

Washington Integrated Sub-Recipient Monitoring (WISM) Checklist

Adapted from Critical Elements Analysis Guide (CrEAG) Part B (3/9/2011)

*LEA/ESA: _____ Designated Local Contact: _____ Date(s): _____

Critical Element I – Data Management: Does the LEA/ESA have a data system that is reasonably designed to timely collect and report data that are valid and reliable and reflect actual practice and performance?	
Related Questions	Response
A. Describe the LEA/ESA’s procedures for ensuring timely correction.	Notes: See OSEP Memorandum 09-02, dated October 17, 2008.
B. How does the LEA/ESA ensure that its data systems collect and report valid and reliable data in a timely manner?	Notes:
C. How does the LEA/ESA ensure that data collected at the local level reflect actual practice and performance?	Notes:
D. If applicable, describe the LEA/ESA’s procedures for collecting and reporting Coordinated Early Intervening Services program data.	Notes:
Document Review	Notes:
<input type="checkbox"/> Data Collection Procedures and Protocols. <input type="checkbox"/> Data Training Materials. <input type="checkbox"/> Pre-Visit Documents – Student List.	
Interview Information	Interview Summary:
<input type="checkbox"/> Data Verification Focus Group. <input type="checkbox"/> Special Education Administration.	

* Local Education Agency (LEA) – Educational Service Agency (ESA)

Related Requirements

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34 CFR §300.640 [Annual report of children served--report requirement]
34 CFR §300.641 [Annual report of children served--information required in the report]
34 CFR §300.642 [Data Reporting]
34 CFR §300.643 [Annual report of children served—certification]
34 CFR §300.644 [Annual report of children served--criteria for counting children]
34 CFR §§ 300.600 through 300.608 [State enforcement]

WASHINGTON ADMINISTRATIVE CODE:

392-172A-06045 School district information for OSPI
392-172A-07015 Performance goals and indicators
392-172A-07020 State performance plans and data collection
392-172A-07025 State use of targets and reporting
392-172A-07030 State enforcement
392-172A-07035 Child Count

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Critical Element II – Fiscal (A): Does the LEA/ESA have procedures that are reasonably designed to ensure that funds are budgeted and expended in accordance with Federal requirements?	
Related Questions	Response
A. How does the LEA/ESA ensure that funds are used to provide services in accordance with the requirements of EDGAR and the IDEA?	<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> Notes:
B. Does the LEA/ESA have procedures in place to track time and effort for personnel and related costs charged to IDEA Part B funds?	<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> Notes:
C. How does the LEA/ESA ensure that it expends IDEA funds only for the excess costs of providing special education and related services to eligible children with disabilities?	<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> Notes:
D. If applicable, describe the process for documenting and reporting Coordinated Early Intervening Services fiscal data.	<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> Notes:
Document Review	Notes:
<input type="checkbox"/> LEA/ESA policies and procedures related to obligation, liquidation and distribution of funds. <input type="checkbox"/> LEA/ESA monitoring/tracking reports related to obligation and liquidation of funds. <input type="checkbox"/> Pre-Visit Time & Effort Documentation. <input type="checkbox"/> Pre-Visit – P223H Information. <input type="checkbox"/> Excess Cost Template (Form Pkg 267).	<div style="border: 1px solid black; height: 150px;"></div>
Interview Information	Interview Summary:
<input type="checkbox"/> Special Education Administration. <input type="checkbox"/> District Business Office.	<div style="border: 1px solid black; height: 50px;"></div>

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Critical Element II – Fiscal (B): Does the LEA/ESA have procedures that are reasonably designed to ensure the allowable use of IDEA funds?	
Related Questions	Response
<p>A. How does the LEA/ESA ensure that it uses the required proportionate share of Federal funds under 34 CFR §300.133(b) to provide equitable services to children with disabilities placed by their parents in private schools?</p>	<div style="border: 1px solid black; height: 100px; width: 100%;"></div>
	<p>Notes:</p>
<p>B. How does the LEA/ESA ensure that it maintains financial and programmatic records for the period of time required by State and Federal law?</p>	<div style="border: 1px solid black; height: 100px; width: 100%;"></div>
	<p>Notes:</p>
<p>C. How does the LEA/ESA ensure sole use of property purchased by it with Part B funds? How does the LEA/ESA ensure that it maintains a physical inventory of property purchased with Part B funds?</p>	<div style="border: 1px solid black; height: 100px; width: 100%;"></div>
	<p>Notes:</p>
<p>D. Describe the LEA/ESA procedures for ensuring that contracts paid using IDEA Part B funds are properly issued, have clear deliverables, and are properly monitored.</p>	<div style="border: 1px solid black; height: 100px; width: 100%;"></div>
	<p>Notes:</p>

