EVALUATION (EV) ROSTER

INDICATOR 11 & 12 SUBMISSION COMPLIANCE GUIDE

Indiana Department of Education

Office of Special Education

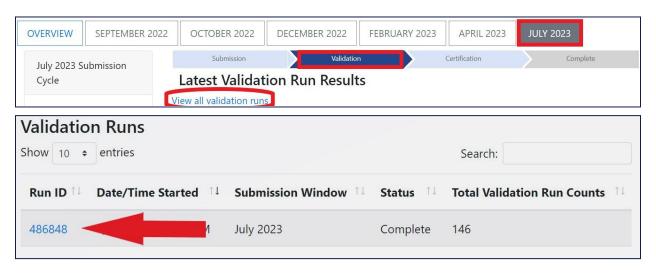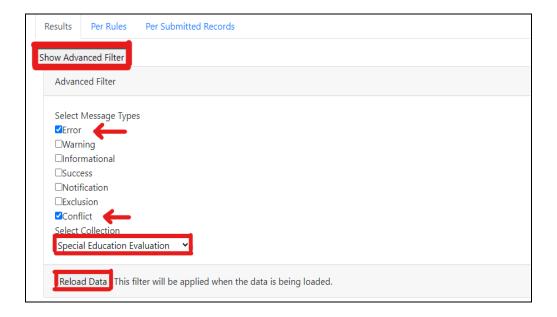100 N. Senate Ave.
Indianapolis, IN 46204

Introduction

In accordance with the Individuals with Disabilities Education Act (IDEA) Title 34 of the Code of Federal Regulations (CFR) § 300.600, the Indiana Department of Education (IDOE) must employ general supervision activities which include the collection of data related to federal compliance indicators. The Evaluation (EV) Roster data submission collects local educational agency (LEA) data for IDEA's Indicator 11 - Child Find requirement (i.e., percentage of initial evaluations completed within state established timelines) and Indicator 12 - Early Childhood Transition requirement (i.e., percentage of children referred by Part C [i.e. First Steps] prior to age three who are found eligible for Part B and who have an individualized education program (IEP) developed and implemented by their third birthday). LEAs must review their EV Roster data submissions prior to certification in July using the following guidance. Contact IDOE's Office of Special Education with additional questions.
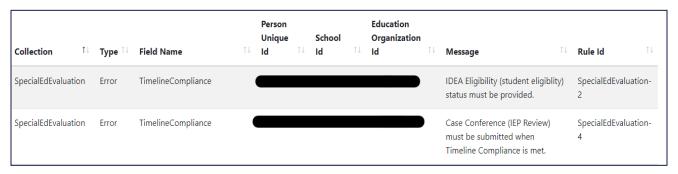
Review Data for Errors

To begin review of data for potential errors, LEAs will access the Data Exchange (DEX) Validation Portal via IDOE's LINK Portal and select the *Data Exchange* tile.

To review data within the EV Roster, select *July 2023*, then *Validation*, then *View all validation runs*. Within the Validation Runs are Run IDs. Click on the Run ID with the most-recent date. In the Validation Run Results, there is the option to select what message types are reviewed by clicking on the *Show Advanced Filter* button. For the EV Roster, click *Error* and *Conflict,* then *Special Education Evaluation*. Click *Reload Data*, and you will see a list of all identified errors.

Sample Error List:

Collection	⇅	Type	⇅	Field Name	Person Unique Id	⇅	School Id	⇅	Education Organization Id	⇅	Message	⇅	Rule Id	⇅
SpecialEdEvaluation		Error		TimelineCompliance	████████						IDEA Eligibility (student eligiblity) status must be provided.		SpecialEdEvaluation-2	
SpecialEdEvaluation		Error		TimelineCompliance	████████						Case Conference (IEP Review) must be submitted when Timeline Compliance is met.		SpecialEdEvaluation-4	

If Errors are Identified:

- First, ensure only initial evaluations and transition from First Steps evaluations are included. Re-evaluations, move-ins, and changes in eligibility should not be included.
- Use the *Person Unique ID* to look up the student.
- Ensure all data for the student is entered correctly.
- Use the *Error Code Chart* at the end of this guide to help troubleshoot additional issues or errors.

