



# **SCHOOL DISTRICT SELF-REVIEW MONITORING PROTOCOL**

Revised March 2011

## **Secondary Transition Individualized Education Program (IEP) Review for Students with Disabilities (Indicator 13)**

For self-reviews to be conducted during the 2011  
school year and thereafter

**New York State Education Department**  
Albany, NY 12234

SELF-REVIEW MONITORING PROTOCOL  
**SECONDARY TRANSITION**  
**INDIVIDUALIZED EDUCATION PROGRAM (IEP) REVIEW**  
State Performance Plan Indicator 13

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**SELF-REVIEW MONITORING PROTOCOL**  
**SECONDARY TRANSITION INDIVIDUALIZED EDUCATION**  
**PROGRAM (IEP) REVIEW**  
**State Performance Plan Indicator #13**

**I. Overview of Self-Review Requirements**

Indicator 13 of the State Performance Plan (SPP) requires the State to annually report the percentage of youth aged 15 and above with IEPs that include:

- appropriate measurable post-secondary goals that are annually updated and based upon age-appropriate transition assessments;
- transition services, including courses of study, that will reasonably enable the student to meet those postsecondary goals; and
- annual IEP goals related to the student’s transition services needs.

There also must be evidence that:

- the student was invited to the Committee on Special Education (CSE) meeting where transition services were discussed and
- if appropriate, a representative of any participating agency was invited to the CSE meeting with the prior consent of the parent or student (if the student is age 18 or older).

The federally required measure has been selected to focus attention on how a student’s education program can be planned to assist the student to make a successful transition to his or her post-secondary goals for living, further training, education and employment and to help reduce the number of students with disabilities that drop out of school. Effective transition planning requires that the CSE, including the student and student’s parents, select the instruction and the career and educational experiences to motivate the student to complete his or her education and prepare the student for transition from secondary education to post-secondary life.

Each year the State reports this information based on data from a representative sample of school districts throughout the State. SED has chosen to collect these data through a self-review monitoring process. Beginning with the 2005-06 school year, one-sixth of the school districts in the State must complete and report the results from the “Self-Review Monitoring Protocol: Secondary Transition IEP Review for Students with Disabilities.”

**II. Timelines for Completion of the Transition Self-Review**

The results of the “Secondary Transition IEP Review for Students with Disabilities” must be reported to SED by **August 31**.

**It is recommended that the CSE review this document prior to annual reviews to ensure that transition services recommended in each student's IEP are in compliance with these review criteria.**

### **III. Directions for Conducting the Self-Review**

The "Secondary Transition IEP Review for Students with Disabilities" is a focused self-review of the content of the school district's IEPs with respect to transition planning and services. The review focuses on requirements in the following areas:

- Participation of the student in transition planning
- Post-secondary goals
- Present levels of performance and transition needs
- Annual goals
- Transition activities
- Statement of responsibilities of the school district and participating agencies

The review of IEPs requires a determination as to whether the IEP includes the specific transition content information and whether the content of the IEP would reasonably enable the student to meet measurable post-secondary goals. Therefore, this requires a qualitative review of IEPs. As such, the team that is selected to conduct the self-review should consider the following quality indicators in the review process:

- Students actively participate in planning their educational programs leading toward achievement of post-secondary goals.
- IEPs are individualized and are based on the assessment information about the students, including individual needs, preferences, interests and strengths of the student.
- Transition needs identified in the students' assessment information are included in the students' present levels of performance.
- Annual goals address students' transition needs identified in the present levels of performance and are calculated to help each student progress incrementally toward the attainment of the post-secondary goals.
- The recommended special education programs and services will assist the students to meet their annual goals relating to transition.
- The statements of needed transition services are developed in consideration of the students' needs, preferences and interests, are directly related to the students' goals beyond secondary education and will assist the students to reach their post-secondary goals.
- Courses of study are linked to attainment of the students' post-secondary goals.
- The school district as well as appropriate participating agencies coordinate their activities in support of the students' attainment of post-secondary goals.

