

CDE Compliance Monitoring

ADLs | CIM Step 1 | Small LEA Monitoring

For SELPA Advisory Committee
March 2026



Agenda



- CDE Compliance Monitoring: An Overview
 - ◆ CIM / Small LEA Monitoring / Dispro & SigDis
- Interpreting the ADL: Large, Small
- Orientation to CalTAN & SIL Websites
- CIM Step 1 Checklist and Rubric
- CIM Step 1 Storyboard
- The SELPA's Role in CIM
- Upcoming Due Dates
- SELPA CIM & Smalls Office Hours
- Submission Information
- Where Do I Start?
- Resources
- Questions to Ask

CIM: Need to Know

Each LEA (>100 SWDs) is placed in a

Tier:

- Universal
- Targeted
- Intensive

and **Level:**

- Level 1
- Level 2
- Level 3

based on their [ADL](#) which looks at the LEA's data on the state indicators from the prior year.

It is a **THREE YEAR** cycle with **FOUR STEPS**.

YEAR 1

STEP ONE

Gather & Inquire:

CIM teams gather data, including input from staff, families, and community members, to identify areas for improvement.

STEP TWO

Investigate:

CIM teams examine data to uncover the root causes of the challenges.

STEP THREE

Plan:

CIM teams create a detailed plan with timelines and steps to address identified problems.

STEP FOUR

Implement.

CIM teams put the plan into action, track progress, and make adjustments if needed.

YEARS 2 + 3















[VIDEO OVERVIEW OF STEPS 1-3](#)




State Performance Plan Indicators

SPPI Guide linked [here](#)

State Performance Plan Indicators
 Click on each State Performance Plan Indicator to see more information.

School Year: 2023 - 2024 ▾

 1 Graduation Rate	 2 Dropout Rate	 3 Statewide Assessment
 4 Discipline Rate	 5 Least Restrictive Environment	 6 Preschool Least Restrictive Environment
 7 Preschool Outcomes	 8 Parent Involvement	 9 Disproportionate Representation
 10 Disproportionate Representation by Disability	 11 Timely Eligibility Evaluation	 12 Timely Part C to B Transition
 13 Post-Secondary Transition Goals and Services		 14 Post-Secondary Outcomes

Legend
 Target met
 Target not met
 Not applicable

**Sonoma County SELPA data, SY 2023/24*

Small LEA Monitoring: Need to Know

What is a Small LEA?

School districts or charter schools serving 100 or fewer students with disabilities.

Annual Monitoring

- Dis/SigDis
- CDE Complaints
- Restraint & Seclusion Ratio Flag
- Critical Incident Reviews
- Timeline Compliance
- Fiscal Monitoring

Cyclical Monitoring

ALL SMALL LEAS are monitored on a cyclical basis every 6 years:

[Cycle A 2022 / Cycle B 2024 / Cycle C 2026]

- IEP Implementation Monitoring
- Policies & Procedures Review
- Student Record Review
- Assessment of Infrastructure
- Corrective Actions & Prong II reviews, if needed

