



## **Santa Barbara School Districts Special Education Review**

June 12, 2009

Joel D. Montero  
Chief Executive Officer





June 12, 2009

Brian Sarvis, Superintendent  
Santa Barbara School Districts  
720 Santa Barbara Street  
Santa Barbara, California 93101

Dear Superintendent Sarvis,

In February 2009 the Santa Barbara School Districts and the Fiscal Crisis and Management Assistance Team (FCMAT) entered into an agreement to provide a review of the districts' special education programs and services. The agreement stated that FCMAT would perform the following:

Scope A: Parent Participation and Communication

1. Guidance to the districts on the appropriate configuration of top administrative positions in special education with recommendations for accountability, oversight and responsibilities in order to restore public confidence.
2. Recommendations that clearly define a communication system within the districts regarding special education litigation issues, defines the role of attorneys and outlines the components of an effective resolution process which eliminates the threat of retaliation and reduces litigation and complaints.
3. An analysis of parent input regarding the opportunities for parent involvement, district outreach and parent communication that currently exist and make recommendations for improvement, if needed.
4. Guidance for the districts on strategies to ensure that low income families can be guaranteed equal access to special education services.
5. Recommendations for effective communication and problem solving models for staff and parents to build solid trusting relationships with the special education department.

Scope B: Organizational Review

1. Comparative analysis of the current organizational structure of the special education department with recommendation to ensure effective clerical, program and administrative support.

FCMAT

Joel D. Montero, Chief Executive Officer

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Administrative Agent: Larry E. Reider - Office of Kern County Superintendent of Schools

2. Development of an effective organizational chart outlining appropriate reporting structures for all administrative support positions and functions in the special education department.
3. Recommendation to ensure stable leadership in special education in the future.
4. Current measures of staff morale and make recommendations for improvement, if needed.

#### Scope C: Fiscal Review

1. Recommendations that would increase revenue and/or curtail costs for the Santa Barbara School Districts. One of the options that will be carefully studied is the option of operating district regional programs.
2. A determination of the feasibility of the districts becoming their own SELPA, including the associated expenses or cost savings, liability and compliance issues.
3. An analysis of the cost effectiveness of the existing county operated vs. district operated programs and recommendations regarding the best option costs effectiveness.
4. An evaluation of the current special education facilities consortia operated by the SELPA and recommendations to ensure that districts are not underwriting facilities costs, including the cost of special education preschool facilities of other districts in the SELPA.

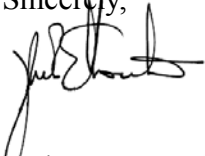
#### Scope D: Program Review

1. An evaluation of the effectiveness of the assignment process for teachers and aides with recommendations for improvement, if needed.
2. An examination of the districts' philosophy, programs and procedures in special education to determine whether they are consistently aligned with the districts' mission and core beliefs.
3. Feedback regarding the extent to which a Response to Intervention Model (RTI) is being implemented.
4. An analysis of staffing ratios class size in relation to other districts across the state and legal mandates.
5. An evaluation of the effectiveness of the special education programs and services
6. Evaluation of district procedures for determining the need for instructional aides, the provision of training for staff and the support for students when aides are absent with recommendations for improvement, if needed.

The attached draft report contains the study team's findings and recommendations with regard to the above areas of review.

We appreciate the opportunity to serve you, and we extend our thanks to all the staff of the Santa Barbara School Districts.

Sincerely,

A handwritten signature in black ink, appearing to read "Joel D. Montero", with a stylized flourish at the end.

Joel D. Montero  
Chief Executive Officer



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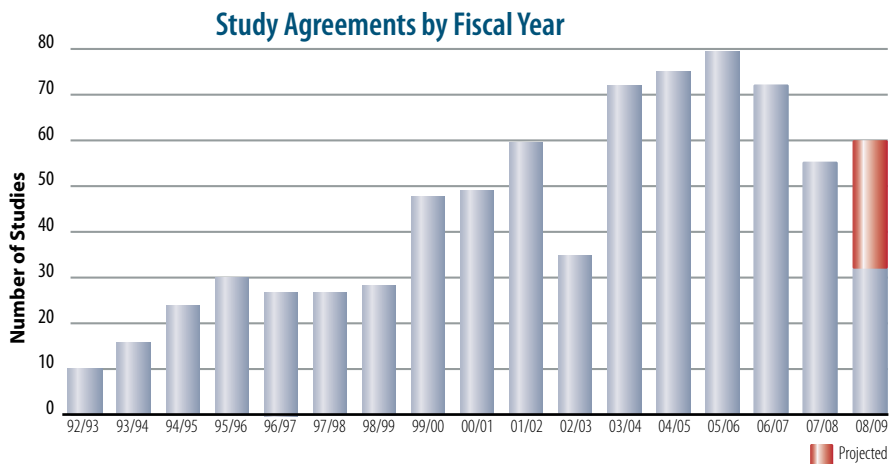
## Foreword - FCMAT Background

The Fiscal Crisis and Management Assistance Team (FCMAT) was created by legislation in accordance with Assembly Bill 1200 in 1992 as a service to assist local educational agencies (LEAs) in complying with fiscal accountability standards.

AB 1200 was established from a need to ensure that LEAs throughout California were adequately prepared to meet and sustain their financial obligations. AB 1200 is also a statewide plan for county offices of education and school districts to work together on a local level to improve fiscal procedures and accountability standards. The legislation expanded the role of the county office in monitoring school districts under certain fiscal constraints to ensure these districts could meet their financial commitments on a multiyear basis. AB 2756 provides specific responsibilities to FCMAT with regard to districts that have received emergency state loans. These include comprehensive assessments in five major operational areas and periodic reports that identify the district's progress on the improvement plans.

In January 2006, SB 430 (charter schools) and AB 1366 (community colleges) became law and expanded FCMAT's services to those types of LEAs.

Since 1992, FCMAT has been engaged to perform nearly 750 reviews for local educational agencies, including school districts, county offices of education, charter schools and community colleges. Services range from fiscal crisis intervention to management review and assistance. FCMAT also provides professional development training. The Kern County Superintendent of Schools is the administrative agent for FCMAT. The agency is guided under the leadership of Joel D. Montero, Chief Executive Officer, with funding derived through appropriations in the state budget and a modest fee schedule for charges to requesting agencies.



**Total Number of Studies..... 743**

**Total Number of Districts in CA..... 982**

- Management Assistance..... 705 (94.886%)
- Fiscal Crisis/Emergency ..... 38 (5.114%)

Note: Some districts had multiple studies.

- Districts (7) that have received emergency loans from the state.  
(Rev. 1/22/09)

|

# Introduction

## *Background*

The Santa Barbara School Districts are the main public school districts that serve Santa Barbara, California. The two districts consist of an elementary district with an enrollment of 5,791 students and a high school district with an enrollment of 9,905 students. One administrative system and one school board govern both districts, with both the elementary and high school districts approaching basic aid status. The high school district receives funding based on serving students from Goleta, Santa Barbara, and Montecito, while the elementary district only receives funding based on serving students from the Santa Barbara area.