Prior to beginning the review, it is strongly recommended that the team avail itself of technical assistance available through the State's Regional Special Education Technical

Assistance Support Centers (RSE-TASC). Each RSE-TASC has Transition Specialists with responsibility to assist school districts to increase their awareness of effective practices and possible improvement strategies for the topics under review. Contact information for the RSE-TASC Transition Specialists can be found at <http://www.p12.nysed.gov/specialed/techassist/rsetasc/>.

### **Selecting a sample of records to be reviewed**

The IEPs to be reviewed must be selected from the IEPs in effect for all students with disabilities who are aged 15-21 during the school year in which the school district is designated to report and for whom the school district has CSE responsibilities, including but not limited to students provided special education services in district-operated programs, neighboring school districts, board of cooperative educational services (BOCES), approved private schools, Special Act School Districts and State-supported schools, home/hospital instruction and students receiving home instruction, parentally placed nonpublic schools.

- School districts with 30 or fewer students in the total population of students with disabilities aged 15-21 will review all IEPs of this target population.
- School districts with more than 30 students in the total population of students with disabilities aged 15-21 will review a random selection of a minimum of 30 IEPs.
- New York City will randomly select and review a minimum of 100 students' IEPs annually.

The random selection of IEPs ensures that the data collected is representative of every eligible student across the age span of 15-21, including their disability classification, placement, race/ethnicity and other characteristics. To select a random sample, districts should select and use a random number table provided on-line at <http://www.p12.nysed.gov/sedcar/randomno.htm>.

**Attachment 1** is a checklist of key steps for completing this self-review. Three forms (Attachments 2, 3 and 4) are completed as part of this self-review monitoring process:

- **School District Self-Review Monitoring Protocol** (Attachment 2). Attachment 2 establishes the protocol to conduct the self-review. The protocol specifies the regulatory requirements relating to Indicator #13, indicates the documentation that must be reviewed and identifies information to look for in reviewing that documentation for evidence of compliance. Attachment 2 is the form on which the district must document its compliance findings in detail and identify, for self-correction purposes, any corrective action and improvement activities needed to address compliance issues. Attachment 2 is not submitted to SED, but should be used to guide district steps to self-correct compliance issues.
- **Individual Student Record Review Form** (Attachment 3). Attachment 3 guides the collection of information from each student's record. Using Attachment 3, a determination must be made whether the regulatory requirement was or was not met

by the IEP for each individual student. The School District Self-Review Monitoring Protocol (Attachment 2) should be referenced in determining what documentation in a student's record must be reviewed and information to look for in the review of that documentation. One Attachment 3 form should be completed separately for each IEP reviewed. The set of Attachment 3 forms are not submitted to SED, but are collectively used to determine compliance and kept by the district as documentation.

- **Secondary Transition IEP Self-Review Monitoring Report** (Attachment 4). Attachment 4 is a sample of the electronic reporting form the school district will complete to document the results of the district's self-review to SED. The district will report the number of student IEPs that contain appropriate transition content.
- **The data from Attachment 4 must be submitted electronically to SED by August 31.**

#### **IV. Identification of Noncompliance/Compliance**

##### **Number of youth with IEPs containing appropriate transition content**

For an IEP to be considered in compliance, "yes" must be checked for every citation/issue on Attachment 3 that corresponds to that IEP.

#### **V. Report to the State Education Department (SED)**

The only documentation to be submitted to SED is data from the Secondary Transition IEP Self-Review Monitoring Report (Attachment 4). This report must be submitted electronically. To complete this form, go to <http://pd.nysed.gov>, log on using the same user id and password as assigned for PD data submissions. Click on: Secondary Transition IEP Self-Review Monitoring Report and follow the directions for completion and submission. The district should **NOT** submit to SED any of the other forms completed during the self-review unless requested by SED.

Pursuant to the New York State Archives and Records Administration Records Retention and Disposition Schedule ED-1, the school district must maintain complete documentation of its review for a period of **seven years**. This documentation is subject to review by SED and therefore should be maintained in an easily retrievable and organized manner.

#### **VI. SED Review of Self-Review Monitoring Report**

SED will review the electronically submitted data from the Self-Review Monitoring Report (Attachment 4) and respond as follows:

- If the school district reports to SED that, based on its self-review, the district has not identified any compliance issues relating to its IEPs and transition services, SED may arrange for a review of that determination.

