



INDIANA  
DEPARTMENT *of*  
EDUCATION

# INDICATOR 13

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# MONITORING AND COMPLIANCE GUIDE

**Indiana Department of Education**  
Office of Special Education

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## What Is Indicator 13?



### Definition of Indicator 13:

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

### What does this mean?

Indicator 13 measures the percentage of students with an IEP that includes appropriate, measurable postsecondary goals that are annually updated and based upon an age-appropriate transition assessment, transition services, and includes a course of study. These pieces 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 IEP case conference committee meeting where transition services will be discussed and evidence that, if applicable, a representative of any participating agency was invited with prior consent of the parent or student.<sup>1</sup>

<sup>1</sup> *Individuals with Disabilities Education Act (IDEA) Section 1416(a)(3)(B)*

## Indicator 13 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. Year one consists of self-monitoring, and year two consists of a federal pull by IDOE's Office of Special Education.

In year two monitoring, IDOE will calculate the LEA's compliance percentage by dividing the total number of compliant files reviewed by the total number of reviewed files. LEAs will be notified of the findings of compliance and/or noncompliance in writing as soon as possible, but no later than 90 days from the date of the file review's end.

### 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 may use the [Indicator 13 Compliance Checklist](#) to review one to two IEPs per teacher of record (TOR), per quarter or semester. A director or other designee may complete and send the checklist to the TOR. LEAs that self-monitor IEPs throughout the monitoring cycle tend to have reduced compliance issues during the federal pull in year two.

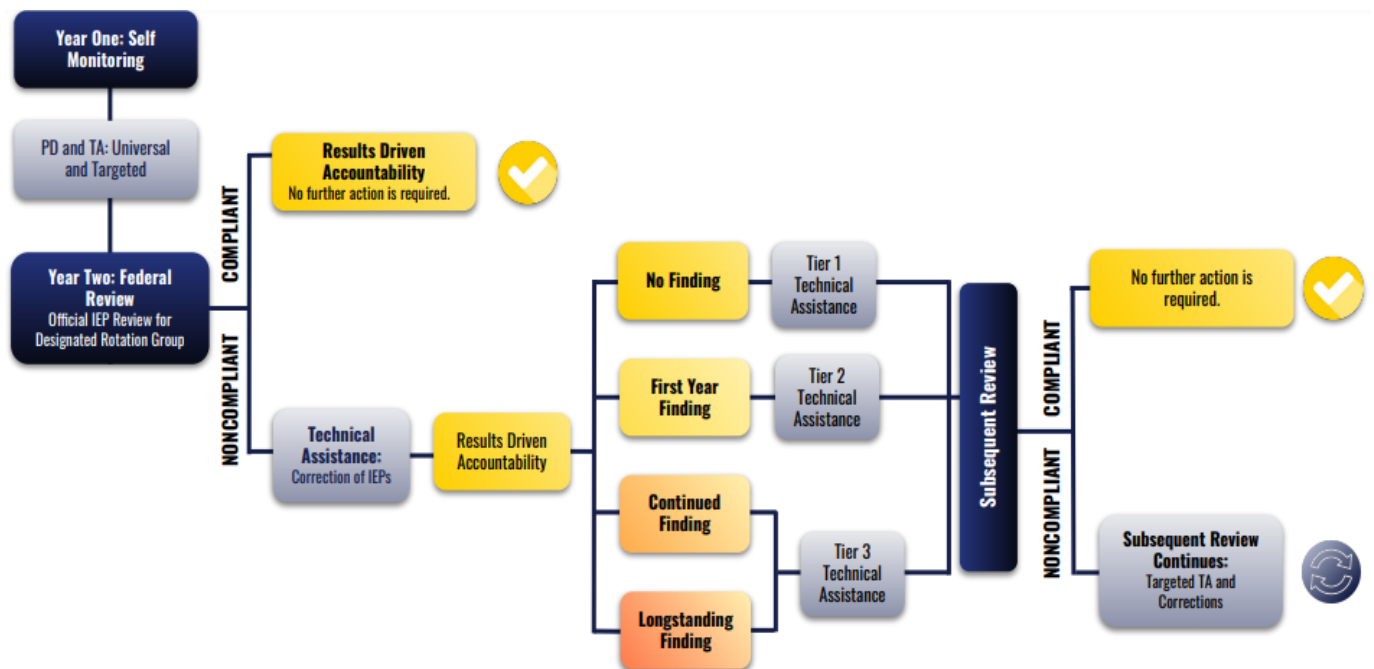


For more informal monitoring, teachers choose one of their IEPs to share with colleagues and discuss how they are doing. Others may use IEPs from students who are struggling with transition planning as a case study to assist with troubleshooting areas of difficulty as a special education department.