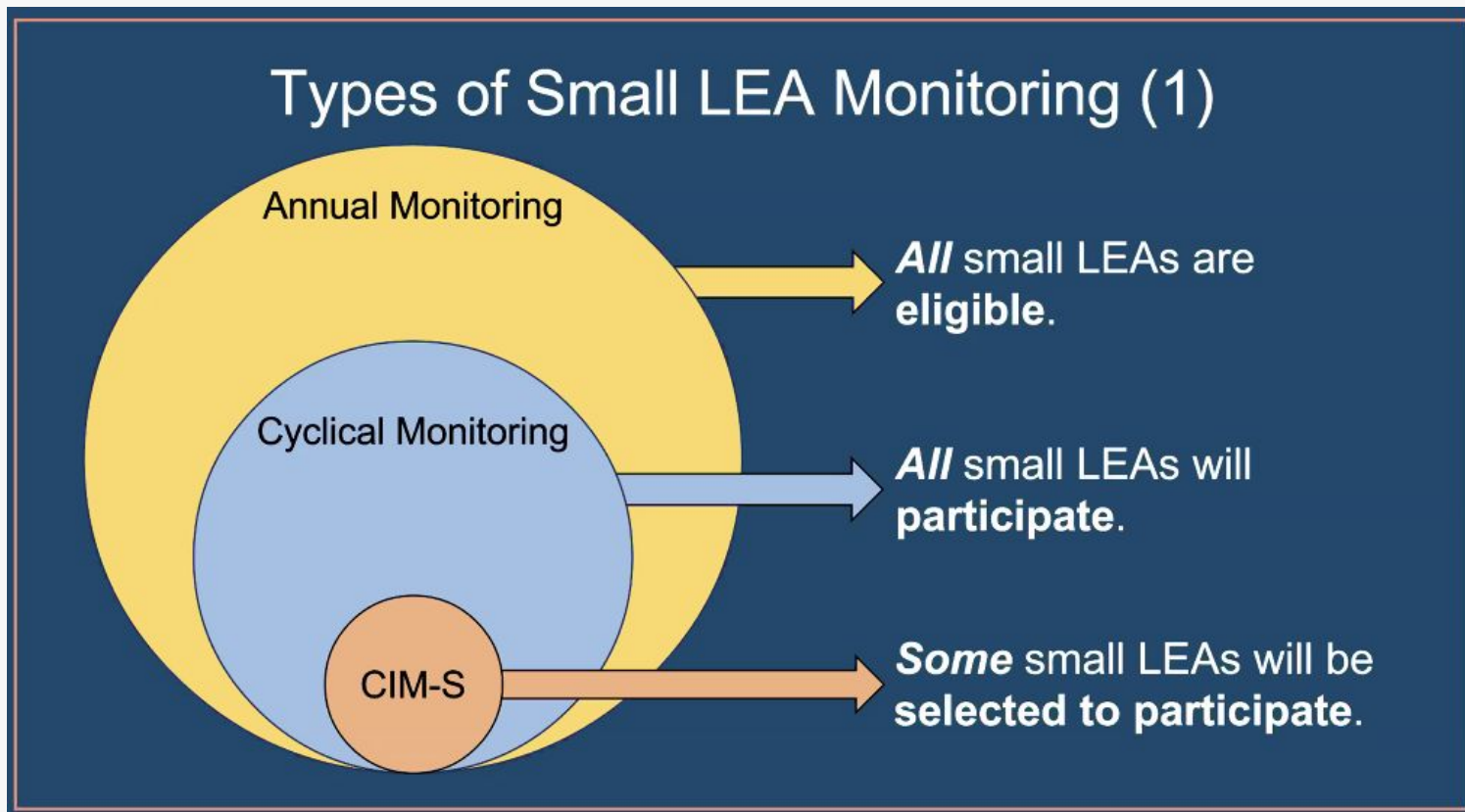
CIM-S

SOME SMALL LEAS are selected for CIM-S. They are notified in their ADL the year following completion of Cyclical Monitoring:

- Targeted-S
- Intensive-S

These LEAS must create & implement a CIM-S Plan.

