical assistance, revision of policies and procedures, corrective action plans, sanctions, etc.)?
6. What authority does the State educational agency (SEA)/Lead Agency (LA) have, under State law (if broader or narrower than IDEA), to use enforcement actions and sanctions?
7. What are the barriers that impede the State’s ability to ensure LEAs/EIS providers correct noncompliance in a timely manner?
8. Describe the various methods the State uses to engage with its LEAs/EIS providers to improve educational or early intervention results and functional outcomes for infants, toddlers, children, and youth with disabilities.
9. For LEAs/EIS providers that have demonstrated improved performance, how does the State work with the LEAs/EIS providers to ensure and sustain improvement?
10. What is the role of the State Advisory Panel (SAP)/State Interagency Coordinating Council (SICC) in the State’s efforts in sustaining compliance and improvement for students with disabilities?

## **A.** How does the State ensure timely correction of noncompliance?

* [34 CFR §300.600(e) — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300/subpart-F/subject-group-ECFR76957f34acb3422/section-300.600#p-300.600(e))
* [34 CFR §303.700(e) — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-H/subject-group-ECFRe32b04708514b9c/section-303.700#p-303.700(e))

### General Information

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 1 | The State’s policies and/or procedures provide a clear definition of timely correction and the State can demonstrate how this policy or procedure is communicated to LEAs/EIS providers and programs. |  |  |  |
| 2 | Correction must occur as soon as possible, and in no case later than one year after the State’s written notification to the LEA or EIS provider of a finding of noncompliance. |  |  |  |

### Possible Follow-Up Questions

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 3 | Does the State implement “timely correction” of noncompliance consistent with the timeline required by the IDEA regulations? |  |  |  |
| 4 | How does the State ensure noncompliance is corrected as soon as possible and what documentation does the State require to demonstrate correction of noncompliance? |  |  |  |
| 5 | What steps does the State take if documentation of correction is not provided to demonstrate correction within one year of the State’s identification of noncompliance? |  |  |  |
| 6 | How does the State track the timeline for correction? |  |  |  |
| 7 | Does the State provide interim reminders or technical assistance to support timely correction? |  |  |  |

### Key Conclusions

## **B.** What criteria are used to determine that a finding of noncompliance has been corrected?

* [34 CFR §300.600(e) — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300/subpart-F/subject-group-ECFR76957f34acb3422/section-300.600#p-300.600(e))
* [34 CFR §303.700(e) — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-H/subject-group-ECFRe32b04708514b9c/section-303.700#p-303.700(e))

### General Information

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 1 | The State’s policies and procedures must address correction of both child-specific and systemic noncompliance (per [OSEP Memo 09-02 to Chief State School Officers Reporting on Correction of Noncompliance (October 17, 2008)](https://sites.ed.gov/idea/files/idea/policy/speced/guid/idea/memosdcltrs/osep09-02timelycorrectionmemo.pdf)). |  |  |  |
| 2 | The State must demonstrate and report on correction of all identified noncompliance, including issues identified through the State’s monitoring and data systems, Single Audits, and dispute resolution system. |  |  |  |
| 3 | In cases where it is determined that an LEA’s/EIS provider’s policies, procedures and/or practices contributed to or resulted in noncompliance, the State has a process to verify that the LEA/EIS provider makes changes and corrections, as appropriate, to those policies, procedures and/or practices. |  |  |  |
| 4 | The State must verify that the LEA/EIS provider is correctly implementing the specific statutory and regulatory requirement(s). This must be based on the State’s review of updated data such as data from subsequent on-site monitoring or data collected through a State’s monitoring and/or data system. (OSEP Memo 09-02) |  |  |  |
| 5 | For any child-specific noncompliance, the State must ensure that the LEA/EIS provider has corrected each individual case of noncompliance (e.g., late evaluation or late initiation of services in accordance with the individualized education program (IEP)/individualized family service plan (IFSP)), unless the child is no longer within the jurisdiction of the LEA/EIS provider. (OSEP Memo 09-02). |  |  |  |
| 6 | The State has a process for notifying the LEA/EIS provider that a finding has been verified as corrected. |  |  |  |