### Year Two: Federal Pull

Year two monitoring for Indicator 13 compliance consists of a federal pull conducted between March and August by IDOE’s Office of Special Education. Monitoring occurs by having a minimum of four and a maximum of 10 IEPs pulled for approximately one-half of LEAs in the state. IDOE utilizes the Indicator 13 Compliance Checklist to determine whether an IEP is considered compliant for Indicator 13 under IDEA. An initial report is generated and shared with the LEA that includes the Student Test Numbers (STNs) that were reviewed and listed with comments on whether the IEP areas were compliant or noncompliant. 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 IDOE. If an LEA has less than 100% compliance, IDOE will work with them between August and September to correct any noncompliance found in the initial report. Corrections are tracked, and the finalized percentage is used to determine Results Driven Accountability (RDA) scores. Final Indicator 13 reports are included in the RDA information sent out by IDOE’s Office of Special Education in November.



## Compliance Guidelines

The following section delineates criteria from the Transition IEP required to attain Indicator 13 compliance.

### 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.

These assessments lay the groundwork for the transition planning process and help determine what additional steps and skills the student will need to be successful in the transition from high school to postsecondary employment or education. A new transition assessment should be completed each year prior to the case review. Transition assessments can be repeated from year to year but must be supplemented with a new assessment if one is repeated two or more years in a row. The results of these assessments are discussed in the *Summary of Findings* section of the IEP within the Indiana IEP (IIEP) system. Best practice is to divide the *Summary of Findings* section into three parts aligned with 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 requires 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 must 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, showcasing the student's ultimate career and education goals. The Independent Living goal must also contain a skillbuilding component in order to be considered compliant.



## 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 that are specific to their postsecondary goals. Students should annually participate in a service or activity in the areas of Employment and Education/Training. If a student has an Independent Living Postsecondary Goal, they must 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 throughout 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

State Targets					
Target Year	2021	2022	2023	2024	2025
Target Data	100%	100%	100%	100%	100%

## Correcting Findings of Noncompliance

If an LEA is not in 100% compliance with Indicator 13 upon year two review, follow up monitoring and corrections must occur. Noncompliance is determined by three tiers based on findings.

### 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 IDOE's [Office of Student Support and Accessibility \(OSSA\)](#) to correct any noncompliance found during monitoring. Additionally, LEAs must complete an [Indicator 13 Best Practices Self-Assessment Rubric](#). 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 OSSA to correct any noncompliance found in the federal pull report. These concerns may additionally be addressed through IDOE's technical assistance and/or professional development as well as through a policy or protocol change. Additionally, LEAs must complete an Indicator 13 Best Practices Self-Assessment Rubric.

## Tier Three

LEAs in tier three have between 0% and 49% compliance. In this tier, there is 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) Complete the [root cause analysis tool](#); and
- d) Receive either IDOE technical assistance and/or professional development to ensure the areas of noncompliance are properly addressed in future IEPs.

In addition, LEAs build consensus with IDOE to correct the systematic issues that have been identified. Building consensus occurs when the LEA selects two to three IEPs, reviews them for compliance with the requirements of Indicator 13, and submits these IEPs to IDOE for review. Following both parties' review, a document is sent to the LEA with review determinations. If both the LEA and IDOE agree 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. Additionally, LEAs must complete an Indicator 13 Best Practices Self-Assessment Rubric.



### 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 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) Complete the [root cause analysis tool](#);
- e) Create a professional development plan and conduct at least one professional development session; and
- f) Receive either IDOE directed technical assistance and/or professional development in order to ensure the areas of noncompliance are properly addressed in future IEPs.