Small LEA Monitoring



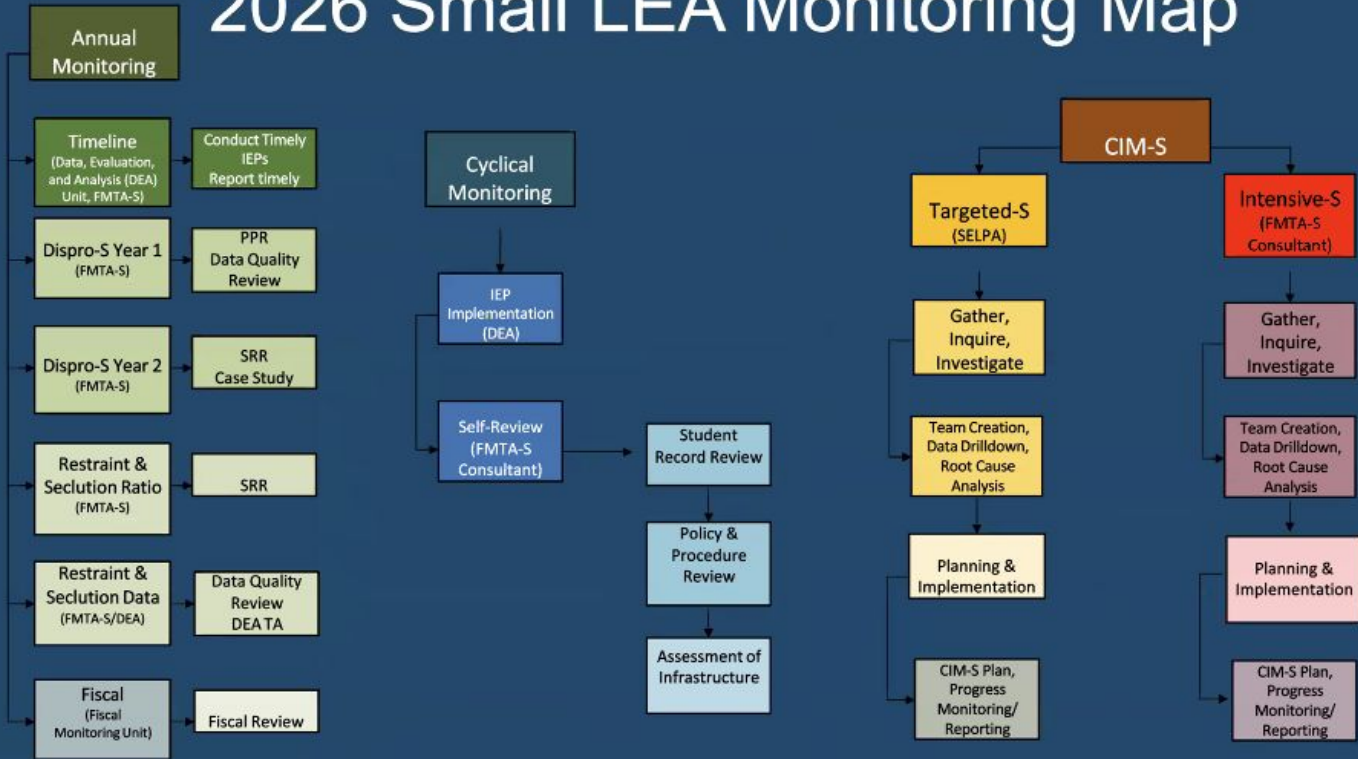
Small LEA Monitoring

Types of Small LEA Monitoring (2)

ALL Small LEAs:		SOME Small LEAs:
Annual Monitoring <ul style="list-style-type: none"> • Every year • Notified through ADL 	Cyclical Monitoring <ul style="list-style-type: none"> • Once every 6 years • 2-year cycle 	CIM-S Process <ul style="list-style-type: none"> • 3-year process • Targeted-S (Special education local plan area [SELPA]), Intensive-S (CDE)
<ul style="list-style-type: none"> • Disproportionality/ Significant Disproportionality • Complaints • Timeline Noncompliance • Restraint & Seclusion Ratio Flag • Critical Incident Reviews • Fiscal Monitoring 	Year 1: <ul style="list-style-type: none"> • Individualized Education Plan (IEP) Implementation • Self-Review: <ul style="list-style-type: none"> • Student Record Review • Policy and Procedure Review • Assessment of Infrastructure • Corrective Actions and Prong II reviews, if needed Year 2: <ul style="list-style-type: none"> • Wrap up Corrective Actions and Prong II reviews, if needed • Identified for CIM-S process 	Year 1: <ul style="list-style-type: none"> • Gather & Inquire • Investigate • Plan Year 2 & 3: <ul style="list-style-type: none"> • CIM-S Implementation & Progress Monitoring • Progress Reports Due: <ul style="list-style-type: none"> • July 10 (1st half of Year 2 data) • January 10 (2nd half of Year 2 data) • July 10 (1st half of Year 3 data) • January 10 (2nd half of Year 3 data)

Small LEA Monitoring

2026 Small LEA Monitoring Map



Disproportionality & Significant Disproportionality

Large LEAs

Small LEAs

Dispro

The overrepresentation of a specific race or ethnicity in:

- Identification of disability in general
- Identification of a specific disability category
- Discipline
- Placement (under 40% of time in gen ed setting, or separate school)

SigDis

When an LEA is in Dispro for three consecutive years in the same area, they then enter SigDis.