In January 2009 the Santa Barbara School Districts requested that FCMAT review the districts' special education programs and services. The study agreement specifies that FCMAT will perform the following:

### Scope A: Parent Participation and Communication

1. Guidance to the districts on the appropriate configuration of top administrative positions in special education with recommendations for accountability, oversight and responsibilities in order to restore public confidence.
2. Recommendations that clearly define a communication system within the districts regarding special education litigation issues, defines the role of attorneys and outlines the components of an effective resolution process which eliminates the threat of retaliation and reduces litigation and complaints.
3. An analysis of parent input regarding the opportunities for parent involvement, district outreach and parent communication that currently exist and make recommendations for improvement, if needed.
4. Guidance for the districts on strategies to ensure that low income families can be guaranteed equal access to special education services.
5. Recommendations for effective communication and problem solving models for staff and parents to build solid trusting relationships with the special education department.

### Scope B: Organizational Review

1. Comparative analysis of the current organizational structure of the special education department with recommendations to ensure effective clerical, program and administrative support.

2. Development of an effective organizational chart outlining appropriate reporting structures for all administrative support positions and functions in the special education department.
3. Recommendations to ensure stable leadership in special education in the future.
4. Current measures of staff morale and make recommendations for improvement, if needed.

#### Scope C: Fiscal Review

1. Recommendations that would increase revenue and/or curtail costs for the Santa Barbara School Districts. One of the options that will be carefully studied is the option of operating district regional programs.
2. A determination of the feasibility of the districts becoming their own SELPA, including the associated expenses or costs savings, liability and compliance issues.
3. An analysis of the cost effectiveness of the existing county operated vs. district operated programs and recommendations regarding the best option for cost effectiveness.
4. An evaluation of the current special education facilities consortia operated by the SELPA and recommendations to ensure that districts are not underwriting facilities costs, including the cost of special education preschool facilities of other districts in the SELPA.

#### Scope D: Program Review

1. An evaluation of the effectiveness of the assignment process for teachers and aides with recommendations for improvement, if needed.
2. An examination of the districts' philosophy, programs and procedures in special education to determine whether they are consistently aligned with the districts' mission and core beliefs.
3. Feedback regarding the extent to which a Response to Intervention Model (RTI) is being implemented.
4. An analysis of staffing ratios, class and caseload sizes in relation to other districts across the state and legal mandates.
5. An evaluation of the effectiveness of the special education programs and services
6. Evaluation of district procedures for determining the need for instructional aides, the provision of training for staff and the support for students when aides are absent with recommendations for improvement, if needed.

## Study Guidelines

FCMAT visited the districts during the weeks of February 24, March 9 and March 16, 2009 to conduct interviews (group, individual and written), collect data and review documents. This report is the result of those activities and is divided into the following sections:

- Executive Summary
- Parent Participation and Communication
- Organizational Review
- Fiscal Review
- Program Review
- Appendices

## Study Team

The study team was composed of the following members:

William P. Gillaspie, Ed.D.  
Chief Management Analyst  
Fiscal Crisis and Management  
Assistance Team  
Sacramento, California

James “Sarge” Kennedy  
FCMAT Special Education Consultant  
Red Bluff, California

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Fiscal Crisis and Management  
Assistance Team  
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\*As a member of this study team, this consultant was not representing her employer but was working solely as an independent contractor for FCMAT.



## Executive Summary

FCMAT was requested by the Santa Barbara School Districts to study the districts' special education programs in four major areas: parent participation and communication, organizational structure, fiscal and program delivery to determine their effectiveness and cost efficiency. During FCMAT's time on site, the Superintendent, governing board and staff were professional and extremely motivated to improve the quality and effectiveness of the special education programs. Parents and community members participated freely throughout the process and provided necessary input and solutions into the process. Staff members were open to finding ways to improve the overall functions and service delivery to students with disabilities.

The uniquely broad scope of this study gave FCMAT the opportunity to provide in-depth analysis of all critical aspects of the special education program operation as a unit and department in a system that grants a great deal of operational flexibility to its site principals. There is a conflict of leadership roles and responsibilities between the special education program staff and the site principals. Both staff and parents expressed frustration over the confusion regarding who is in charge of special education program decisions and the inconsistent messages that occur as a result.

Over the past eight years the districts have employed seven directors of special education. This instability in leadership is the root cause of the systemic problems that have led to inconsistency, disorganization, confusion over policies and procedures and a lack of direction to school sites. The districts do not clearly understand why the turnover rate in administration has been so high in this position. Parents expressed a high level of frustration with the districts and a distrust of special education leadership. The staff expressed equal frustration and a lack of confidence, which was confirmed by a finding of low staff morale in the special education department. FCMAT has made recommendations to support the board-approved organizational restructuring and systems changes in the special education department.

Parents and staff expressed concerns over poor communication among parents, schools and the districts. The inconsistency and poor responsiveness to calls for assistance and information have seriously eroded the confidence and trust of parents, the community and the staff. In the absence of an informal process to resolve special education issues, the districts are experiencing an increase in formal complaints and requests for due process hearings. Requests for this level of intervention are costly for the districts and parents.

Low-income families reported that they are underrepresented and disenfranchised with respect to the districts' special education services. By district report, 60.5% of students in the elementary district and 35.3% of students in the high school district are low income as compared to 51.8% for Santa Barbara as a whole. FCMAT's findings identified a clear disconnect between families and staff due to language and cultural barriers. As a result, parents believe their children do not have equal access to the special education and related services necessary for their children.

Due to the inherent systemic problems found in special education, the districts may need to consider the use of an ombudsman for a minimum of one year to support orderly change, mediate conflicts, track problem areas and provide a much-needed neutral third party to operate with absolute confidentiality. It will take time to restore confidence and open the lines of communication between parents and the districts.

Parents report that in general, the individualized education plans (IEPs) for students are well developed. However, program services and supports outlined in the IEP are not delivered in a timely manner. Hiring delays for instructional aides have left many students without support services for two to six months.

FCMAT analyzed the current organizational structure of the special education department and made initial recommendations to ensure effective clerical, program and administrative support. These were provided to the Governing Board on March 10, 2009. The board adopted the organization management restructuring for implementation for the 2009-10 school year, and is moving to fill the top leadership positions in special education. In addition, FCMAT has designed an organizational chart with appropriate reporting structures for all administrative support positions and functions in the special education department that included recommendations to ensure stable leadership in the future.

In the fiscal component of this review, FCMAT studied the option of operating district regional programs as a way of curtailing costs and/or increasing revenue for the Santa Barbara School Districts. The most significant factor affecting the level of program costs associated with special education is the lack of systemic structure with adequate centralized oversight. Improvement is needed in the districts' hiring, replacement and position control system to avoid excess staffing and/or staffing patterns that do not reflect actual needs of the students.

The special education department does not monitor the special education budget. School sites spend special education dollars without any meaningful fiscal oversight at a centralized level. This practice largely accounts for the higher level of contribution from the unrestricted general fund budget required to support special education expenditures.

The current funding model developed by the SELPA districts is consistent and appropriate. There is no persuasive programmatic or fiscal advantage for the Santa Barbara School Districts to become a SELPA nor would it be practical in the foreseeable future.

FCMAT confirmed that the special education department has no oversight responsibility for the use of special education resources and no authority to establish the accountability to ensure the provision of special education and related services to students. There is no systemic method of assigning aides for each school year or to ensure that an aide that is assigned to one student (a 1:1 aide) follows the student to support the transition between grade levels. Once hired, aides often remain at the school site in other positions assigned by the principal. The recommendations for reorganization of the special education by position and reporting structure will provide direction to the districts to strengthen central control and fiscal oversight of the budget and resources of the department.