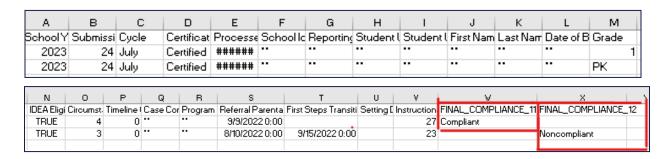If errors continue to occur, contact IDOE's Office of Special Education's monitoring team.

Review Roster to Check for Noncompliance

How to Run the Roster:

The EV Roster can be used to view any noncompliance in initial evaluations or transition from First Steps evaluation timelines. The roster can be found under the "July 2023" reporting period. Users will select *Certification*, then scroll down to the *Special Education Evaluation* row of the table. Select the plus icon to the right of *Special Education Evaluation*. A chart will appear with "Download Roster" at the top. Click *Download Roster*. This will show the data as it will appear when certified.

OVERVIEW	SEPTEMBER 2022	OCTOBER 2022	DECEMBER 2022	FEBRUARY 2023	APRIL 2023	JULY 2023

July 2023 Submission	Submission	Validation	Certification	Complete

SPECIAL EDUCATION EVALUATION [+]

SPECIAL EDUCATION EVALUATION [-]

[Download Roster]

	TIMELINE COMPLIANCE	CIRCUMSTANCES RELEVANT TO TIMELINE

Sample Roster:

A	B	C	D	E	F	G	H	I	J	K	L	M
School Y	Submissi	Cycle	Certificat	Processe	School Ic	Reporting	Student l	Student l	First Nam	Last Nam	Date of B	Grade
2023	24	July	Certified	######	··	··	··	··	··	··	··	1
2023	24	July	Certified	######	··	··	··	··	··	··	··	PK

N	O	P	Q	R	S	T	U	V	W	X	
IDEA Eligi	Circumst.	Timeline	Case Cor	Program	Referral	Parenta	First Steps	Transiti	Setting [	Instruction	FINAL_COMPLIANCE_11	FINAL_COMPLIANCE_12	
TRUE	4	0	··	··	9/9/2022 0:00				27	Compliant		
TRUE	3	0	··	··	8/10/2022 0:00	9/15/2022 0:00			23		Noncompliant	

Noncompliance in Indicators 11 and/or 12:

Noncompliance for Indicator 11 (column W): Indicates initial assessments were either not completed or completed beyond the appropriate timeline with no excusable reason.* Records listed as *Pending* are not required to be completed by the end of the reporting period on Friday, June 30.

4

Noncompliance for Indicator 12 (column X): Indicates initial assessments for children transitioning from First Steps were either not completed or completed beyond the student's third birthday with no excusable reason.* Records listed *Pending* are not required to be completed (case conference committee convening and/or services) by the end of the reporting period on Friday, June 30.

*Records certified as noncompliant will result in the issuance of a Finding of Noncompliance as noted in IDOE's Indicator 11 Monitoring and Compliance Guide and Indicator 12 Monitoring and Compliance Guide.

Error Code Chart

Error Code	Error Message	Troubleshooting
SpecialEdEvaluation-13	"Student not counted for special education evaluation. Circumstances to timeline must exist when parental consent date is within the last school years."	If this record is a re-evaluation, the record must be removed. Re-evaluations are not part of the Special Education Evaluation data collection.
SpecialEdEvaluation-8	"When circumstances to Timeline is 20 or 50 days and eligibility is determined, the Timeline Compliance must be "00", "03", "05", "08", or "99"."	If you listed a timeline compliance code for the record, but it is not an initial evaluation, the record must be removed by updating information in your student information system (SIS). Changes in eligibility are not part of the Special Education Evaluation data collection If the compliance code is unlisted, enter the appropriate code for the SIS.
SpecialEdEvaluaton-4	"Case Conference (IEP Review) must be submitted when Timeline Compliance is met."	The case conference committee data is missing.
SpecialEdEvaluation-3	"Case Conference (IEP Review) date cannot be prior to the Parental Consent Date."	Confirm the parental consent date is accurate. Confirm the record is an initial evaluation or transition from First Steps evaluation. If it is not, remove the record by updating information within your SIS. Changes in placement, Annual Case