- 15% of federal IDEA funds must be set aside to provide Comprehensive Coordinated Early Intervening Services (CCEIS)
- CCEIS must address the root cause of the overidentification and funds must be spent on activities (gen ed function)
- The CIM/CCEIS Plan outlines the LEA's problem statement and activities to mitigate.

Important!



A Note about Disproportionality

If your LEA has been identified for **Disproportionality**, it is critical to take action immediately.

- *Disproportionality data is from prior school year.*
- *Addresses the area(s) of concern swiftly to improve outcomes for students and avoid SigDis.*

Areas of Disproportionality by Indicator

Indicator	Area of Disproportionality
SPPI 9 - <i>Identification</i>	<ul style="list-style-type: none">• Overall
SPPI 10- <i>Identification by Disability Category</i>	<ul style="list-style-type: none">• Autism• Emotional Disability• Intellectual Disability• Other Health Impairment• Specific Learning Disability• Speech and Language Impairment
Discipline	<ul style="list-style-type: none">• Any Discipline• Greater than 10 Days In-School• Greater than 10 Days Out of School• Less than 10 Days In School• Less than 10 Days Out of School
Placement – <i>More Restrictive Environments</i>	<ul style="list-style-type: none">• Under 40%• Separate Schools

ADL Example - *Large*

2026	
Annual Determination	Needs Assistance
2026 Monitoring Year Support Designation	Targeted Level 3 for School Age
Disproportionate	Disproportionate
Significantly Disproportionate	Not Significantly Disproportionate
Timeline Compliance	Noncompliant
Restraint and Seclusion Ratio and/or Data Flag	None

2026 Annual Determination under IDEA, Part B

In accordance with IDEA Section 616(e) and 34 *CFR* sections 300.600–300.604, the CDE is required to make an annual determination on the performance of each local educational agency (LEA). The CDE makes determinations based on the LEA's compliance, disproportionality, and performance data related to the implementation of IDEA requirements. As a result, every LEA receives one of four possible annual determinations: Meets Requirements, Needs Assistance, Needs Intervention, or Needs Substantial Intervention. The data for identifying LEAs' monitoring designation and more information on special education monitoring is accessible on the California Technical Assistance Network (CALTAN) website, <https://caltan.info/lea/search>.

Official Significant Disproportionality Determination for the 2026–27 Budget Year

If identified in the table above, this letter is the official notification to LEAs identified as Significantly Disproportionate for the 2026 Monitoring Year, impacting the 2026–27 budget year.

Pursuant to federal requirements under the IDEA and 34 *CFR* Section 300.647(d)(1), LEAs are identified as Significantly Disproportionate if the LEA is identified as disproportionate in the same area for three consecutive years. LEAs identified as Significantly Disproportionate are required to take mandatory actions including, but not limited to, reserving 15 percent of IDEA funds to provide Comprehensive Coordinated Early Intervening Services for the 2026–27 budget year.

I look forward to our continued partnership and collaboration in the future and truly appreciate your dedication and support for all children in California. If you have any questions or concerns, please reach out to me by email at CDESPEDDIRECTOR@cde.ca.gov.

Sincerely,

ALL LEAs are monitored for Dis/SigDis

Targeted 1:

- missed 1 or 2 performance targets *or* have minor compliance issues

Targeted 2:

- missed 3 + performance targets *or* have been newly identified as disproportionate

Targeted 3:

- rank in the bottom 11–20% on key performance indicators and/ or have been disproportionate for 2 consecutive years

ADL Example - *Large*

Timeline Compliance Data	
Timeline Compliance Element	Number of Students

NOT ES:

A “-” means that the LEA had

ps://mail.google.com/mail/u/0/?ik=643c74b8f8&view=pt&search=all&permthid=thread-f:1856779196839226906&simpl=msg-f:1856779196839226906&simpl=... 2/4