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Document Review	Notes:
<input type="checkbox"/> LEA/ESA policies and procedures related to obligation, liquidation and distribution of funds. <input type="checkbox"/> LEA/ESA monitoring/tracking reports related to obligation and liquidation of funds. <input type="checkbox"/> Pre-Visit Documentation for Contracted Services.	
Interview Information	Interview Summary:
<input type="checkbox"/> Special Education Administration. <input type="checkbox"/> District Business Office.	
Related Requirements	
EDGAR (Education Department General Administrative Regulations): 34 CFR §76.702 [Fiscal control and fund accounting procedures] 34 CFR §76.703 [When a LEA/ESA may begin to obligate funds] 34 CFR §76.707 [When obligations are made] 34 CFR §76.708 [When certain subgrantees may begin to obligate funds] 34 CFR §76.709 [Funds may be obligated during a “carryover period”] (Tydings Amendment to GEPA) 34 CFR §76.710 [Obligations made during a carryover period are subject to current statutes, regulations, and applications] 34 CFR §80.22 [Allowable costs] 34 CFR §80.23 [Period of availability of funds]	
IDEA (Individuals with Disabilities Education Act): 34 CFR §300.12 [Educational service agency] 34 CFR §300.16 [Excess costs] 34 CFR §300.28 [Local educational agency] 34 CFR §§300.200-300.230 [Subpart C - Local Educational Agency Eligibility] 34 CFR §§300.704 [LEA/ESA level activities] Appendix A to Part 300 [Excess Costs Calculation]	
WASHINGTON ADMINISTRATIVE CODE: 372-172A-01055 [Education service district] 372-172A-01075 [Excess cost] 372-172A-01115 [Local educational agency] 372-172A-06000—06095 [Local Educational Agency Eligibility] 372-172A-07055 [State safety net fund for high need students] Appendix A [Allowable Costs] Appendix B [Selected Items of Cost]	

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OMB Circular A-87: Appendix A [Allowable Costs] Appendix B [Selected Items of Cost]
OMB Circular A-133: Determining Federal Awards Expended (§____.205(a))—page 9 Audit Costs (§____.230)—pages 12-13 Auditors (Subpart E) (§____.500)—pages 24-28
OMB Circular A-133 Compliance Supplement for Department of Education (June 2010): Section C: Cash Management Section H: Period of Availability of Federal Funds Section L: Reporting Section M: Sub-Recipient Monitoring

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Critical Element III – Dispute Resolution: Does the LEA/ESA have procedures and practices that are reasonably designed to implement the dispute resolution requirements of IDEA?	
Related Questions	Response
LEA/ESA Complaints	
A. How does the LEA/ESA ensure the implementation of complaint decisions to address district systemic issues and/or student specific violations?	<div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; padding: 5px;">Notes:</div>
Due Process	
B. How does the LEA/ESA ensure that resolution sessions occur within 15 days or 7 if expedited, of the parent filing of a due process complaint unless the parties agree to waive or agree to mediation?	<div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; padding: 5px;">Notes:</div>
C. How does the LEA/ESA ensure that it implements the resolution settlement agreements consistent with 34 CFR §300.510?	<div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; padding: 5px;">Notes:</div>
D. How does the LEA/ESA ensure the implementation of administrative law judge decisions, including addressing district-wide violations to ensure violations do not recur?	<div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; padding: 5px;">Notes:</div>
Mediation	
E. How does the LEA/ESA ensure that it implements mediation decisions?	<div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; padding: 5px;">Notes:</div>

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Document Review	Notes:
<input type="checkbox"/> Complaint Files. <input type="checkbox"/> Documentation of Due Process Decision Implementation (District & Student Specific). <input type="checkbox"/> LEA/ESA-developed Materials. Related to Complaints, Due Process, and Mediation.	
Interview Information	Interview Summary:
<input type="checkbox"/> Special Education Administrator.	
Related Requirements	
34 CFR §300.151(b) [Resolving a complaint] 34 CFR §§300.152 - 153 [Complaint procedures and filing a complaint] 34 CFR §300.506 [Mediation] 34 CFR §300.510 [Resolution process] 34 CFR §300.514 [Finality of decision; appeal; impartial review] 34 CFR § 300.518 Child's status during appeal 34 CFR §§ 300.600 through 300.608 [State enforcement]	
WASHINGTON ADMINISTRATIVE CODE 392-172A-05030 Investigation of the complaint and decision 392-172A-05070 Resolution of a dispute through mediation 392-172A-05090 Resolution process 392-172A-05125 Student's status during proceedings	

