



INDIANA
DEPARTMENT *of*
EDUCATION

Office of Special Education

Indicator 13

Monitoring and Compliance Guide



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Indicator 13: Secondary Transition

Definition

Percentage of youth ages 14 to 22 with measurable, annually updated Individualized Education Program (IEP) goals and appropriate transition assessments, services, and courses.

Monitoring Cycle

As part of the Indiana Department of Education's (IDOE's) integrated monitoring system, local educational agencies (LEAs) are monitored for Indicator 13 compliance on a two-year cycle. Indicator 13 compliance monitors the number of youth aged 14 and above with IEPs that include appropriate measurable postsecondary 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 service needs. There also must be evidence that the student was invited to the IEP team meeting where transition services are to be discussed and evidence that, if appropriate, a representative of any participating agency was invited to the IEP team meeting with the prior consent of the parent or student who has reached the age of majority.

Measurement

Percent = $\left[\frac{\text{(\# of youth with IEPs aged 14 and above with an IEP that includes appropriate measurable postsecondary goals that are annually updated and based upon an age appropriate transition assessment, transition services, including courses of study, that will reasonably enable the student to meet those postsecondary goals, and annual IEP goals related to the student's transition services needs. There also must be evidence that the student was invited to the IEP Team meeting where transition services are to be discussed and evidence that, if appropriate, a representative of any participating agency that is likely to be responsible for providing or paying for transition services, including, if appropriate, pre-employment transition services, was invited to the IEP Team meeting with the prior consent of the parent or student who has reached the age of majority)}}{\text{(\# of youth with an IEP age 14 and above)}} \right] \times 100$.

Year One

Self-monitoring: School districts monitor their IEP for noncompliance using the [Indicator 13 checklist](#).

Year Two

Federal pull: Between March and August, schools are monitored by the monitoring team. If noncompliance is found, corrective action takes place based on percentage of compliance.

Year One: Self-Monitoring

During the self-monitoring year, LEAs should review Transition IEPs to ensure they are in compliance with the requirements of Indicator 13. For more formalized monitoring of Transition IEPs, LEAs use the Indicator 13 [Indiana Transition IEP Compliance Checklist](#) to review one to two IEPs per teacher of record (TOR), per quarter or semester. A director or other designee completes the checklist and then sends the feedback to the TOR. LEAs that self-monitor IEPs throughout the monitoring cycle tend to have reduced compliance issues during the federal pull.

For more informal monitoring, teachers choose one of their IEPs to share with colleagues and discuss how they are doing. Others may use IEPs from students who are struggling with transition planning as a case study to be able to troubleshoot areas of difficulty as a special education department.

Year Two: Federal Pull

The federal pull is conducted by the [Indiana Secondary Transition Resource Center \(INSTRC\)](#) and occurs in the spring of the school year being monitored. Monitoring occurs by having a minimum of four and a maximum of 10 IEPs pulled for approximately one half of the LEAs in the state. INSTRC follows the [Indiana Transition IEP Compliance Checklist](#) to determine whether an IEP is considered compliant for Indicator 13. An initial report is generated and shared with the LEA. In the initial report, the Student Test Numbers (STNs) that were included in the federal pull are listed along with comments about what was and was not compliant. An overall percentage of compliance is determined based on the number of IEPs in compliance. If all IEPs are compliant, the LEA achieves 100% compliance and no further action is required after receiving the initial report from INSTRC. If an LEA has less than 100% compliance, INSTRC will work with them between the months of August and September to correct any noncompliance found in the initial report. Finalized reports are sent to IDOE in October. The final score from the finalized report is used to determine Results Driven Accountability (RDA) scores. The final Indicator 13 reports are included in the RDA information sent out by IDOE's Office of Special Education in November.

Compliance Guidelines

Transition Assessments

In preparation for the development of the first Transition IEP, students should be assessed in each of the three areas of transition:

- Employment;
- Education/Training; and
- Independent Living.

This sets the groundwork for the transition planning process and helps determine what additional steps and skills the student will need in order to be successful in the transition from high school to postsecondary employment or education. The results of these assessments are discussed in the Summary of Findings section of the Indiana IEP System (IIEP). Best practice is to divide the Summary of Findings section into three parts, aligned to each area of transition as outlined above.

It is important that the student's strengths, preferences, interests, and needs (SPIN) are addressed in each part of the Summary of Findings. If a student needs an Independent Living Postsecondary Goal based on the Independent Living Assessment results, then an Independent Living Transition Assessment must be completed annually for the student. Otherwise, after the initial assessments are completed, only Employment and Education/Training need to be assessed annually.

Postsecondary Goals

Using the information from the Summary of Findings section, postsecondary goals are written in the areas of Employment and Education/Training. As described above, an Independent Living Postsecondary Goal may also be written. Postsecondary goals should be measurable and specific to the individual student. As students progress toward graduation or exit from high school, postsecondary goals should be well defined and focused.