1/26, 12:14 PM Sonoma County Office of Education Mail - Fwd: Notification of Annual Determination Pursuant to the Individuals with Disabilities Education Act

The count of children who were not evaluated within 60 days of receiving parental consent for initial evaluation. ¹	7
The count of children referred by Part C prior to age 3, who are found eligible for Part B, but who did not have an IEP developed and implemented by their third birthday. ²	0
The count of youth aged 16 and older who has an IEP that does not include the eight required elements of transition from school to adult life. ³	50
The number of students who did not have an annual IEP meeting within one year. ⁴	23
The number of students who did not have a “triennial” re-evaluation to determine the student’s continued eligibility for special education at least once in the past three years. ⁵	40

no data in the Data Source and the corresponding Number of Students will be blank.
1 State

Timeline Compliance

- Timely initials
- Timely Part C to B
- Transition elements for 16+
- Timely annuals
- Timely reevaluations

ADL Example - *Small*

2026	
Annual Determination	Meets Requirements
2026 Monitoring Year Support Designation	Small LEA Monitoring, Cyclical Monitoring
Disproportionate	Not Disproportionate
Significantly Disproportionate	Not Significantly Disproportionate
Timeline Compliance	Compliant
Restraint and Seclusion Ratio and/or Data Flag	None

2026 Annual Determination under IDEA, Part B

Timeline Compliance Element	Number of Students	A "*" means that the
The count of children who were not evaluated within 60 days of receiving parental consent for initial evaluation. ¹	0	LEA had no data in the Data Source and the corresponding Number of Students will be blank.
The count of children referred by Part C prior to age 3, who are found eligible for Part B, but who did not have an IEP developed and implemented by their third birthday. ²	0	
The count of youth aged 16 and older who has an IEP that does not include the eight required elements of transition from school to adult life. ³	12	
The number of students who did not have an annual IEP meeting within one year. ⁴	3	
The number of students who did not have a "triennial" re-evaluation to determine the student's continued eligibility for special education at least once in the past three years. ⁵	3	

ALL LEAs are monitored for Dis/SigDis

Timeline Compliance

- Timely initials
- Timely Part C to B
- Transition elements for 16+
- Timely annuals
- Timely reevaluations

Interpreting the ADL - *Smalls*

Annual Determinations

Meets Requirements	<ul style="list-style-type: none">• No corrective actions or open Prong Review• No Timeline Issues• No Restraint & Seclusion Flag• Not Disproportionate/Significantly Disproportionate
Needs Assistance	<ul style="list-style-type: none">• Corrective Actions or open Prong Review AND/OR• Timeline Issues AND/OR• Restraint & Seclusion Flag AND/OR• Disproportionate Year 1 or Disproportionate Year 2• CIM-S Targeted-S
Needs Intervention	<ul style="list-style-type: none">• Significantly Disproportionate• CIM-S Intensive-S

Interpreting the ADL - *Smalls*

Monitoring Year Designations

Designation	Action Required
Universal Support	<ul style="list-style-type: none"> No action needed
Compliance Only or *with Compliance	<ul style="list-style-type: none"> Timeline Issues Open Corrective Actions or Prong II Follow-Up Review Restraint & Seclusion Flag Disproportionate Year 1 or Disproportionate Year 2
Cyclical Monitoring*	<ul style="list-style-type: none"> Complete Cycle C 2026 activities
CIM-S/Targeted-S or Intensive-S*	<ul style="list-style-type: none"> Complete CIM-S activities and CIM-S Plan
CIM-S Continuing*	<ul style="list-style-type: none"> Continue implementing CIM-S Plan Progress Reports Due: #3: July 10, 2026; #4: January 10, 2027

**LEAs in Cyclical Monitoring with Compliance, CIM-S Continuing with Compliance, or CIM-S/Targeted-S or Intensive-S with Compliance will need to address the 'Compliance Only or with Compliance' section above as well as their respective section (Cyclical Monitoring or CIM-S).*

Orientation to CaITAN & SIL Websites

Large LEAs

Small LEAs

Bookmark these pages!