The special education department is aligned with the districts' mission and core beliefs but does not have a written mission, vision or philosophy for special education programs and services. The Santa Barbara School Districts support site-based management in each school, but it is not clear how special education fits within that structure. There is confusion and disorganization between site roles and district roles, which has a great impact on service delivery, parent confidence and staff morale. This management component must be a priority in the reorganization of the districts' systems for special education.

The districts do not offer a full continuum of special education programs and services at this time. Most students are assigned to their home schools, and each school is required to design programs and services to meet a wide variety of special education needs. Both staff and parents agree that some populations require more intensive programming, such as students with autism and emotional disturbance. FCMAT has made recommendations to address this issue at the district and SELPA levels.

The special education department does not use a clearly defined staffing formula. The districts were unable to provide consistent data that reflected the total full-time equivalents (FTEs) funded by special education. FCMAT has made recommendations regarding staffing reductions and increases to balance the staffing structure of the department.

The identification rate for students with disabilities is 12%, as compared to 10.4% in Santa Barbara County and 11% in the state. The philosophy behind Response to Intervention (RTI) models is that the effective use of RTI should decrease the need for special education services. Since the identification rate is higher in the Santa Barbara Districts than the county or state, the districts should evaluate the effectiveness of its RTI program.

The effectiveness of special education programs can be measured by the degree to which programs and services are consistently delivered as outlined in the IEP. Delays in the hiring process combined with systemic administrative problems in the special education department have impeded the districts' overall effectiveness in this area. This can create compliance problems for the districts if it is not addressed. The second measure is the degree to which staff is trained to support the unique needs of special education students. Both parents and staff report the need for more training at many levels, including site principals, parents, instructional aides and teachers. The new special education administration should develop a training sequence to support programs and staff.

The use of 1:1 instructional aides in special education has increased in districts across the state. This can significantly affect limited resources for any district. Many districts have established written criteria and procedures for the use of 1:1 instructional aide support. This helps IEP teams to determine the needs of students and assists districts in managing resources. The SELPA has a procedural manual that describes the process for 1:1 aide acquisition in regionalized classes, but the Santa Barbara School Districts do not have such a procedure in place. There are a number of findings that indicate that the transfer and hiring process for instructional aides needs to be reviewed. Greater efficiency could

be achieved, which would result in a more consistent and timely response to student needs for coverage and support.

The results of the annual performance measures produced by the CDE indicate that despite the internal systemic issues in the department, students are making progress. On STAR testing in grades 3, 8, and 10, special education students met the proficiency target in math and continue to work toward proficiency in English/language arts. The targets for graduation rate from high school were met and the dropout rate decreased.

This independent and external review has examined the entire special education program from parent participation/communication and program organization to fiscal and program effectiveness. The districts recognize the need for change and view this study as an opportunity to move the department forward. The dedication and commitment of the staff will define a new beginning for the department. The community and parents want the districts to be successful in the change process for special education, which will directly benefit the students and their families. It will take patience and time to rebuild public confidence and trust in the districts and for staff morale to improve. With the support of the Governing Board and the Superintendent, the districts will have the tools for systemic change in the findings and recommendations of this report that will form the basis of an effective action plan.

## Findings and Recommendations

### Surveys and Interviews

FCMAT interviewed parents, community members, special education, district office staff and site principals. These interviews were conducted in a variety of ways: group and individual interviews, written input submitted to the team, and informal written survey.

In an attempt to maximize parent involvement in the process, FCMAT-developed surveys were mailed to all special education families in English and Spanish on February 12, 2009. To maintain confidentiality and assure parents that the districts were not interfering with the process, all parent and staff survey responses were mailed to the FCMAT office in Bakersfield. District staff were not involved in interpreting or reviewing the results.

The Parent Survey (Appendix A) was not intended to be a statistical instrument. It was designed to evaluate district services and obtain key information from parents of children attending special education programs on their degree of understanding of the special education delivery process. The survey was conducted both in English and Spanish. The survey is based on the compliance review document developed by the California Department of Education (CDE) used in all California school districts.

The table below summarizes the total number of surveys sent in English and Spanish and the total number received. The 382 responses received represent 19.2% of the surveys mailed.

| <b>Summary of Special Education Parent Surveys mailed on 2/12/09</b> |  |
|--|--|
| <b>Survey Distribution</b>   | <b>Responses</b>   |
| Number of surveys mailed   | 1,976<br>Mailed to all eligible special education students to addresses on file with the district; each envelope contained English and Spanish surveys |
| Number of English surveys completed                                  | 266  |
| Number of Spanish surveys completed                                  | 119  |
| Number of surveys returned as undeliverable                          | 52<br>18 more completed after a second mailing   |

In addition to the parent surveys, FCMAT completed extensive interviews with parents, district and special education staff, community members, etc. Participation in the interviews was voluntary. Private meetings were offered as an option by request over the three-week period from February 23 to March 17, 2009, and parents were offered a direct contact source for 1:1 meetings with FCMAT through the Bakersfield office.

| <b>Summary of Parent and Community Member Meetings held with FCMAT</b>   |   |  |
|--|---|--|
| <b>Focus Group: Parents</b>  | <b>Private Meetings with Parents</b>  | <b>Meetings with Community Members</b>   |
| <b>Tuesday, February 24, 2009</b><br><b>12:30 – 2:00 PM</b><br>4 parents in attendance   | 4 parents of students attending special education programs attended private 1:1 meetings with FCMAT during 2/24-3/16 sessions | 10 members of the community attended private 1:1 meetings with FCMAT during 2/24 – 3/16 sessions |
| <b>Wednesday, February 25, 2009</b><br><b>6:30 – 8:30 PM</b><br>10 parents in attendance<br>1 school board member                        |   |  |
| <b>Thursday, February 26, 2009</b><br><b>6:30 – 8:30 PM</b><br>14 parents in attendance  |   |  |
| <b>Monday, March 16, 2009</b><br><b>6:30 – 8:30 PM</b><br>109 parents in attendance<br>(28 headsets distributed for Spanish translation) |   |  |
| <b>Parents in Focus Groups = 141</b>   | <b>Private Parent Meetings = 4</b>  | <b>Private Meetings with Community Members = 10</b>  |

**Note:** A Spanish translator was present at all public meetings held by FCMAT. Notices announcing parent meetings were sent by the districts' Communications Department via announcement flyers sent home with students and phone call messages to each home.