Transition Services and Activities

Students must be able to explore their postsecondary options prior to graduation or exit from high school. In order to explore future employment, postsecondary education, and/or training opportunities, students participate in appropriate transition services and activities which are specific to their postsecondary goals. Each year, students should participate in a service or activity in the area of Employment and Education/Training. If a

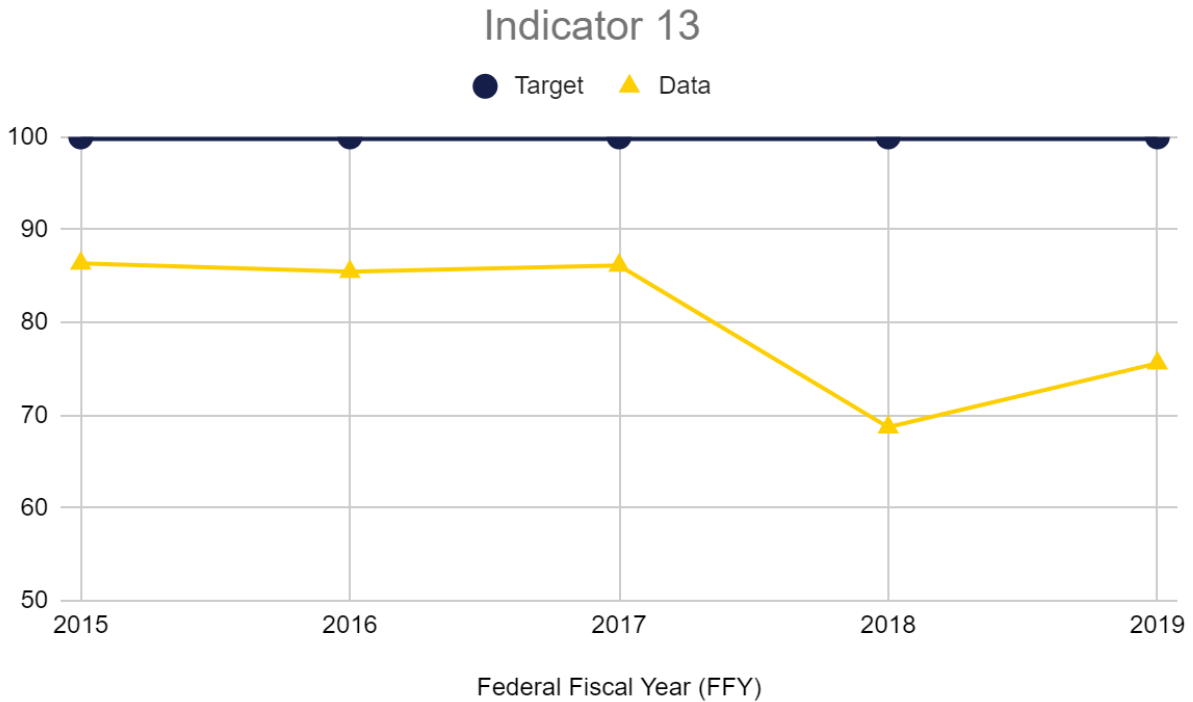
student has an Independent Living Postsecondary Goal, they should also participate in a service or activity related directly to that goal. Transition services and activities may start out broad by having students participate in research or tours of employers or postsecondary institutions; however, as a student nears graduation or exit from high school, these opportunities should become more hands-on to include work-based learning, internships, apprenticeships, or paid employment opportunities. Transition services and activities must be updated annually and should occur during the duration of the IEP.

Annual Goals

Ensuring annual goals are connected to a student's postsecondary goals is a requirement for Indicator 13. This alignment allows students to be engaged in a curriculum that will benefit them the most as they work towards their postsecondary aspirations. Annual goals should be skill-based and measurable. TORs should ensure annual goals address the most significant barriers for the student.

State Targets

Historical Data



Target Data

Indicator 13- Transition IEPs (Secondary Transition)						
Target Year	2020	2021	2022	2023	2024	2025
Target Data	100%	100%	100%	100%	100%	100%

Correcting Findings of Noncompliance

Tier One

LEAs in tier one have between 75% and 99% compliance. This generally means:

- a) there is no evidence of systematic noncompliance; and
- b) through the correction of individual noncompliant IEPs, the LEA is able to address the areas of concern found in the federal pull report.

LEAs will work with INSTRC to correct any noncompliance found in the federal pull report. While not required, LEAs are strongly encouraged to either conduct their own refresher of Transition IEPs or request a professional development session with an IDOE specialist.

Tier Two

LEAs in tier two have between 50% and 74% compliance. In this tier, it is unclear if systematic noncompliance is occurring. Noncompliant IEPs must be corrected, and the LEA must work with INSTRC to correct any noncompliance found in the federal pull report. These concerns may additionally be addressed through IDOE directed technical assistance and/or professional development as well as through a policy or protocol change.