- If the school district reports to SED that, based on its self-review, the district has one or more compliance issues, SED will notify the district that it must correct all instances of noncompliance as soon as possible, but not later than one year from the identification of the issues (i.e., date reported to SED). SED will provide periodic notifications to the school district to ensure correction of noncompliance within a year.

## **VII. Correction of Noncompliance**

### **Year 1 – Self Identification and Correction**

If the school district identifies that the IEPs of youth aged 15 and older do not include coordinated, measurable annual IEP goals and transition services that will reasonably enable the students to meet their measurable post-secondary goals, the school district must:

- report to SED issues of noncompliance found through the self-review process;
- document on the self-review protocol the steps the school district will take (i.e., corrective actions and improvement activities) to correct findings on noncompliance. This improvement plan is not submitted to SED but must be maintained with the self-review documentation.
- correct all instances of noncompliance immediately, but not later than 12 months from the date of the report submitted to SED; and
- provide an assurance and documentation to SED that the school district has corrected all issues of noncompliance within one year from the date reported to SED. (Further information on this documentation will be provided to individual districts based on compliance findings.)

**Correction** of all instances of noncompliance involves two types of correction: (1) correcting each individual student’s IEP that has noncompliant components to ensure that it includes all required components and the student receives transition services that reasonably will enable him/her to meet post-secondary goals; and (2) taking action to address the systemic reasons why all students’ IEPs were not appropriately developed.

SED may determine, based on the nature and extent of the findings in the report submitted by the school district to SED and/or the verification of that report that a school district is in need of assistance, in need of intervention or in need of substantial intervention.

### **Identification as a “School District in Need of Assistance” for two consecutive years:**

If a school district is identified as a “school district in need of assistance” for two consecutive years, SED must take one or more of the following actions:

- conduct a monitoring review of the school district's policies, procedures and practices;
- require the school district to obtain technical assistance;
- direct the school district's use of IDEA funds; and/or
- impose special conditions on the school district's use of IDEA funds.

**Identification as a “School District in Need of Intervention” for three consecutive years:**

If a school district is identified as a “school district in need of intervention” for three consecutive years, SED must take one or more of the following actions:

- any of the actions described above;
- require the school district to prepare a corrective action plan or improvement plan;
- direct a portion of the school district's use of IDEA funds; and/or
- impose special conditions on the school district's use of IDEA funds.

**Identification as a “School District in Need of Substantial Intervention”**

If the State determines that a school district needs substantial intervention in implementing the requirements or that there is substantial failure to comply with the requirements, the State may take other actions, including withholding in whole or part a portion of the school district's IDEA Part B funds.

**VIII. Technical Assistance Resources**

Sources for technical assistance relating to transition planning include, but are not limited to:

- RSE-TASC Transition Specialists  
<http://www.p12.nysed.gov/specialed/techassist/rsetasc/>
- Special Education Quality Assurance  
<http://www.p12.nysed.gov/specialed/quality/home.html>
- Transition Web Site  
<http://www.p12.nysed.gov/specialed/transition/home.html>
- Guide to Quality IEP Development and Implementation  
<http://www.p12.nysed.gov/specialed/publications/iepguidance.htm>
- Directions to use the State's model IEP form  
<http://www.p12.nysed.gov/specialed/formsnotices/IEP/directions-guidance.doc>
- State Performance Plan  
<http://www.p12.nysed.gov/specialed/spp/home.html>

- Frequently Asked Questions  
<http://www.p12.nysed.gov/specialed/spp/13faqs.htm>

## **IX. Questions**

Questions regarding the "Secondary Transition IEP Review for Students with Disabilities" may be directed to [speced@mail.nysed.gov](mailto:speced@mail.nysed.gov) with the subject line *SPP #13 – Transition Self-Review*, Special Education Policy at (518) 473-2878 or to the Special Education Quality Assurance Regional Offices at <http://www.p12.nysed.gov/specialed/>.