The following table summarizes the focus groups held for district and special education staff and principals.

| <b>Summary of District/Special Education Staff Input through Focus Groups</b> |  |   |
|---|--|---|
| <b>Focus Group: Teachers/Aides</b>  | <b>Focus Group: District Staff</b>     | <b>1:1 Meetings</b>   |
| Clerical Staff: Special Education (5)   | Designated Instruction Specialists (9) | Superintendent  |
| Elementary Special Education Teachers (34)                                    | Principals (10)                        | Deputy Superintendent, Business<br>Budget Analyst: Special Education  |
| General Education Teachers (5)  | Psychologists (12)                     | Associate Superintendent, Education Services  |
| Secondary Special Education Teachers (20)                                     | Speech and Language Specialists (12)   | School Board Members (5)  |
| Instructional Aides (15)  | Other Specialists (6)                  | SELPA Director<br>Fiscal Analyst, SELPA   |
|   |  | Director, Personnel<br>Coordinators, Personnel (2)  |
|   |  | Director, Research, Evaluation & Technology<br>Director, Student Services and Compliance  |
|   |  | Interim Special Education Directors (2)<br>Coordinator of Special Education<br>Interim Co-Directors of Special Education (2)<br>Program Specialists (3) |
|   |  | CSEA President<br>Teachers Association President  |
|   |  | Nurses (2)  |
|   |  | Psychologist (1)  |
|   |  | Teachers (2)  |
| <b>Total: 79</b>  | <b>Total: 49</b>                       | <b>Total: 31</b>  |



# Parent Participation and Communication

## *Parent Involvement*

Implicit in national educational Goals 1 and 8 (Goals 2000: Educate America Act, public Law 103-227) is the concept that family and school are partners in prevention of school failure for children. Family-school relationships have been identified as a primary domain of protective factors for children, particularly those living in high-risk circumstances (Weissberg & Greenberg, 1998). Children who are identified with special needs require a high level of participation and communication between home and school. Parent participation and communication in the Santa Barbara School Districts is lacking, resulting in due process actions, noncompliant IEPs, inappropriate instructional programs provided to students, and a high level of frustration among many parents.

Survey results reveal that most parents felt they were receiving consistent communication (64%), that the school was responsive to them (73.9%), that they knew who to contact to get special education issues resolved (77.5%) and that they had a solid, trusting relationship with the special education department (71.8%). In contrast, parents who attended the sessions scheduled for this study reported that calls or e-mails are not returned in a timely manner, or not responded to at all. There is also a lack of understanding among these parents about who to call to get problems resolved. They reported a lack of clarity about who is in charge of managing the special education program for the Santa Barbara districts.

An example of the communication problems in the districts arose at the parent input meetings scheduled for this study. District administration reported that all special education parents were invited to attend feedback groups and that information about the meetings would be on the districts' Web site. At the meeting some parents reported that their child brought home an invitation to the meeting, while others had not received the invitation. Most of the parents attending the meetings reported that they found out about the meeting in an e-mail from another parent. No information about the meetings was posted on the Web site. Information about later parent meetings was posted by district staff.

According to parents who attended the meetings, it is extremely difficult to get a timely response to phone calls or e-mails from the department and school sites. Parents expressed a high degree of distrust with the districts due to a lack of open communication and dialogue. There is a lack of consistent direction from the special education department in that parents reported that the same question could get very different answers depending on which district employee was asked. Family members who differ in terms of culture, values or language are more hesitant to interact freely and openly with school personnel. Many parents view the school as an institution that is unwelcoming, distant and inflexible. They reported a lack of communication between 1:1 instructional aides and parents. Through interviews with staff, FCMAT was made aware of instances when aides were told not to speak to parents and were not permitted access to the student's IEP. There is a lack of coordination between the schools and other agencies such as Mental Health and Regional Center.

## Recommendations

*The districts should:*

1. Develop repeated contacts and interactions with parents to improve trust and communication skills.
2. Consider the following actions to promote trust and improve communication:
  - a. Accept parents as they are
  - b. Share information and resources
  - c. Follow through on promised actions
  - d. Discuss objectives openly
  - e. Prepare for meetings with parents
3. Explore available options for updating parents regarding special education issues through e-mail, telephone contact, parent meetings, etc.
4. Provide training for principals on disability awareness and cultural diversity to ensure that families of students with disabilities feel welcome on the campus. Annually monitor success in this area through parent input sessions, surveys or other appropriate methods.
5. Ensure that parents receive timely and consistent responses from the districts on all special education matters.
6. Establish special education department procedures on effective communication strategies for 1:1 aides and parents.
7. Define the roles and responsibilities of instructional aides and communicate with parents so there is a clear understanding of expectations.
8. Meet at least annually with both mental health and local regional center staff to open dialogue, address school, agency and parent concerns and evaluate the effectiveness of the transition process between schools and agencies.
9. Strive to convey at least three consistent themes to families:
  - a. The desire to develop a working partnership with families
  - b. The crucial nature of family input regarding children's educational progress
  - c. The importance of working together to identify mutually advantageous solutions to problems
10. Develop effective two-way communication. Parents and teacher can then be informed of what is expected relative to student behavior, achievement and discipline. This will result in shared goals and mutual decision making; avoiding misunderstandings and helping parents understand how to reinforce learning and school instruction in the home.



11. Encourage parents to visit school sites regularly and talk with the principals and teacher regarding their child's educational setting.
12. Ensure that principals take a leadership role in ensuring all children are treated equally and fairly on their school campus, as they are required to do by federal and state statute.
13. Develop a clear, welcoming parent involvement policy, and publish and post it in an obvious location in each school site in the districts.
14. Display welcome signs in various languages.
15. Ensure that the school office is friendly and open.
16. Organize the school so that each special education child is known well by six people.
17. Provide a parent contact person responsible for connecting parents and educators at each school site.
18. Post a school map to help visitors find their way around the school buildings.
19. Arrange children's work and photographs in the main hallways. Be sure to include special education and general education students together.
20. Consider setting aside a room for parents to meet informally or formally to discuss concerns or issues. Have a district staff member available to answer questions or give support.

### *Effective Resolution of Complaints and Litigation*

In prior years the SELPA was responsible for due process, including potential litigation. The SELPA office hired the attorney and attended any mediation or due process hearing. Although the districts were responsible for implementing the mediation or due process decision, they were not responsible for attorney fees. This is no longer the case, and the districts now work with two legal firms for special education issues.

Many parents complained that the SELPA is not supportive of the districts. FCMAT found that there is distrust of the SELPA and a lack of understanding of the role of the Santa Barbara County Office of Education and the Santa Barbara SELPA.

The SELPA still has a legal pool for districts to access in due process cases that is based on the district's average daily attendance (ADA). For Santa Barbara, the amount available is considerably smaller than in past years. During the 2008-09 school year the districts have had four due process cases filed with the Office of Administrative Hearings. Two cases are resolved, two remain open and there are 12 potential cases. This represents an increase in due process requests over previous years.

In addition, there is a rise in the number of formal complaints during the 2008-09 school year. Parents report that the majority of these complaints are related to the failure to

provide timely services. The rise in due process and formal complaints likely indicates increasing parent frustration and lack of confidence in the district. It also highlights the lack of an informal process to resolve special education issues.

#### Formal Complaints

| Complaints 2006-2/23/09 |        |  |
|-------------------------|--------|--|
| Year                    | Number | Outcome  |
| 2006-07                 | 3      | 2 in compliance, 1 closed  |
| 2007-08                 |        | No records provided  |
| 2008-09                 | 7      | 6 corrective actions or mediated agreements<br>1 resolved through informal mediation |

The special education department reported that this year attorneys representing the districts have been requested to attend more IEP meetings than in prior years. In some cases, school site staff reports that the presence of the attorney has enabled the IEP to progress more efficiently and effectively. It was reported that in other cases, the presence of the attorney has led to a more acrimonious IEP meeting. Attorneys should be used for IEP meetings only after all other reasonable measures have been exhausted.

Parents have reported to FCMAT that IEP meetings can be contentious, with parents not being considered part of the team. Staff that are responsible for conducting and facilitating IEPs, including special education district office staff, site principals, assistant principals, and site certificated staff have not had any training in conducting effective and collaborative IEP meetings. The districts arranged for principals to receive training on collaborative IEPs in May 2009.