LEAs will additionally engage in the same consensus-building process as standard tier three noncompliance until requirements are met. LEAs must also complete an Indicator 13 Best Practices Self-Assessment Rubric.

### Continued or Longstanding Noncompliance

LEAs have one year from the date a determination of noncompliance is issued to correct the noncompliance and implement a system with the appropriate checks and balances needed to ensure compliance is consistent. When an LEA is unable to establish an appropriate system within one year, the LEA is issued a finding of continued noncompliance. Should the LEA continue to remain noncompliant beyond two years, they are 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. Resolution of the noncompliance 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 an LEA meets the target for a particular compliance indicator, they are considered “compliant” and are assigned a score of 5. If the LEA has a “finding of noncompliance” for an indicator, the LEA is assigned a score of 1.

Category Weight for Compliance Index	
Category	Percentage Weight
Indicator 4B: Suspension/Expulsion	12.5%
Indicator 9: Disproportionate Representation	12.5%
Indicator 10: Disproportionate Representation in Specific Disability Categories	12.5%
Indicator 11: Initial Evaluation	12.5%
Indicator 12: Transition from Part C to Part B	12.5%
Indicator 13: Secondary Transition	12.5%
Continued Noncompliance	10%
Longstanding Noncompliance	15%
<b>Total</b>	<b>100%</b>

## Scoring/Quintiles

RDA scoring for Indicators 13 is as follows:

RDA Scoring: Indicator 13	
Compliance Percentage	Percentage Weight
100% (Compliant)	5
Less than 100% (Finding/Noncompliant)	1

This indicator is scored the same regardless of enrollment size.



## Requesting Technical Assistance (TA)

### Technical Assistance

Technical assistance involves communication between a specialist or consultant and the organization to receive targeted support with a development need or problem to build organizational capacity. IDOE offers support with [various levels of technical assistance](#), and the Technical Assistance Request Form may be submitted to request these resources. Various levels of technical support and correlating resources can be found below.

Technical Assistance Resources	
Level of Support	Resources
<b>Universal</b>	<p><b><a href="#">Office of Special Education</a></b></p> <ul style="list-style-type: none"> <li>• <a href="#">Indiana Transition IEP Compliance Checklist</a></li> <li>• <a href="#">Transition IEP Self-Assessment Rubric</a></li> </ul> <p><b><a href="#">IEP TA Center</a></b></p> <ul style="list-style-type: none"> <li>• <a href="#">Statewide conference: Elevating Education: Improving Outcomes for All, Tuesday November 28, and Wednesday, November 29, 2023</a></li> <li>• <a href="#">Workshops:</a> <ul style="list-style-type: none"> <li>○ <a href="#">Best Practices for Writing Skill-Based Measurable Goals and Progress Monitoring</a></li> <li>○ <a href="#">Specially Designed Instruction: What, Where, When, and How</a></li> <li>○ <a href="#">Developing Behavior Intervention Plans</a></li> </ul> </li> </ul> <p><b><a href="#">IRIS Center</a></b></p> <ul style="list-style-type: none"> <li>• <a href="#">Facilitating Transitions for Students with Disabilities from High School to Post-School Settings</a></li> </ul> <p><b><a href="#">Office of Special Education Program (OSEP)</a></b></p> <ul style="list-style-type: none"> <li>• <a href="#">National Deaf Center: Developing Accessible Work Based Learning Programs</a></li> <li>• <a href="#">National Technical Assistance Center on Transition: The Collaborative (NTACT:C)</a></li> </ul>
<b>Targeted</b>	<ul style="list-style-type: none"> <li>• <a href="#">IDOE Technical Assistance Request Form</a></li> <li>• <a href="https://www.in.gov/doe/files/Indiana-Secondary-Transition-Best-Practices-Self-Assessment-Toolkit.pdf">https://www.in.gov/doe/files/Indiana-Secondary-Transition-Best-Practices-Self-Assessment-Toolkit.pdf</a></li> </ul>
<b>Intensive</b>	<ul style="list-style-type: none"> <li>• <a href="#">IDOE Technical Assistance Request Form</a></li> </ul>