Tier Three

LEAs in tier three have between 0% and 49% compliance. In this tier, there is most likely systematic noncompliance occurring. In order to correct the concerns found in the federal pull report, the LEA must:

- a) correct the noncompliant IEPs;
- b) create a targeted action plan which addresses the concerns identified in the federal pull report; and
- c) receive either IDOE directed technical assistance and/or professional development in order to ensure the areas of noncompliance are properly addressed in future IEPs.

In addition, LEAs engage in consensus building with IDOE in order to correct the systematic issues which have been identified. Consensus building is when the LEA selects two to three IEPs, reviews them for compliance with the requirements of Indicator 13, and submits this review to IDOE. IDOE then reviews the same IEPs. Once both parties have reviewed the IEPs, a document is sent to the LEA with the information from both reviews. If both the LEA and IDOE are in agreement with the review of the IEPs, then consensus is reached. If not, then a meeting and/or additional IEPs are reviewed in order to determine consensus.

Tier Three Intensive

LEAs in tier three intensive have had between 0% and 49% compliance in two consecutive federal pulls. In this tier, there is most likely systematic noncompliance occurring. In order to correct the concerns found in the federal pull report, the LEA must:

- a) correct the noncompliant IEPs;
- b) create a targeted action plan which addresses the concerns identified in the federal pull report;
- c) receive technical assistance by having a designee from their LEA attend their regional transition cadre meetings;
- d) create a professional development plan and conduct at least one professional development session; and
- e) receive either IDOE directed technical assistance and/or professional development in order to ensure the areas of noncompliance are properly addressed in future IEPs.

In addition, LEAs engage in consensus building with IDOE in order to correct the systematic issues which have been identified. Consensus building is when the LEA selects two to three IEPs, reviews them for compliance with the requirements of Indicator 13, and submits this review to IDOE. IDOE then reviews the same IEPs. Once both parties have reviewed the IEPs, a document is sent to the LEA with the information from both reviews. If both the LEA and IDOE are in agreement with the review of the IEPs, then consensus is reached. If not, then a meeting and/or additional IEPs are reviewed in order to determine consensus.

Continued or Longstanding Noncompliance

LEAs have one year from the date a determination of noncompliance is issued to correct the noncompliance and put into place a system which will have the appropriate checks and balances needed to ensure compliance will occur in the future. When an LEA is unable to establish an appropriate system within the one year timeline, the LEA is issued a finding of continued noncompliance. Should the LEA continue to remain noncompliant beyond two years, then the LEA is issued a finding of longstanding noncompliance. In both cases, the LEA will hold monthly meetings with an IDOE specialist as well as engage in ongoing IEP pulls for Indicator 13 checks. Release from the finding will occur after a self-monitoring system has been established and/or no additional findings of noncompliance are found within the IEPs pulled.

LEAs falling into continued or longstanding noncompliance for Indicator 13 will be assigned to an IDOE specialist who will audit Transition IEPs until no additional findings of noncompliance are found. Each month, three Transition IEPs will be randomly selected to be audited for Indicator 13 compliance. The assigned IDOE specialist will also meet with the LEA monthly to assist in developing an appropriate system to write and monitor Transition IEPs.

Results Driven Accountability (RDA)

When a corporation meets the target for a particular compliance indicator, they are considered “compliant” and are assigned a score of 5. If the corporation has a “finding of noncompliance” for an indicator, the corporation is assigned a score of 1.¹

Category Weights for Compliance Index	
Category	Percentage Weight
Indicator 4B	8%
Indicator 9	8%
Indicator 10	8%
Indicator 11	22%
Indicator 12	22%

¹ If the compliance target (100% or 0%) is not met for the compliance indicators, the corporation is out of compliance and must correct the noncompliance within one year. For Indicators 11, 12, and 13, a corporation is designated as “substantially compliant” for the indicator and will receive a score of 5 if their compliance falls within a range of 95% - 100%. “Substantial compliance” is still considered a finding and must be corrected.

Indicator 13	22%
Continued Noncompliance	5%
Longstanding Noncompliance	5%
Total	100%

Scoring/Quintiles

RDA scoring for Indicators 11, 12, and 13 is as follows:

RDA Scoring for Indicators 11, 12, and 13	
Percentage Compliance	Points
100.00% (Compliant)	5
95.00% - 99.99% (Substantially Compliant - Finding)	5
Less Than 95.00% (Finding)	1

These indicators are scored the same regardless of enrollment size group.

Technical Assistance

Level	Resources
Universal	Indiana Transition IEP Compliance Checklist Transition IEP Self-Monitoring Template The Indiana Transition IEP Rubric The Quality Indicators of Exemplary Transition Programs Needs Assessment Instrument (QI-2)
Targeted	Request Technical Assistance with the Office of Student Support and Accessibility using this form .
Intensive	