The process, including timelines, for filing a complaint or a due process is available to parents through the CDE's Special Education Web pages, and is in the information given to parents in their Parents' Rights. Although parents receive a copy of the Parents' Rights at the IEP meetings, they are not on the districts' Web site or contained in a user-friendly brochure. The due process/complaint procedure is unclear to staff and principals. School sites recognize that complaints and due process actions are handled by the districts' special education department, with little or no involvement of the school site. The school site staff does not always understand why decisions were made at the district level regarding the final outcome of a complaint or due process hearing.

At this time, the districts do not use any form of alternative dispute resolution (ADR) to resolve issues in special education informally. The districts are in the process of hiring a resource parent to facilitate open communication for parents in the special education process. The position of resource parent is often one facet of ADR and is very helpful to parents trying to navigate through the complexities of special education.

ADR involves training staff, community members and parents to resolve disputes between the district and a parent that would otherwise be resolved through due process. ADR does not take the place of due process, nor does it prevent either a parent or a

district from filing a due process action. The intent of ADR is to resolve the dispute informally while maintaining a working and non-adversarial relationship between the parties. Advocates and attorneys are not allowed in ADR sessions.

Although the specifics of an ADR process vary from one district to another based on the unique characteristics of each entity, the Santa Barbara SELPA Director can assist the districts in contacting other districts and SELPAs that have an ADR process. Additional information, including forms, is included in Appendix B to this report.

Because of the systemic problems found in special education at the district and school site levels, the districts may need to consider utilizing the support of an ombudsman in special education for a minimum of one year. Many private organizations and government agencies use an ombudsman to provide mediation for conflicts, track problem areas and make recommendations for changes to policies or procedures. The ombudsman role differs significantly from the resource parent role. It should be structured to function independently of the special education department and school sites, reporting directly to the superintendent and school board without serving any other role in the organization.

The ombudsman must remain neutral and visibly outside ordinary line and staffing structures in the organization. The ombudsman operates informally but with absolute confidentiality.

## ***Recommendations***

*The districts should:*

1. Develop a Frequently Asked Questions and Answers section on the special education Web page to assist parents with common questions.
2. Consider hiring an ombudsman for special education for at least one year to build trust and confidence in the system between parents and the district.
3. Establish a special education department e-mail address and phone line so that parent questions or concerns can be addressed. This can be monitored by the resource parent.
4. Develop a regular schedule for special education district office staff to meet that includes time to review questions from sites and parents.
5. Develop a written process to determine when a student on an IEP requires additional services. Decisions should always be based on appropriate formal and/or informal assessments.
6. Develop with the SELPA a streamlined process for referrals to regionalized programs. Train all appropriate staff on the process and develop a method to keep site staff and parents informed of the status of the student's referral.
7. Conduct legal staff meetings prior to an IEP when additional resources may be discussed so that decisions can be made as required at the IEP meeting. This

would reduce the number of IEPs that either the districts' attorney or the special education district office staff needs to attend, reduce delays in resolving issues and empower IEP teams.

8. Develop a process so that the special education management staff is available to attend IEP team meetings to assist in resolving complex issues when needed.
9. Provide a district attorney for an IEP team meeting only after all other avenues have been deemed ineffective. The districts' attorney would be involved in due process hearings and unusual CDE complaints
10. Train staff that regularly attends IEP meetings, including special education teachers, DIS staff, and site administrators, in methodology for effective IEP team meetings, such as the upcoming training on collaborative IEPs.
11. Train IEP administrators and administrator designees in legal requirements of special education so they can effectively chair IEP team meetings.
12. Develop a process so that site staff understand their role in due process and are involved in decision-making at the resolution meeting and mediation levels.
13. Provide support for the new resource parent that will enable them to direct parent questions to the most appropriate staff, provide general information to parents regarding the IEP process, and follow up with parents regarding their inquiry.
14. Research the feasibility of instituting an ADR process and implement an ADR program as deemed appropriate by the districts.

### *District Outreach*

Interviews and survey results reveal that there is no coordinated district outreach to parents of students with disabilities. The districts had previously sponsored a parent group called Special Education Parent Advisory Committee (SEPAC) but the group was disbanded because of reduced parent participation. According to staff and parents, the SEPAC had become dominated by a small group that made other parents feel it was not an effective forum for communication and problem solving.

A new parent group recently formed the Special Education Advisory Committee (SEAC). This group was not organized or sponsored by the district, and the parent organizers are responsible for running the group. This has led to confusion about the role of the group, membership, effectiveness and how other parents can participate. However, the SEAC group is very committed to working with school personnel and the school board in improving services to special education students. They should be recognized as an important group to foster communication and services to children.

Most parents who responded to the survey (68%) were not aware of opportunities to participate in support groups or parent trainings.

Opportunities for parent training are further limited by the Parent Training and Information Center (PTI) in the Santa Barbara area. PTIs are prescribed by the Individuals with Disabilities Education Act (IDEA) and funded by the U.S. Department of Education. Under IDEA, PTIs are required to provide parents of children with disabilities (including low-income parents and parents of children with limited English proficiency) with training and information on disabilities, rights, parent support groups and other resources.

The PTI for Santa Barbara County is Team of Advocates for Special Kids (TASK). TASK is based in Anaheim and serves counties from San Diego to San Luis Obispo. Unfortunately, TASK does not have an office or currently provide any training in Santa Barbara or Ventura counties. TASK does have an office in San Luis Obispo and had only one training scheduled at the time of FCMAT's fieldwork.

The districts' Web site is not constructed with meaningful communication and outreach in mind. The site does not convey a feeling of community, particularly with the Spanish-speaking population. An initial site window should offer the option of using English or Spanish. Instead, the window opens to a cluttered Web site in English, with the choice for "Español" in a very small red font at the bottom left. When the special education pages are viewed in English, extensive information is provided. In Spanish, however, a PDF file of the parental rights statement is the only information provided.

Open, two-way communication is essential to an effective home-school partnership.

## Recommendations

*The districts should:*

1. Establish a district-sponsored advisory group coordinated by the Executive Director of Special Education using guidelines approved by the Governing Board.
2. Require the advisory group to provide a monthly report and an annual executive summary to the board. Allow the advisory committee to speak periodically at board meetings to review and discuss concerns parents have regarding appropriate delivery of services.
3. Ensure that the advisory board has a balanced representation of the range of disabilities, age/grades of students, and ethnicities.
4. Ensure that the advisory committee covers a wide range of topics including: curriculum development, fiscal planning, parent concerns, due process, legal rights of parents, the role of the site principal in special education, the role of the parent in the IEP process and general parent training. The advisory committee should do a follow-up parent survey and needs assessment to determine parent training needs.

5. Require the Executive Director of Special Education to provide information on special education to the public information officer to ensure it is available to all parents.
6. Require the special education department to coordinate trainings for parents who do not speak English with the District English Language Advisory Committee (DELAC).
7. Contact the PTI to schedule local trainings.
8. Invite parents to visit their child's classroom.
9. Host social events and multicultural celebrations. Have parents who represent the culture come to the classroom and share its importance with students.
10. Document and ask parents about their needs and provide timely responses, both verbally and in writing.
11. Revise the special education section of the districts' Web site to ensure it achieves meaningful communication and outreach to Spanish-speaking families.