### Possible Follow-Up Questions

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| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 7 | What documentation does the State review to ensure correction? Ask for examples. |  |  |  |
| 8 | Does the State verify correction of the child-specific findings of noncompliance? If so, how? |  |  |  |
| 9 | Does the State verify correction of the systemic noncompliance? If so, how? |  |  |  |
| 10 | How many child-specific records and what period of time does the State review to ensure compliance with the statutory and regulatory requirements? |  |  |  |

### Key Conclusions

## **C.** How does the State verify that individual child-specific noncompliance is corrected as soon as possible and in no case later than one year after the State's identification of the noncompliance?

* [34 CFR §300.600(e) — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300/subpart-F/subject-group-ECFR76957f34acb3422/section-300.600#p-300.600(e))
* [34 CFR §303.700(e) — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-H/subject-group-ECFRe32b04708514b9c/section-303.700#p-303.700(e))

### General Information

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 1 | The State must verify that each individual finding of child-specific noncompliance is corrected (unless the child is no longer within the jurisdiction of the program). |  |  |  |
| 2 | The State must review individual child records or use a database to verify correction of the child-specific noncompliance. |  |  |  |

### Possible Follow-up Questions

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 3 | What mechanisms does the State have in place to determine that a child received the required service or evaluation, although late? |  |  |  |
| 4 | What is the State’s process for reviewing individual child records or using its database to verify correction of child-specific noncompliance? |  |  |  |

### Key Conclusions

## **D.** How does the State determine the nature and scope of any corrective action needed to correct the noncompliance?

* [2 CFR §200.329 — Monitoring and reporting program performance](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/subject-group-ECFR36520e4111dce32/section-200.329)
* [2 CFR §200.332 — Requirements for pass-through entities](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/subject-group-ECFR031321e29ac5bbd/section-200.332)
* [34 CFR §300.600 — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300/subpart-F/subject-group-ECFR76957f34acb3422/section-300.600)
* [34 CFR §303.120(a)(2) — Lead agency role in supervision, monitoring, funding, interagency coordination, and other responsibilities](https://www.ecfr.gov/current/title-34/part-303/section-303.120#p-303.120(a)(2))
* [34 CFR §303.700(b) — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/part-303/section-303.700#p-303.700(b))

### General Information

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 1 | The State considers broad corrective action when noncompliance impacts more than a few child records. |  |  |  |
| 2 | The State can describe the criteria it uses to determine the type of corrective action that is required, when systemic noncompliance is identified. |  |  |  |

### Possible Follow-up Questions

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 3 | What actions does the State take to determine the causes of the noncompliance and to prevent its reoccurrence in specific LEAs/EIS providers?   1. Does the State need to do additional training? 2. Is the noncompliance due to a deficiency in the LEA’s/EIS provider’s practices, rather than the LEA’s/EIS provider’s policies and procedures? 3. Is the noncompliance due to inadequate staff resources? |  |  |  |
| 4 | Does the State have procedures to identify patterns of noncompliance across LEAs/EIS providers?   1. What steps does the State take if it identifies patterns of noncompliance? 2. What mechanisms does the State have to address patterns of noncompliance with all of its LEAs/EIS providers, such as through professional development and guidance? |  |  |  |
| 5 | What documentation does the State require from LEAs/EIS providers to verify the correction of the systemic noncompliance? |  |  |  |

### Key Conclusions

## **E.** What methods does the State’s general supervision system use to ensure and document timely correction of noncompliance (e.g., technical assistance, revision of policies and procedures, corrective action plans, sanctions, etc.)?