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Critical Element IV – Monitoring Priority Areas: Does the LEA/ESA have in effect policies, procedures, and practices that are consistently implemented in accordance with state policies and procedures established in WAC 392-172A subject to state monitoring as described in WAC 392-172A-07010?	
Related Questions	Response
Child Find	
A. How does the LEA/ESA ensure that all children ages three to 21, with suspected disabilities who reside within its jurisdiction and who may be eligible for special education services are identified, located, and evaluated?	
	Notes:
Least Restrictive Environment	
B. How does the LEA/ESA ensure that a student’s placement is individually determined, based on the student’s least restrictive environment, and enables the student to participate in the general education program to the maximum extent possible?	
	Notes:
Discipline	
C. How does the LEA/ESA ensure that students eligible for special education services are not improperly excluded from school for disciplinary reasons and are provided services in accordance with WAC 392-172A-05145?	
	Notes:

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System of Transition Services	
D. Describe the LEA/ESA procedures for ensuring that children participating in early intervention services through Part C, who will participate in preschool program services through Part B, experience a smooth and effective transition in accordance with WAC 392-172A-02080.	
E. How does the LEA/ESA ensure that students eligible for special education services who are or will be turning 16 years of age have measurable post-secondary goals in the areas of training, education, employment, and where appropriate, independent living skills based on age-appropriate assessments, including transition services and courses of study in accordance with WAC 392-172A-03090?	Notes:
Disproportionality	
F. How does the LEA/ESA ensure that appropriate assessments chosen for use with special education students are selected and administrated so as not to be discriminatory on a racial/cultural basis in accordance with WAC 392-172A-03020(3)(a)(i)?	Notes

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G. Is there clear guidance for consideration of cultural factors and the inclusion of parents in the eligibility and placement process (WAC 392-172A-06000(1)(a))? 	
Document Review	Notes:
<input type="checkbox"/> Individualized Education Programs. <input type="checkbox"/> Current Eligibility Reports.	
Interview Information	Interview Summary:
<input type="checkbox"/> Direct Service Personnel. <input type="checkbox"/> Special Education Administrator(s).	
Related Requirements	
34 CFR §300.134 Child Find 34 CFR §300.114 – 300.120 Least Restrictive Environment 34 CFR §300.530 – 300.536 Discipline 34 CFR §300.646 Disproportionality	
WASHINGTON ADMINISTRATIVE CODE 392-172A-02040 Child Find 392-172A-02050-02070 Least Restrictive Environment 392-172A-05140-05175 Discipline Procedures 392-172A-07040 Significant Disproportionality	

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Critical Element V – Individualized Education Program (A) Implementation: Based on the student records reviewed, does the LEA/ESA provide enrolled special education students, ages 3-21, a free appropriate public education (FAPE) consisting of individualized specially designed instruction and any necessary related services?	
Related Questions	Response
A. How does the LEA/ESA ensure evaluations are sufficient in scope to develop an appropriate IEP and that IEPs and services are consistent with evaluation recommendations?	 Notes:
B. Does the LEA/ESA ensure that students are receiving specially designed instruction and related services as reflected in the evaluation report and identified in the IEP at no cost to the parents?	 Notes:
Critical Element V – Individualized Education Program (B) Procedural: Does the LEA/ESA have policies and procedures that are consistently implemented to ensure the development and implementation of the IEP program? Do IEPs and evaluations contain the required components?	
Related Questions	Response
A. How does the LEA/ESA ensure that present levels of academic achievement and functional performance include evidence or data to support the student’s current level of functioning and that annual goals are written in measurable terms?	 Notes:

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B. Are evaluations and IEPs completed within the required timelines?	 Notes:
C. Do IEPs indicate frequency, location, and duration of specially designed instruction, related services, modifications, and accommodations?	
Document Review	Notes:
<input type="checkbox"/> Student Records Review. <input type="checkbox"/> Secondary Student Class Schedules.	
Interview Information	Interview Summary:
<input type="checkbox"/> Building level Personnel.	
Related Requirements	
34 CFR §300.101- 103 FAPE 34 CFR §300.301- 311 Eligibility and Timelines 34 CFR §300.320- 324 Individualized Education Programs WASHINGTON ADMINISTRATIVE CODE 392-172A-02000 - 02045 FAPE Requirements 392-172A-03090 - 03115 Individualized Education Programs 392-172A-03005 - 03080 Evaluations and Reevaluations	