# Organizational Review

## Organizational Structure

The special education department administration is directly responsible for additional duties related to general education. In addition to the overall supervision of special education programs and services, the department is responsible for health services, Section 504 and home hospital services. Section 504 of the Rehabilitation Act of 1973 forbids all entities including both public and private schools that receive federal funding to discriminate on the basis of disability. Where schools are concerned those operations involve the education of children with disabilities and employment of a work force. The assignment of health services to special education is not uncommon in other districts, particularly because of the linkage with specialized health care services provided to students with disabilities.

Within the past year, the districts also assigned the supervision of Section 504 to special education along with the supervision of home hospital services, which is primarily a function of general education. Both programs were previously supervised by Education Services.

A comparison of similar school districts indicates that Section 504 is supervised by special education in five out of the 10 districts (Appendix C), and that only Santa Barbara School Districts are assigned home hospital.

The districts should reconsider the assignment of additional supervisory responsibilities to the special education department until leadership changes have been made.

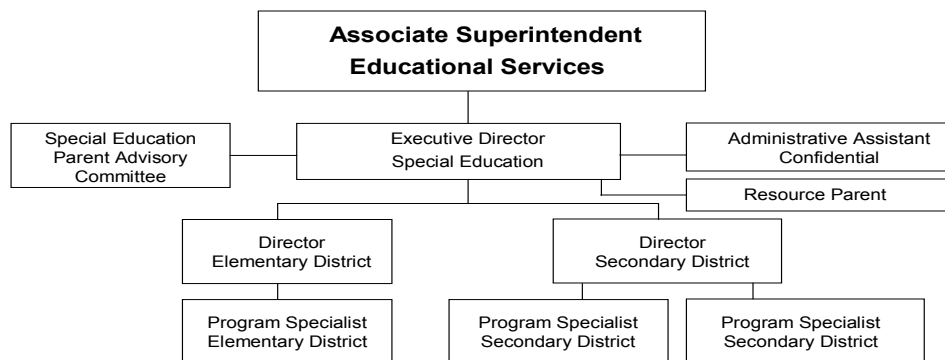
Santa Barbara has fewer special education supervisors than most comparable districts. The average number of special education supervisors (directors, coordinators, program specialists, other supervisors) in comparable districts is 4.7. This does not include additional program specialist or supervisory support provided through the SELPA. Santa Barbara has 3.5 supervisors in special education. It should also be noted that the 2.5 program specialists are used primarily as case managers and do not provide the same type of service as typical program specialists.

| District      | Staff         | Special Ed Enrollment | General Ed Enrollment |
|---------------|---------------|-----------------------|-----------------------|
| Santa Barbara | 3.5           | 1873                  | 15,696                |
| Burbank       | 8.0           | 1698                  | 16,586                |
| Lake Elsinore | 3.0           | 2366                  | 21,764                |
| Lompoc        | 2.5           | 845                   | 10,329                |
| Napa Valley   | 7.0           | 2084                  | 17,771                |
| San Marcos    | 4.8           | 2181                  | 17,851                |
| Santa Clara   | 6.0           | 1760                  | 14,719                |
| Tustin        | 5.0           | 2063                  | 21,682                |
| Upland        | 1.0           | 1176                  | 14,354                |
| Ventura       | 6.0           | 1917                  | 17,374                |
|               | Average = 4.7 |                       |                       |

The administrative resources in the special education department should be redesigned to provide greater efficiency in direction and support to the school sites and parents. Special education must take a leadership role and overall responsibility for program design and compliance with standards, including instructional programs designed to maximize student performance.

The structure designed below outlines the primary role of the Executive Director (see Appendix D-1), two directors who focus on elementary and secondary programs and services (see Appendix D-2) and three program specialists who work directly with school site staff providing staff development, curriculum support, etc. (see Appendix D-3). Communication must be a high priority, with clear guidelines on response time and appropriate methods of delivery to rebuild confidence and trust in the department.

### Santa Barbara School Districts Special Education Reorganization Chart



### Recommendations:

*The districts should:*

1. Assign overall management responsibility for the operations of special education and health services to an Executive Director who reports directly to the Associate Superintendent for Education Services.
2. Assign management of the day-to-day special education operations to a position (elementary or secondary) that reports directly to the Executive Director.
3. Realign the job responsibilities of the program specialists to provide instructional leadership to programs and services for students with disabilities at school sites and ensure effective departmental communication.



4. Create a systematic supervision plan for special education. During the implementation phase, have the Executive Director report directly to the Superintendent.
5. Schedule regular reports to the board by the Superintendent on the progress of the reorganization and action plan for special education.
6. Begin recruiting for new special education leadership positions in the early spring to secure the best candidates for these positions.
7. Establish operating guidelines that require all calls and e-mails to be returned within 24 hours. If an answer is not immediately available, make contact to let the person know when they will receive a response.
8. Move the supervision of Section 504 back to the Director of Student Services for at least two years.
9. Move the supervision of home hospital back to Educational Services.

### ***Administrative Structure and Operation***

In reviewing the top administrative positions in the special education department, FCMAT focused on ways to ensure consistent accountability and oversight to restore public confidence.

The special education department organizational structure is not efficient or effective. There has been a lack of leadership stability in the special education program because of high turnover in the director's position. Over the past eight years the districts employed seven directors of special education. The last two directors did not provide the necessary leadership and guidance needed in the special education department. This has led to inconsistency, disorganization, confusion with policies/procedures and a lack of direction for school sites. Parents expressed a high level of frustration with the districts. The staff expressed equal frustration and a lack of confidence in the management and direction of the special education programs.

FCMAT contacted seven of the previous directors to gain an understanding of the reasons for the high turnover rate in this position. Five former directors were interviewed, and two did not respond.

Several common themes emerged. For some, the reasons were related to personal life choices due in large part to the high cost of living in Santa Barbara and the desire to explore options outside of special education leadership. However, there were four major reasons of a professional nature:

1. The special education department was understaffed, leaving the directors unable to perform the duties of the position with the desired level of professionalism.
2. The position did not have the authority to make final decisions. When unpopular decisions were made, they could be overturned at a higher administrative level. As a result, the directors did not feel supported by the administration.

3. The implementation of decisions for special education was often delayed because of a layered decision-making process in the districts' administrative structure.
4. The time required to respond to complaints and due process filings significantly impeded the overall effectiveness of the department.

Statements received from parents and other individuals in the community show a very strong undercurrent of mistrust in the districts' leadership, particularly with regard to special education programs. Further, communication and common understanding is lacking on the part of school site leadership and the families served regarding realistic expectations for special education. Many parents are frustrated and do not trust the school site leadership that oversees their children's programs. Examples of that mistrust include:

- Principals not including special education students in the culture of the school
- Principals' lack of understanding of special education laws and procedures, particularly around the IEP process and implementation
- Lack of general education and special education articulation
- Unequal access to general education curriculum and supplies at some sites
- General education teachers and principals not being inclusive of special education children
- No information on student progress given to parents of students with disabilities
- Parents of students with disabilities feel disconnected from the school site and are intimidated about sharing their concerns

There is a conflict of leadership roles and responsibilities between the special education program staff and site principals. The staff reports confusion over who is charge of special education, with mixed messages coming from both principals and the district staff in special education. The districts do not have a clear vision for the provision of special education programs and services and no distinct definition of roles and responsibilities of the sites vs. the districts regarding special education.