## Checklist to Complete the Transition Self-Review

Activity	Recommendations and Required Components of the Review
School superintendent or designee selects the team members to conduct the self-review	<ul style="list-style-type: none"> <li>• Identify a team leader for the review process.</li> <li>• Select a review team. Team members may include a director of special education, school principal, special education teacher, general education teacher, parent of a student with a disability, Committee on Special Education (CSE) chairperson or a school psychologist.</li> <li>• To provide objectivity and to benefit from technical assistance during the review process, it is recommended that the district invite someone from outside the district such as the Transition Specialists at the RSE-TASC to participate in the self-review.</li> </ul>
Conduct an initial meeting of the review team to discuss timelines for the review and the process to review and collect the required information	<ul style="list-style-type: none"> <li>• Assign staff responsible to:               <ul style="list-style-type: none"> <li>○ Identify the sample of students.</li> <li>○ Complete the student record reviews.</li> </ul> </li> <li>• It is recommended that at least two staff review each student's record to enhance validity and reliability of the review findings.</li> <li>• Identify the process to complete the review and due dates.</li> <li>• Establish meeting dates to review the results.</li> </ul>
Identify sources of data and information that must be reviewed	Each section of the self-review protocol identifies specific documentation in the student's individualized education programs (IEPs) that must be reviewed.
Select a sample of student records to be reviewed	Select the sample of IEPs to review from all students with disabilities aged 15-21 who are provided special education services during the school year in which the district is designated to report.
Complete the Individual Student Record Review Form (Attachment 3) for each student	Referencing Attachment 2 for guidance, review IEPs and record findings for each student's IEP on the Individual Student Record Review (Attachment 3).
Transfer Data to Self-Review Monitoring Protocol (Attachment 2)	<p>Assign one individual to transfer data from all of the Individual Student Record Reviews (Attachment 3) onto the Self-Review Monitoring Protocol (Attachment 2).</p> <p>Ensure that a citation of noncompliance indicated for even one student record is recorded as noncompliance for that citation in Attachment 2.</p>

<b>Activity</b>	<b>Recommendations and Required Components of the Review</b>
Convene a meeting of the review team to discuss the findings	Upon completion of the review of documentation, the team must document whether the district's secondary transition IEPs are in or are not in compliance with State requirements.
Analyze the data to identify the specific nature and extent of the areas in need of improvement	<ul style="list-style-type: none"> <li>• Question and probe data to determine relevant factors relating to the issues with the IEP (e.g., assessment information is not being included in Present Levels of Performance; post-secondary goals are not measurable; coordinated set of activities not tied to student needs; student was not invited to the meeting; etc.).</li> <li>• Go back to the Self-Review Monitoring Protocol (Attachment 2) to summarize the findings: <ul style="list-style-type: none"> <li>○ Document compliance and noncompliance.</li> <li>○ Describe the specific details of noncompliance.</li> <li>○ Identify what must be corrected and how it will be corrected.</li> <li>○ Set a timetable for correction.</li> <li>○ Identify and document improvement activities (e.g., staff development) to be used by the district to correct noncompliance.</li> <li>○ This improvement plan is not submitted to SED but must be maintained with the self-review documentation.</li> <li>○ All noncompliance must be corrected no later than one year from the date of identification. If not corrected by 10 months, the district will be required to take specific corrective actions.</li> </ul> </li> </ul>
Submit data from the signed Self-Review Monitoring Report (Attachment 4) to SED	<p><b>By: August 31</b></p> <p>Manner of submission: Electronic.</p> <p>To submit data from this form, go to <a href="http://pd.nysed.gov">http://pd.nysed.gov</a>.</p> <p>The Superintendent or Chief School Officer of the school district must verify that the report to be submitted electronically to SED provides accurate data and information.</p> <p>Print the Report after submitting to SED for record-keeping purposes.</p>

Maintain all documentation used to complete the self-review for seven years. Records should be retained in an organized and easily retrievable format. All documentation is subject to SED review.

**SCHOOL DISTRICT SELF-REVIEW MONITORING PROTOCOL  
SECONDARY TRANSITION IEP REVIEW FOR STUDENTS WITH DISABILITIES**

**School District:** \_\_\_\_\_

**Form completed by: (Name/Title)** \_\_\_\_\_

**Telephone/Email:** \_\_\_\_\_

**Date review completed:** \_\_\_\_\_

**Purpose of the Review:**

To determine the percentage of youth aged 15 and older with individualized education programs (IEPs) that include:

- appropriate measurable post-secondary goals that are annually updated and based upon an age-appropriate transition assessment;
- transition services, including courses of study that will reasonably enable the student to meet those post-secondary goals; and
- annual IEP goals related to the student’s transition services needs.