* [2 CFR §200.332(c)](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/subject-group-ECFR031321e29ac5bbd/section-200.332#p-200.332(c)), [(d)](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/subject-group-ECFR031321e29ac5bbd/section-200.332#p-200.332(d)), [(e)](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/subject-group-ECFR031321e29ac5bbd/section-200.332#p-200.332(e)), [(f)](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/subject-group-ECFR031321e29ac5bbd/section-200.332#p-200.332(f)), [(g)](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/subject-group-ECFR031321e29ac5bbd/section-200.332#p-200.332(g)), and [(h) — Requirements for pass-through entities](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/subject-group-ECFR031321e29ac5bbd/section-200.332#p-200.332(h))
* [34 CFR §300.149 — SEA responsibility for general supervision](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300/subpart-B/subject-group-ECFRf3191dc58290c0e/section-300.149)
* [34 CFR §300.600 — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300/subpart-F/subject-group-ECFR76957f34acb3422/section-300.600)
* [34 CFR §303.120(a) — Lead agency role in supervision, monitoring, funding, interagency coordination, and other responsibilities](https://www.ecfr.gov/current/title-34/part-303/section-303.120#p-303.120(a))
* [34 CFR §303.700(b) — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/part-303/section-303.700#p-303.700(b))

### General Information

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 1 | The State must be able to describe the methods it uses to ensure and verify timely correction of noncompliance (child-specific and systemic). |  |  |  |
| 2 | The State has established procedures to verify correction of the noncompliance in a timely manner, as soon as possible and in no case later than one year after the notification of the noncompliance. |  |  |  |
| 3 | The State is providing support and training (technical assistance (TA)) to LEAs/EIS providers to address the child-specific and/or systemic noncompliance, and sanctions when appropriate. |  |  |  |

### Possible Follow-up Questions

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 4 | How does the State decide which method(s) is/are most appropriate to address the identified noncompliance? (e.g., TA, sanctions, examining policies and procedures, corrective action plans, etc.)? |  |  |  |
| 5 | What resources does the State access to provide TA (e.g., internal TA providers, external TA providers, outside consultants)? |  |  |  |
| 6 | What enforcement options has the State used? |  |  |  |
| 7 | What enforcement options does the State use when there is longstanding noncompliance? |  |  |  |
| 8 | Has the State imposed any monetary sanctions (such as directing the use of, or withholding, funds) against any of its LEAs/EIS providers? If so, what was the reason?   1. Was this enforcement action effective in bringing the LEA/EIS provider into compliance? |  |  |  |

### Key Conclusions

## **F.** What authority does the State educational agency (SEA)/Lead Agency (LA) have, under State law (if broader or narrower than IDEA), to use enforcement actions and sanctions?

* [34 CFR §300.149(b) — SEA responsibility for general supervision](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300/subpart-B/subject-group-ECFRf3191dc58290c0e/section-300.149#p-300.149(b))
* [34 CFR §300.600(a) — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/part-300/section-300.600#p-300.600(a))
* [34 CFR §303.120(a) — Lead agency role in supervision, monitoring, funding, interagency coordination, and other responsibilities](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-B/subject-group-ECFR8b0af1d9e085a1a/section-303.120#p-303.120(a))
* [34 CFR §303.704 — Enforcement](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-H/subject-group-ECFRe32b04708514b9c/section-303.704)
* [34 CFR §303.708 — State enforcement](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-H/subject-group-ECFRe32b04708514b9c/section-303.708)
* [34 CFR §303.700 — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-H/subject-group-ECFRe32b04708514b9c/section-303.700)

### General Information

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 1 | The State must know and be able to describe whether State law permits it to use specific enforcement actions and sanctions, and if the State law is broader or narrower than what is described in IDEA. |  |  |  |

### Possible Follow-up Questions

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 2 | What are the relevant State laws, and are the State laws broader or narrower than IDEA? |  |  |  |
| 3 | Has the State’s authority to use a specific enforcement action or sanction ever been challenged? What was the result? |  |  |  |

### Key Conclusions

## **G.** What are the barriers that impede the State’s ability to ensure LEAs/EIS providers correct noncompliance in a timely manner?