There is no special education procedural manual, which enhances the confusion for staff. Training and support opportunities for teachers and aides are limited. Throughout FCMAT's interviews with staff there was a prevailing theme of frustration over a lack of training. The concern centered around the lack of opportunities to access training for both teachers and aides as well as the lack of quality training to provide appropriate services for students.

With each new special education administration, the special education staff feels like they are starting over with new priorities and procedures. The program specialists function as case managers rather than in the traditional role of guidance and support for special education services.

Parents reported problems with the IEP process and service delivery issues that directly relate to the inconsistency in leadership and lack of procedural guidance, as follows:

- Lack of training for certificated and classified personnel that work with specific behavior disorders
- Inadequate transition process from K-6 to 7-12 in curriculum, services and supports
- Delays in services listed in the IEP; parents reported delays of two to six months before aides are hired and provided
- Lack of training for staff on behavior disorders and autism
- Consistent delays in IEP timelines
- Lack of training on the IEP process for parents and staff
- No evidence of inclusion training for general education
- No communication regarding 504 plans

The districts must clearly define operational guidelines for a centralized program such as special education in a decentralized system of site-based management. Both staff and parents need to know who is in charge. The roles and responsibilities of the principals and special education administrative staff must be defined. The department must have a clearly defined vision and deliver a consistent message across the districts and community regarding special education programs and services. This vision must be developed in collaboration with all stakeholders and is discussed in greater detail in the program review section.

The clerical support staff is not organized to maximize efficiency and effectiveness. They work hard to try and respond to questions and concerns from staff and community without the expertise to do so. In the absence of consistent leadership, the staff works diligently but with little direction.

To establish stable leadership, the districts must reorganize the department by position and reporting structure. Special education administration must have the authority to appropriately supervise and make decisions regarding the work of the department. When the reorganization is complete, the department must be held accountable for developing a consistent message and response regarding special education matters.

## ***Recommendations***

*The districts should:*

1. Adopt a board-approved special education vision statement and policy with a commitment that all children receive a free appropriate public education. This policy development should involve parents, staff and community.
2. Ensure that all items listed as concerns by parents in the report are addressed by the school board, with an action plan submitted by staff showing who is responsible for implementation, the timeline and the costs involved.

3. Formulate a staff development plan based on a needs assessment, with input from parents, teachers, principals, instructional assistants, and general education staff. Implement the plan for the 2009-10 school year.
4. Provide opportunities for general and special education teachers to meet regularly regarding special education processes and develop effective communication strategies to assist children with exceptional needs.
5. Establish monthly job-alike meetings for special education staff.
6. Take immediate action to improve the hiring practices for special education staff. Specifically, explore options for increasing efficiency in the hiring process for instructional aides to decrease the lapse in time from hire to start date.
7. Develop interim strategies to fill open unfilled instructional aide positions with trained staff until a permanent employee is hired. Consider creating a pool of floater aides that are fully trained to fill positions on an interim basis.
8. Update the districts' Web site to include current information about special education, with highlights in Spanish.
9. Establish the parameters of authority for special education leadership, which should be supported and communicated by the Superintendent to all departments and school site administrators.
10. Streamline the decision-making process for special education in the districts to include the necessary interdepartmental communication between personnel, finance, school site principals and staff.
11. Define the roles and responsibilities of principals and district special education administration. Develop a plan to effectively communicate those roles and responsibilities to the school site staff and parents.
12. Develop a system for disseminating a consistent message regarding special education policy and procedures. Accomplish this through a published and regularly updated procedural handbook, agenda items at job-alike meetings, agenda items at principal meetings, or staff training for major changes. Set a target goal for year one of the action plan that builds in accountability standards for special education to maintain a consistent message regarding policy and procedures.
13. Establish operating guidelines that provide direction and support to administrative staff and are communicated to all staff, including principals.
14. Develop a comprehensive Web page for special education that provides parents and community members with a user-friendly resource.
15. Provide training and support to all site principals regarding special education procedures and the IEP process.

## *Staff Morale*

FCMAT gathered input on special education staff morale in a variety of ways. More than 50 teachers were interviewed in groups and individual settings. Some teachers chose to submit written statements regarding their concerns and feelings about staff morale. In addition, FCMAT mailed an informal survey to 329 teachers and instructional aides in the district, with 149 staff members responding. A copy of the Staff Morale Survey can be found in Appendix E. The results showed that 80% of the staff rated staff morale in the special education department as low. The staff feels valued by the community (70.6%) and the students they serve (90.5%), but only 25% feel valued by the districts.

FCMAT found that the low morale in the districts is caused by several factors:

1. Lack of clear communication of expectations, largely attributable to the turnover in administrative staff. Consistent direction is not provided on policy and procedures.
2. Lack of administrative support from the district office. Communication is poor and indecisive at the district level. The decision-making process is not clear.
3. Frequent changes in special education leadership. Procedures change frequently and are inconsistent.
4. Teachers do not have the resources and methodologies they need to support the needs of students.
5. The increased workload due to changing requirements with the IEP process and paperwork has limited time for planning and collaboration.
6. Lack of staff development for both teachers and instructional aides.
7. The special education staff is uncomfortable addressing concerns for fear they will be involuntarily transferred or experience another form of retaliation at the site or district level.

Several recurring themes were expressed that the staff believes can positively affect special education staff morale:

1. The support of other colleagues in both general and special education
2. Mutual respect for special educators among district colleagues and administrators
3. Student achievement
4. Parent support for special education in the community
5. Adequate facilities, equipment and supplies
6. Training and ongoing support

## Recommendations

*The districts should:*

1. Set the improvement of special education staff morale as a priority for the new special education administration and the districts.
2. Cultivate strong collegial supports for special educators, with particular attention to the relationships with general education teachers. Accomplish this at the site on staff development days and at the district level at least two times per year.
3. Hold job-alike meetings at least four times per year so special educators can connect with department colleagues to share ideas, celebrate successes, and problem-solve complicated cases.
4. Consider an annual special education staff recognition event sponsored by the newly formed Special Education Parent Advisory Committee to honor teachers and instructional aides who provide exemplary service to students.
5. Complete a district review of the facilities, equipment and supplies available to the special education staff and make recommendations for improvement.
6. Explore options through the county office of education or SELPA to provide training and support to special education teachers.
7. Provide teachers with a forum to exchange ideas and suggestions with the new special education leadership.
8. Develop strategies to ensure that the environment in special education is open and transparent to minimize the fear of retaliation that currently exists.
9. Evaluate special education staff morale annually.

## Special Education Local Plan Area (SELPA) Formation

FCMAT was asked to determine the feasibility of the districts forming their own SELPA, including the associated expenses or cost savings, liability and compliance issues. FCMAT compared the Santa Barbara County SELPA model to two other like-sized SELPAs and found the basis for distribution of funds to be very similar. Because the districts are declining in enrollment, it would not be fiscally prudent to move from the SELPA at this time. A statewide trend shows that as the districts' general education enrollment continues to decline, the number of special education pupils may not. The current funding model used by the SELPA districts appears to be fair and appropriate. The districts should continue to participate in the SELPA based on current factors.

In the future, when efficiencies and proper processes and procedures have been developed for the special education programs of the districts and are fully functional, the districts may want to reconsider forming a SELPA.

## Recommendations

*The districts should:*

1. Continue to participate in the Santa Barbara County SELPA. Reconsider becoming a single-district SELPA when stable leadership and efficient, effective processes and procedures are in place in special education, and when enrollment is stable and increasing.