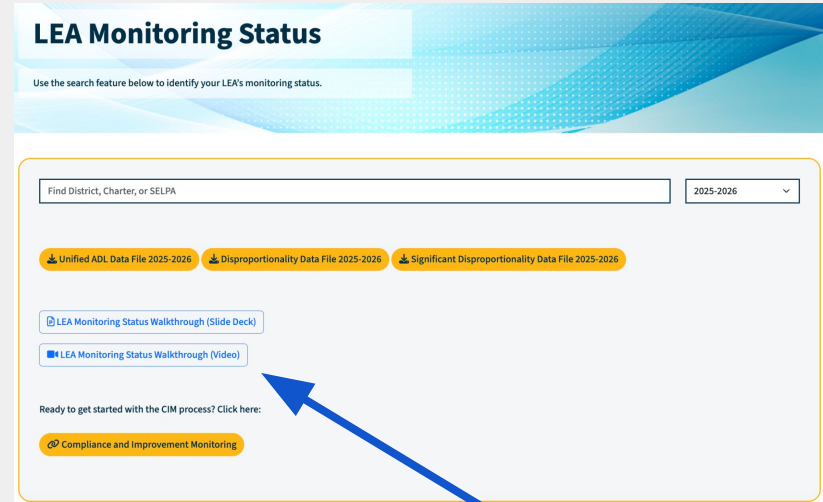
[CaITAN Monitoring Status Lookup Tool](#)

[CaITAN CIM Resources](#)

[State Performance Plan Indicator \(SPPI\)](#)

[Dashboard - System Improvement Leads \(SIL\)](#)

Video linked [here](#)



CIM Step 1

CIM Step 1 Checklist & Rubric



Compliance and Improvement Monitoring (CIM) Step 1 Checklist and Rubric



- Team Creation
 - Documented required CIM Team members by name, title, role, and email address. If an exception applies, an explanation is provided.
- Parent Input (for selected local educational agencies [LEAs] only)
 - Described the target group, which must include parents of children with disabilities.
 - Identified the tools, sources, and/or methodologies used.
 - Summarized findings, including participation numbers or rates, patterns or trends observed among responses, new information learned, and areas that need to be addressed.
- Data Drill Down
 - Loaded California Longitudinal Pupil Achievement Data System (CALPADS) reports into the Improvement Data Center (IDC) data tool or required disaggregated data reports were generated and provided.
 - Listed quantitative and qualitative data sources used in the Data Drill Down activity, originating from both special education and general education, and summarized relevant findings for:
 - Data potentially applicable to developing prioritized problem statements for the LEA's monitoring identification.
 - Data relating to disproportionality if the LEA is identified as Disproportionate.
 - Data relating to Individualized Education Program (IEP) Implementation if the LEA is identified for IEP Implementation.
 - Data relating to restraint and seclusion if the LEA is flagged for Restraint and Seclusion Ratio.
 - Data applicable to academic, placement, discipline, engagement, climate, and attendance elements.
- Student Record Review
 - Summarized relevant findings from the Student Record Review (SRR) activity, noting any areas of concern suggested by those findings.



Compliance and Improvement Monitoring (CIM) Step 1 Checklist and Rubric



- Summarized adjustments that may be necessary to the LEA's written policies and procedures.
 - Included findings specific to restraint and seclusion, and/or disproportionality if flagged for those areas.
- Data Quality Activity (for selected LEAs only)
 - Submitted the At-A-Glance report to the proper entity.
- Consolidation/Problem Areas
 - Identified specific problem areas, phrased as data-supported and quantified problem statements, which the LEA will later prioritize in CIM Step 2.
 - Included statistics or other quantifications for each problem statement.
 - Identified at least one problem statement related to the LEA's monitoring identification.
 - Identified at least one problem statement related to disproportionality if the LEA is identified as Disproportionate.