There must also be evidence that the student was invited to the Committee on Special Education (CSE) meeting where transition services are to be discussed and evidence that, if appropriate, a representative of any participating agency was invited to the CSE meeting with the prior consent of the parent (or of the student if the student is age 18 or older).

**Team members participating in the self-review [indicate name(s) and title(s)]:**

_____	_____
_____	_____
_____	_____

## DIRECTIONS

This form establishes the protocol to conduct the Secondary Transition IEP Self-Review, as required to address Indicator 13 of the State Performance Plan. The district must conduct a review of IEPs to determine the percentage of youth aged 15 and above with IEPs that include:

- appropriate measurable post-secondary goals that are annually updated and based upon an age-appropriate transition assessment;
- transition services, including courses of study that will reasonably enable the student to meet those postsecondary goals; and
- annual IEP goals related to the student's transition services needs.

There must also be evidence that the student was invited to the CSE meeting where transition services are to be discussed and evidence that, if appropriate, a representative of any participating agency was invited to the CSE meeting with the prior consent of the parent (or of the student if the student is age 18 or older).

**Areas to be reviewed.** The review focuses on requirements in the following areas:

1. Transition Service Needs, Measurable Post-secondary Goals and Annual Goals;
2. Transition Services; and
3. Student and Participating Agency Participation in the Meeting.

**Citation and Issue:** Regulatory requirements that are determined by the State Education Department (SED) to be most closely related to the indicator under review.

**Documentation and Evidence:** For each area to be reviewed, the protocol provides a specific list of documentation (information to look at) and evidence (information to look for) that must be considered in reviewing each IEP in the review sample.

**Number and Percentage of Compliance Based on Record Reviews:** Upon completion of the individual record reviews, document the number of student IEPs found in compliance for each citation. In the next column, calculate the percentage of compliance by dividing the total number of IEPs found in compliance by the total number of IEPs reviewed and document the percentage found.

**Determination of Compliance: Y (Yes) or N (No)** The notation of Y indicates that the district is in compliance with the specific regulatory requirement. The notation of N indicates that the district is not in compliance with the regulatory requirement. Ensure that a citation of noncompliance indicated **for even one student record** is recorded as noncompliance for that citation in Attachment 2. The team should carefully review all findings from all the documentation and evidence to make its determination of compliance for each citation.

**Findings:** This page is to be used by the school district to document the review team's findings and to identify any improvement activities necessary to correct identified compliance issues.

- I. **Transition Service Needs, Measurable Post-secondary Goals and Annual Goals.** The IEPs of secondary students with disabilities aged 15 and older include measurable post-secondary goals based on appropriate assessment information about student strengths, needs, preferences, and interests as these pertain to post-secondary transition. The student's post-secondary goals, present levels of performance and transition needs form the basis for the identification of annual goals, courses of study and transition services to incrementally assist the student to achieve his/her post-secondary goals.

Citation (8 NYCRR)	Issue	Total # IEPs in Compliance (Checked 'yes')	Percentage in Compliance (total # IEPs in compliance divided by total # of IEPs reviewed)	Determination of Compliance <sup>1</sup>	
				Y	N
§200.4(d) (2)(ix)(a)	Under the student's present levels of performance, the IEP includes a statement of the student's needs, taking into account the student's strengths, preferences and interests, as they relate to transition from school to post-school activities.				
§200.4(d) (2)(ix)(b)	The IEP includes appropriate measurable post-secondary goals based upon age appropriate transition assessments relating to training, education, employment and, where appropriate, independent living skills.				
§200.4(d) (2)(iii)(a)	The IEP lists measurable annual goals related to the student's transition services needs.				