* [34 CFR §300.149 — SEA responsibility for general supervision](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300/subpart-B/subject-group-ECFRf3191dc58290c0e/section-300.149)
* [34 CFR §300.600(e) — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/part-300/section-300.600#p-300.600(e))
* [34 CFR §303.120(a) — Lead agency role in supervision, monitoring, funding, interagency coordination, and other responsibilities](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-B/subject-group-ECFR8b0af1d9e085a1a/section-303.120#p-303.120(a))
* [34 CFR §303.700(e) — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/part-303/section-303.700#p-303.700(e))

### General Information

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 1 | The State must be able to identify any barriers it faces in ensuring LEAs/EIS providers correct noncompliance in a timely manner.  State-Level Barriers:   1. Lack of sufficient numbers of State staff to monitor LEAs/EIS providers 2. Insufficient database or data collection system   LEA/EIS Provider-Level Barriers:   1. Lack of staffing to deliver services 2. Resistance to implementation of correction 3. Staff turnover |  |  |  |

### Possible Follow-up Questions

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 2 | What is the State doing to address these barriers? |  |  |  |
| 3 | What measures has the State taken to conduct an in-depth root cause analysis on barriers that interfere with the LEAs’/EIS providers’ ability to correct noncompliance? |  |  |  |
| 4 | Has the State worked with stakeholders, including LEA/EIS provider administrators, providers, teachers, and parents, to address barriers? |  |  |  |

### Key Conclusions

## **H.** Describe the various methods the State uses to engage with its LEAs/EIS providers to improve educational or early intervention results and functional outcomes for infants, toddlers, children, and youth with disabilities.

* [34 CFR §300.149(b) — SEA responsibility for general supervision](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300/subpart-B/subject-group-ECFRf3191dc58290c0e/section-300.149#p-300.149(b))
* [34 CFR §300.600(b) — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/part-300/section-300.600#p-300.600(b))
* [34 CFR §303.120(a) — Lead agency role in supervision, monitoring, funding, interagency coordination, and other responsibilities](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-B/subject-group-ECFR8b0af1d9e085a1a/section-303.120#p-303.120(a))
* [34 CFR §303.700(b) — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/part-303/section-303.700#p-303.700(b))

### General Information

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 1 | The State has a method to determine whether improvement is needed for a State Performance Plan/Annual Performance Report (SPP/APR) results indicator. |  |  |  |
| 2 | The State has a method to ensure the (SPP/APR) results indicator data is accurate and representative of the population served. |  |  |  |
| 3 | The State has a process in place for engaging its LEAs/EIS providers to improve educational or early intervention results and functional outcomes.   1. For instance, the State may require a written plan, provide technical assistance, or offer professional development activities for LEA/EIS provider staff. |  |  |  |

### Possible Follow-up Questions

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 4 | Has the State conducted an analysis to determine which areas are showing improved results, and which are stagnant or declining, and the reasons for the improvement or the lack of improvement? |  |  |  |
| 5 | Does the State engage in cross-indicator analysis to determine the connection between results in different areas (e.g., transition activities and post-school outcomes)? If so, what does this look like, and what actions does the State take as a result? |  |  |  |
| 6 | Are there circumstances under which the State requires specific activities related to improving results? If so, what are the circumstances and describe the activities. |  |  |  |
| 7 | What are some of the professional development activities the State provides to its LEAs/EIS providers to improve SPP/APR results indicator data? |  |  |  |
| 8 | How does the State make sure that staff are trained in the requisite skills and are implementing evidence-based practices? |  |  |  |

### Key Conclusions

## **I.** For LEAs/EIS providers that have demonstrated improved performance, how does the State work with the LEAs/EIS providers to ensure and sustain improvement?