CIM Plan Element	Standards Not Met (Revision Required)	Standards Met (Approved - Feedback Provided as Appropriate)	Standards Exceeded (Approved)
Problem Areas/Problem Statements	The problem areas/problem statements do not address unmet indicators.	The problem areas/problem statements address one or more unmet indicators.	The problem areas/problem statements are consolidated and demonstrate a clear connection between unmet indicators.
	The problem areas/problem statements are not clear, not supported by quantitative and qualitative data, or lack of analysis.	The problem areas/problem statements are clear and supported by quantitative and qualitative data, but analysis lacks depth.	The problem areas/problem statements are clearly articulated, supported by student-level quantitative and qualitative data, and demonstrate thorough analysis of historical and current data.

CIM Step 1 - Storyboard



Targeted Level 1 & 2

Storyboard Workspace
Steps 1-3

LEA Name

[TEMPLATE Targeted Level 1-2 Storyboard 2.10.2026](#)

SELPA's Role in CIM

The SELPA Program Specialist (all tiers & levels)

- A resource for LEAs in navigating the CIM process
- **A required member of the CIM Team**
 - ◆ **Invite your Program Specialist to all CIM Team meetings**
- Participates in CIM meetings as available

For Targeted Levels 1 + 2:

- SELPA reviews & approves CIM Plans & Progress Reports
- SELPA sends assurances to CDE that your plans/PRs were submitted on time and approved

(Targeted Level 3 and Intensive Levels 1-3 submit directly to CDE)

Upcoming Due Dates

- **Due April 9th** (*Larges & Smalls, if timeline compliance issues on ADL*)
 - ◆ Timeline noncompliance activities, if applicable
 - ◆ Instructions [here](#)

 - **Due May 15th** (*all Larges & Smalls in Cycle C*)
 - ◆ IEP Implementation data
 - ◆ Instructions [here](#)

 - **Due June 30th** (*all Larges & applicable Smalls*)
 - ◆ Student Record Review (SRR)

 - **Due July 10th** (*all Larges in 2026 Cohort*)
 - ◆ CIM Step 1 due
-

SELPA CIM & Smalls Office Hours

Optional, just drop in: via [Zoom](#)

→ **March 23rd** - 4-5pm

→ **March 24th** - 9-10:30am



Submission Information

From CDE:

- CDE will be using 2 fillable Word/PDF documents for the 2026 Cohort Targeted LEAs to submit their Steps 1 and 2.
- This document has not been released from CDE's Accessibility/Compliance check, but should be very soon.
- Meanwhile, CDE is suggesting that LEAs starting their Step 1 documentation should do so in a Google or Word doc (or the Storyboard), then paste into the CDE template once that's released.

Where Do I Start?

→ Large LEAs:

- ◆ Build your CIM Team now!
- ◆ Schedule CIM Team Meetings ASAP - at least a few before end of SY
- ◆ Dive into Step 1
 - Data Drill Down
 - Student Record Review
 - Consolidation of Data/ Identify Problem Area
 - Parent Input (*for selected LEAs*)
 - Data Quality Activity (*for selected LEAs*)
- ◆ Pay attention to applicable due dates on Slide #21

→ Small LEAs:

- ◆ Pay attention to applicable due dates on Slide #21
- ◆ Stay tuned for more from CDE & SELPA



Large LEAs

Small LEAs

[Video Overview of CIM Steps 1-3](#)

[CIM Step 1 Checklist & Rubric](#)

[Targeted Level 1-2 Storyboard 2.10.2026](#)

[CalTAN Monitoring Status Lookup Tool](#)

[CalTAN CIM Resources](#)

[CDE 2026 Small LEA Monitoring Webinar](#)

[State Performance Plan Indicator \(SPPI\)
Dashboard - System Improvement Leads
\(SIL\)](#)

[State Performance Plan Indicator \(SPPI\)
Guide](#)

[Instructions to Address Timeline
Noncompliance](#)

[IEP Implementation Data Collection
Instructions](#)



Questions to Ask...

Large LEAs:

- Targeted or Intensive? Level 1, 2, or 3?
- Are we Disproportionate or SigDis?
 - If so, in what areas?
- Do we also have Small LEAs being monitored?
 - If so, who will be the point person for the monitoring activities?

Small LEAs:

- Are we identified for Annual Monitoring, Cyclical, CIM-S, or all of the above?



Questions?