Documentation	Evidence
<b>Look at:</b> <ul style="list-style-type: none"> <li>IEPs:</li> <li>Letter or other documentation that the student was invited to the meeting.</li> </ul>	<b>Look for evidence of:</b> <ul style="list-style-type: none"> <li>Present levels of performance identify the student's needs relating to transition.</li> <li>Post-secondary goal statements include goals relating to training, education, employment and independent living.</li> <li>Post-secondary goals are measurable (i.e., observable).</li> <li>Post-secondary goals are based on age-appropriate assessment information.</li> <li>Annual goals are recommended that prepare the student to meet his/her postsecondary goals.</li> <li>Post-secondary and annual goals are not the same on all IEPs but are unique to the individual based on present levels of performance and needs.</li> </ul>

<sup>1</sup> Ensure that a citation of noncompliance indicated for even one student record is recorded as noncompliance for that citation.

- II. **Transition Services.** The IEPs of secondary students with disabilities aged 15 and older must include recommendations for special education programs and services and transition activities that are coordinated and will reasonably enable the students to meet their measurable post-secondary goals.

Citation (8 NYCRR)	Issue	Total # IEPs in Compliance (Checked 'yes')	Percentage in Compliance	Determination of Compliance	
				Y	N
§200.4(d) (2)(ix)(c)	The IEP includes a statement of the transition service needs of the student that focuses on the student's courses of study, such as participation in advanced-placement courses or a vocational educational program.				
§200.4(d) (2)(ix)(d)	The IEP includes needed activities to facilitate the student's movement from school to post-school activities, including:				
	✓ instruction;				
	✓ related services;				
	✓ community experiences;				
	✓ the development of employment and other post-school adult living objectives; and				
	✓ when appropriate, acquisition of daily living skills and functional vocational evaluation.				
§200.4(d) (2)(ix)(e)	The IEP includes a statement of the responsibilities of the school district and, when applicable, participating agencies for the provision of such services and activities that promote movement from school to post-school opportunities, or both, before the student leaves the school setting.				

Documentation	Evidence
<p><b>Look at:</b> IEP content including:</p> <ul style="list-style-type: none"> <li>• Present levels of academic achievement, functional performance and individual needs</li> <li>• Post-secondary goals</li> <li>• Annual goals</li> <li>• Recommended special education programs and services</li> <li>• Coordinated set of transition activities</li> </ul>	<p><b>Look for evidence of:</b></p> <ul style="list-style-type: none"> <li>• Courses of study including career and technical education or other career development.</li> <li>• An observable relationship among the present levels of performance, transition needs and post-secondary goals, annual goals, recommended special education programs and the coordinated set of activities recommended for the student.</li> <li>• Needed activities identified for each of the six areas (instruction, related services, community experiences, development of employment and other post-school living objectives and acquisition of daily living skills and functional vocational evaluations, when appropriate).</li> <li>• Clear indication that the participating agency responsible to provide the recommended activity participated in the planning process.</li> <li>• Coordination between school district activities and those of participating agencies.</li> </ul>

III. **Student and Participating Agency Participation.** The student and other agencies, as appropriate, are invited to participate in the meeting to consider the post-secondary goals for the student and the transition services needed to assist the student in reaching those goals.

Citation (8 NYCRR)	Issue	Total # IEPs in Compliance (Checked 'yes')	Percentage in Compliance (total # IEPs in compliance divided by total # of IEPs reviewed)	Determination of Compliance	
§200.4(d) (4)(i)(c)	If the purpose of a CSE meeting is to consider the post-secondary goals for the student and the transition service needed to assist the student in reaching those goals, the school district invites the student. If the student does not attend, the district takes steps to ensure that the student's preferences and interests are considered.				
	To the extent appropriate and with parental consent or consent of a student 18 years of age or older, the school district invites a representative of any participating agency that is likely to be responsible for providing or paying for transition services. If an agency invited to send a representative to a meeting does not do so, the district takes steps to involve the other agency in the planning of any transition services.				
<b>Documentation</b>		<b>Evidence</b>			
<b>Look at:</b> <ul style="list-style-type: none"> <li>Letter or other documentation that the student was invited to the meeting.</li> <li>Invitation to representatives of participating agencies and requests to parent (student) to invite participating agency representatives.</li> </ul>		<b>Look for evidence of:</b> <ul style="list-style-type: none"> <li>Student invitation to the meeting</li> <li>Direct student involvement in determining preferences and interests, transition needs and post-secondary goals.</li> <li>Present levels of performance indicate the student's strengths, preferences and interests.</li> <li>Parents were asked for consent to invite participating agency representatives.</li> <li>Where consent was received, the representative(s) of participating agencies were invited to the meeting.</li> </ul>			