* [34 CFR §300.600(b) — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/part-300/section-300.600#p-300.600(b))
* [34 CFR §303.700(b) — State monitoring and enforcement](https://www.ecfr.gov/current/title-34/part-303/section-303.700#p-303.700(b))

### General Information

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 1 | The State has established standard requirements and qualifications for its LEA/EIS provider staff. |  |  |  |
| 2 | The State monitors to ensure that LEA staff meet applicable IDEA personnel qualifications and State personnel standards requirements, consistent with [34 CFR §300.156](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300/subpart-B/subject-group-ECFR18f0c3fecd807b3/section-300.156) for IDEA Part B and with [34 CFR §303.31](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-A/subject-group-ECFR8d7eb7e02db8abe/section-303.31), [34 CFR §303.118](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-B/subject-group-ECFR8b0af1d9e085a1a/section-303.118) and [34 CFR §303.119](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-B/subject-group-ECFR8b0af1d9e085a1a/section-303.119) for IDEA Part C. |  |  |  |
| 3 | The State has a plan or method for sustaining attention to and support for improving results for LEAs/EIS providers. |  |  |  |
| 4 | The State provides guidance on evidence-based practices to its LEA/EIS provider staff. |  |  |  |
| 5 | The State identifies and highlights LEAs/EIS providers that have shown sustained improvement and high performance as models. |  |  |  |

### Possible Follow-up Questions

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| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 6 | What mechanisms does the State utilize to monitor improved performance on SPP/APR results indicator data at the LEA/EIS provider level? |  |  |  |
| 7 | How does the State monitor and ensure that LEA staff meet applicable IDEA personnel qualifications and State personnel standards requirements, consistent with [34 CFR §300.156](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300/subpart-B/subject-group-ECFR18f0c3fecd807b3/section-300.156) for IDEA Part B and with [34 CFR §303.31](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-A/subject-group-ECFR8d7eb7e02db8abe/section-303.31), [34 CFR §303.118](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-B/subject-group-ECFR8b0af1d9e085a1a/section-303.118) and [34 CFR §303.119](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-B/subject-group-ECFR8b0af1d9e085a1a/section-303.119) for IDEA Part C. |  |  |  |
| 8 | What are the personnel standards requirements and qualifications for special education teachers in the State? |  |  |  |
| 9 | Are staff provided relevant training to improve results using evidence-based practices? |  |  |  |
| 10 | Are training and technical assistance readily available to all professionals involved in the results components? Are the training and technical assistance activities consistent with policies and procedures addressing student outcomes and achievement? |  |  |  |

### Key Conclusions

## **J.** What is the role of the State Advisory Panel (SAP)/State Interagency Coordinating Council (SICC) in the State’s efforts in sustaining compliance and improvement for students with disabilities?

* [34 CFR §300.167–169 — State advisory panel](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300/subpart-B/subject-group-ECFRce8401a2a495c32)
* [34 CFR §303.600–605 — Subpart G—State Interagency Coordinating Council](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-G)

### General Information

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 1 | The State has regular meetings with the SAP/SICC to solicit feedback on the State’s efforts to sustain compliance and improvement. |  |  |  |
| 2 | The State regularly reviews results and compliance data with its SAP/SICC. |  |  |  |

### Possible Follow-up Questions

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| ID | Protocol Item | Evidence | Status Code | What’s Missing/Next Steps |
| 3 | How frequently does the State meet with the SAP/SICC? |  |  |  |
| 4 | Does the SAP/SICC meet the minimal membership requirements in [34 CFR §300.168](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300/subpart-B/subject-group-ECFRce8401a2a495c32/section-300.168) or [34 CFR §303.601](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-G/section-303.601)? |  |  |  |
| 5 | Is the SAP/SICC more broadly representative of the children with disabilities and their families in the State? |  |  |  |
| 6 | Does the State review compliance and results data and information with its SAP/SICC? |  |  |  |
| 7 | How does the State incorporate the SAP/SICC in its monitoring activities? |  |  |  |
| 8 | How does the SAP/SICC advise and assist the SEA/LA in performing its responsibilities? |  |  |  |
| 9 | How does the SEA/LA encourage meaningful participation and feedback from the SAP/SICC? |  |  |  |
| 10 | What mechanisms does the State have in place to promote methods (including the use of intra-agency and interagency agreements) for collaboration regarding child find and FAPE responsibilities? |  |  |  |

### Key Conclusions





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