		Reviews (ACRs), eligibility, or re-evaluations are not a part of the Special Education Evaluation data collection.
SpecialEdEvaluation-1	"STN submitted with two different Parental Consent Dates. Verify this student had two different initial evaluations."	If the student has had two different **initial** evaluations, then no further action is needed. If it is not an initial evaluation or First Steps Transition, it needs to be removed by updating information in the SIS. Changes in placement, ACRs, eligibility, or re-evaluations are not a part of the Special Education Evaluation data collection.
SpecialEdEvaluation-6	"Student cannot have a First Steps Transition date when Circumstances Relevant to Timeline is 20 or 50 days."	If this is a transition from First Steps evaluation, update the circumstances code to 3. If it is not a transition from First Steps evaluation, but it is an initial evaluation, then the First Steps transition date must be removed from your SIS.

Roster Information

Roster Name	Source	Description
Certification Status	Internally calculated via DEX	Two different certification statuses: Certified and Excluded; Excluded can be because the record is pending or because there is data missing or incompatible data has been entered, generating an error. The LEA needs to confirm the record should be pending or needs to add missing data to move from excluded to certified. **All error messages need to be cleared before final certification of data.**
Student USI	Internally generated in DEX	Unique system ID; ID listed on validation results messages.
Student Unique ID	Special Education (SE) Program Record (StudentUniqueId)	Student Testing Number (STN); generated in ED-ID.
Date of Birth	Ed-ID	Establishes third birthday for compliance.
IDEA Eligibility	SE Program Record	Must be marked TRUE if found eligible and "FALSE"

	(IdeaEligibility)	if found ineligible OR evaluation is pending.
Circumstances	SE Program Record (circumstances Relevant To Timeline Descriptor)	See *Data Exchange SE Program Record Data Elements*. Must be marked 1 or 2 for a 20 instructional-day timeline or 4 for a 50 instructional-day timeline. Code 3 only applies to the First Steps transition rule.
Timeline Compliance	SE Program Record (Timeline Compliance Descriptor)	See *Data Exchange SE Program Record Data Elements*. A valid code must be supplied if evaluation was not within timeline requirements for an excused reason. Codes 3, 5, and 8 are excusable reasons for an untimely or incomplete case conference.
Case Conference Date	SE Program Record (IEP Review Date)	Date of case conference to determine eligibility from initial evaluation. Left blank if the case conference is not held before the reporting period closes on Friday, June 30.
Referral Parental Consent Date	SE Program Record (Parental Consent Date)	Date of signed parental consent, beginning timeline period.
First Steps Transition Date	SE Program Record (First Steps Transition Date)	Date services begin for children transitioning from First Steps.
Setting Descriptor	SE Program Record (Special EducationSetting Descriptor)	See *Data Exchange SE Program Record Data Elements*. IDEA requires data collection of all parentally-placed non-public or homeschooled students receiving initial evaluations (codes 10 and 3). May be left blank.
Instructional Days	Internally calculated in Data Exchange (DEX)	Calculation of the number of instructional days between the date of signed parental consent and the case conference determining eligibility. If there is no case conference date, the number of instructional days is calculated as the number of days between the date of signed parental consent and the last instructional day for the school year. Uses dates reported on SE Program Record and school calendar reported elsewhere in DEX.
FINAL_COMPLIANCE_11	Internally calculated in Data Exchange (DEX)	Records listed as *Compliant* were completed within the appropriate timeline. This also includes evaluations not completed or completed beyond the appropriate timeline due to an excusable reason. Records listed as **Noncompliant** were either not completed or completed beyond the appropriate

		timeline with no excusable reason.* Records listed *Pending* did not need to be completed by the end of the reporting period on Friday, June 30.
FINAL_COMPLIANCE_12	Internally calculated in Data Exchange (DEX)	Records listed as *Compliant* were completed (case conference held and services begun) prior to or on the third birthday. Also includes evaluations not completed or completed after the third birthday due to an excusable reason. Also includes services not begun or services begun after the third birthday due to an excusable reason. Records listed as ***Noncompliant*** were either not completed or completed beyond the third birthday with no excusable reason.* Records listed as *Pending* did not need to be completed (case conference committee and/or services) by the end of the reporting period on Friday, June 30.

Resources

February 23, 2023 EV Roster and DEX Office Hours Recording
February 23, 2023 EV Roster and DEX Office Hours Slide Deck

Contact IDOE's Office of Special Education's monitoring team with any questions.