## Individual Student Record Review Form

School District: \_\_\_\_\_

Building: \_\_\_\_\_

Person Completing Form: \_\_\_\_\_

Date of Record Review: \_\_\_\_\_

Student Name/ID:	DOB:
School/Grade/Program:	Classification:
Diploma Anticipated:	Gender:

### Directions:

This form is designed to assist the team in compiling documentation of compliance findings. It must be kept on file by the school district and is not submitted to the State Education Department (SED) unless requested.

Individual student records must be reviewed for evidence that the individualized education program (IEP) includes coordinated, measurable, annual IEP goals and transition services that will reasonably enable the student to meet his/her measurable post-secondary goals. Each compliance issue must have a notation for each student record reviewed.

- Indicate "Y" (yes) in the column if the item is present and meets compliance.
- Indicate "N" (no) in the column if the item is missing or if the item does not meet compliance.

Citation (8 NYCRR)	Issue	Y/N	Comments
§200.4(d) (2)(ix)(a)	Under the student's present levels of performance, the IEP includes a statement of the student's needs, taking into account the student's strengths, preferences and interests, as they relate to transition from school to post-school activities.		
§200.4(d) (2)(ix)(b)	The IEP includes appropriate measurable post-secondary goals based upon age-appropriate transition assessments relating to training, education, employment and, where appropriate, independent living skills.		
§200.4(d) (2)(ix)(c)	The IEP includes a statement of the transition service needs of the student that focuses on the student's courses of study, such as participation in advance placement courses or a vocational education program.		

Citation (8 NYCRR)	Issue	Y/N	Comments
§200.4(d) (2)(iii)(a)	The IEP lists measurable annual goals related to the student's transition services needs.		
§200.4(d) (2)(ix)(d)	The IEP includes needed activities to facilitate the student's movement from school to post-school activities, including: <ul style="list-style-type: none"> <li>✓ instruction;</li> <li>✓ related services;</li> <li>✓ community experiences;</li> <li>✓ the development of employment and other post-school adult living objectives; and</li> <li>✓ when appropriate, acquisition of daily living skills and functional vocational evaluation.</li> </ul>		
§200.4(d) (2)(ix)(e)	The IEP includes a statement of the responsibilities of the school district and, when applicable, participating agencies for the provision of such services and activities that promote movement from school to post school opportunities, or both, before the student leaves the school setting.		
§200.4(d) (4)(i)(c)	If the purpose of a CSE meeting is to consider the post-secondary goals for the student and the transition service needed to assist the student in reaching those goals, the school district invites the student. If the student does not attend, the district takes steps to ensure that the student's preferences and interests are considered.		
	To the extent appropriate and with parental consent or consent of a student 18 years of age or older, the school district invites a representative of any participating agency that is likely to be responsible for providing or paying for transition services. If an agency invited to send a representative to a meeting does not do so, the district takes steps to involve the other agency in the planning of any transition services.		

# Sample of electronic form

## **Secondary Transition IEP Self-Review Monitoring Report Due August 31**

### **Directions:**

1. Go to <http://pd.nysed.gov>
2. Log on using the same user id and password as assigned for PD data submissions.
3. Under the school year menu corresponding to the sample year, click "Self Review Checklists" and then click on: SR13: Indicator 13 Secondary Transition Data
4. Follow the online directions to complete the form.
5. Provide appropriate verification from the Superintendent of Schools or Chief School Officer that the information as reported is true and accurate.
6. Using documentation from the Self-Review Monitoring Protocol (Attachment 2), click the box under the "Yes" or "No" column as appropriate for each regulatory requirement. All citations must have a compliance indication.
7. Read the Statement of Verification of Accuracy
8. Click "Submit."
9. Print a copy after submitting to the State Education Department (SED).
10. Maintain Attachment 4 with other documentation for this review.

# Sample of electronic form

## Part I. Number Of Youth With Individualized Education Programs (IEPs) Containing Appropriate Transition Content

Directions: To report on line C below, use the Individual Student Record Review Forms (Attachment 3) to total the number of individual record reviews for which all of the regulatory citations were marked in compliance.

Item	Data	Enter Quantity
A	Total Number of Students with IEPs aged 15-21 during the sample school year	
B	Total Number of IEPs reviewed	
C	Total Number of IEPs with all citations marked in compliance	
D	<b>Percentage of youth with IEPs that include coordinated, measurable annual IEP goals and transition services that will reasonably enable the student to meet their post-secondary goals (C divided by B)</b>	<b>System will calculate</b>

# Sample of electronic form

## **Part II. Identification of Compliance or Noncompliance by Regulation**

Directions:

Transfer findings from Attachment 2, "Determination of Compliance."

- Each IEP must be marked in compliance with section 200.4(d)(2)(iii)(a) relating to annual goals in order to check "yes" for this citation.
- Each IEP must be marked in compliance with sections 200.4(d)(2)(ix)(a)–(e) relating to the Coordinated Set of Transition Activities in order to check 'yes' for this citation.
- Each IEP must be marked in compliance with section 200.4(d)(4)(i)(c) pertaining to both the student invitation and the participating agency invitation in order to check 'yes' for this citation.

## Sample of electronic form

Citation	Regulatory Requirement	Compliance?	
		Yes	No
8 NYCRR			
§200.4(d)(2)(iii)(a)	The IEP lists measurable annual goals related to the student's transition services needs.	<input type="checkbox"/>	<input type="checkbox"/>
§200.4(d)(2)(ix)	<p>Transition services. For those students beginning not later than the first IEP to be in effect when the student is age 15 (and at a younger age, if determined appropriate), and updated annually, the IEP shall, under the applicable components of the student's IEP, include:</p> <ul style="list-style-type: none"> <li>• Under the student's present levels of performance, a statement of the student's needs, taking into account the student's strengths, preferences as interests, as they relate to transition from school to post-school activities. [§200.4(d)(2)(ix)(a)]</li> <li>• Appropriate measurable post-secondary goals based upon age-appropriate transition assessments relating to training, education, employment and, where appropriate, independent living skills. [§200.4(d)(2)(ix)(b)]</li> <li>• A statement of the transition service needs of the student that focuses on the student's courses of study, such as participation in advanced-placement courses or a vocational educational program. [§200.4(d)(2)(ix)(c)]</li> <li>• Needed activities to facilitate the student's movement from school to post-school activities including: <ul style="list-style-type: none"> <li>✓ instruction,;</li> <li>✓ related services,;</li> <li>✓ community experiences,;</li> <li>✓ the development of employment and other post-school adult living objectives, ; and</li> <li>✓ when appropriate, acquisition of daily living skills and functional vocational evaluation. [§200.4(d)(2)(ix)(d)]</li> </ul> </li> <li>• A statement of the responsibilities of the school district and, when applicable, participating agencies for the provision of such services and activities that promote movement from school to post-school opportunities, or both, before the student leaves the school setting. [§200.4(d)(2)(ix)(e)]</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
§200.4(d)(4)(i)(c)	When the CSE met to consider transition service needs, the school district invited the student. If the student did not attend, the district ensured that the student's preferences and interests were considered.	<input type="checkbox"/>	<input type="checkbox"/>
	To the extent appropriate and with parental consent or consent of a student 18 years of age or older, the school district must invite a representative of any participating agency that is likely to be responsible for providing or paying for transition services. If an agency invited to send a representative to a meeting does not do so, the district should take steps to involve the other agency in the planning of any transition services.		

**Statement of Verification of Accuracy**

**I have reviewed the requirements for conducting the School District - Self Review Monitoring Protocol on Secondary Transition IEPs (State Performance Plan Indicator 13) and I certify that the data submitted electronically to SED is accurate and complete and is based upon the findings from the monitoring protocol conducted by the school district. I further certify that any subsequent revisions to the data to indicate compliance are based on correction of those policies, practices and procedures and if appropriate, are based upon review of a sample of student records to verify compliance.**