## Regional Program Operation

FCMAT was asked to consider whether or not the Santa Barbara School Districts should operate more regional programs for the SELPA. These regional programs are currently operated by the Santa Barbara County Office of Education, and most of the students enrolled in these programs are residents of the districts.

The regional programs serve students with disabilities that create educational needs requiring the most labor intensive services. Consequently, the direct program costs associated with serving these students are quite high. However, the Santa Barbara COE's direct program cost per student with severe disabilities (\$56,489) is almost twice as high as Santa Barbara Schools' costs (\$28,956).

Without access to the fiscal information, FCMAT could not determine what factors drive the COE's costs so much higher. Two observable and contributing factors are the labor-intensive nature of the students served in the COE programs and the method utilized by each agency to code expenditures, particularly administrative and supervisory expenditures.

The state's COEs tend to serve the most severely impaired student population. They often require a number of specialized services involving more experienced professionals and support staff than students who are more often served in classes operated by school districts. This pattern is also found in Santa Barbara, with one glaring exception: students who externalize their emotional disturbance through disruptive behavior are apparently excluded from the COE programs for students with emotional disturbance. If they, too, were in classes operated by the COE, the direct program cost per student would even be higher. In turn, the direct program cost per student for Santa Barbara Schools would probably be lower.

It does not appear, then, that the population, by itself, is the driving force behind the much higher direct program cost per student rate. The other significant factor is administration and supervision. Districts tend to rely on their site administrative staff for supervision of special education programs and staff. COEs, on the other hand, do not outsource this resource to sites, and the geographic region in which their programs are provided is far greater than is found in a school district. Consequently, the administration and supervision costs always tend to be higher for the COE than for a district. Usually this can be compared by reviewing Goal 5001 (Unspecified) with Function 2100 (Instructional

Supervision). Unfortunately, this information was not fully available from the COE during FCMAT's analysis. The information that was available showed that the COE did not code any expenditures in Goal 5001.

All the usual unspecified goal expenditures were charged to specified goals 5060 (Program Specialist), 5710 (Infants and Toddlers), 5730 (Preschool), 5750 (Students with Severe Disabilities, and 5770 (Students with Non-severe Disabilities). There is nothing wrong with this practice, but it makes comparison between entities a little more difficult and requires more in-depth fiscal information than was available to FCMAT. Questions remain regarding the basis for distributing the administrative and supervisory costs over the specifying goals rather than including them all in the unspecified goal, and regarding the staff-to-supervisor ratios existing in the COE program structure. These factors will greatly influence the true cost of regional programs. (A per-student comparison of the Santa Barbara Schools, the Santa Barbara COE, and the Santa Barbara SELPA as a whole can be found in Appendix F to this report.)

Based on this further analysis, FCMAT believes that a case could be made for the districts to consider operating more regional programs. However, the districts have a great deal of challenges to address and that may weigh against any fiscal advantage stemming from the assumption of these programs at this time.

The SELPA has employed a retired SELPA director to review the operation of the regional programs with the idea of improving their cost-effectiveness. His report is expected in the near future, and it would probably be best to consider the issue after his report is received and studied.

Since a program transfer is governed by EC Section 56207, which requires considerable time and planning, such a transfer could probably not occur before the 2010-11 school year. This will permit adequate time to analyze the factors involved and conduct the necessary planning if the decision is made to transfer programs.

## ***Recommendations***

*The districts should:*

1. Wait until the report to the SELPA from the consultant is received and reviewed before further considering assuming the operation of additional regional programs.
2. If a decision is made to take such an action, develop and implement a plan, pursuant to EC Section 56207, to effect the transfer with minimal disruption to services. Ensure that parents are well aware of the action and are urged to participate in the planning.



## Fiscal Review

### *Position Control*

The most significant factor affecting the level of program costs associated with special education in the Santa Barbara Schools is the lack of a systemic structure with adequate centralized oversight in a site-based operation. This results in program operations having insufficient program supervision and inadequate controls on the fiscal consequences.

While there are potential strengths in site-based management of instructional programs, there is also the potential for significant inconsistencies in the provision of services and the manner in which fiscal planning and oversight is implemented. These inconsistencies are greatly exacerbated when the oversight of special education programming is weakened or absent. Problems in the relationships and communication between the special education department and the business and personnel departments have resulted in a considerable loss of cost-efficiency in providing special education services.

The districts do not have appropriate processes or controls in the position control system when hiring, replacing and/or validating special education staff. The Authorization for Employment form and process used by the districts is not always followed and does not result in effective position control. In fact, principals often call the human resources department to request filling a vacancy or opening a new position without completing paperwork or obtaining the approval of the special education department. A related concern is that it can take several weeks for vacant positions to be posted and filled, as there are no formal processes regarding how and when that is supposed to happen. The districts should review the signature requirements on all HR/payroll forms and streamline the process where possible. For example, the Superintendent's signature could be required only for approval of new positions and changes to existing positions rather than for all personnel request forms.

A reliable position control system establishes positions by site or department and prevents overstaffing by ensuring that staffing levels conform to district formulas and standards. The position control functions should be separated so that proper internal controls exist, with a distribution of labor between the business and human resources departments. Effective checks and balances need to exist between personnel decisions and budgeted appropriations.

Processes and controls must be implemented to ensure that only board-authorized positions are entered into the system and budgets, that human resources hires employees only for these authorized positions, and that payroll pays only employees hired into the authorized positions. The proper separation of duties is a key factor in creating strong internal controls to ensure a reliable position control system. After budget development, the position control system and the budget must continue to be updated with the same information; payroll must also be compared against this information.

**Sample Distribution of Labor for Internal Control**

| Task   | Responsibility   |
|--|--|
| Approve or authorize position  | Governing board  |
| Input approved position into position control, with estimated salary/budget  | Business department<br>(include sp. ed. dept. in approving position) |
| Enter demographic data into the main demographic screen, including the following:<br>Employee name<br>Employee address<br>Social Security number<br>Credential<br>Classification<br>Salary schedule placement<br>Annual review of employee assignments | Human resources department   |
| Update employee benefits<br>Review and update employee work calendars<br>Annually review and update salary schedules   | Business department or human resources department                    |
| Account codes<br>Budget development<br>Budget projections<br>Multiyear projections<br>Salary projections   | Business department in conjunction with the special education dept.  |

The Position Requisition form below is useful in the following instances:

- Creating a new position – this requires documentation showing where the funding is coming from and why the position is needed.
- Funding changes – requires documentation for the new funding source.
- Posting a vacancy – requires the name of the employee being replaced.
- Increasing/decreasing FTE – requires documentation either way. Decreases could result in layoffs.
- Eliminating a position – complete the justification area. This section could result in layoffs.
- Request for long-term help/substitutes – (a) If a classroom teacher will be out on long-term leave (more than one semester), approval may be requested for a long-term substitute/temporary teacher. Documentation is required. (b) If substitutes are being requested for in-service training or other site activities that are not related to a teacher's absence, this form must be completed and a site budget code provided for charging the expenses.



## Recommendations

*The districts should:*

1. Use a personnel request form that is routed for appropriate approval signatures prior to hiring taking plan (see sample above).
2. Review signature requirements on all HR/Payroll forms and streamline the process where possible.
3. Use a position control system that guards against hiring FTE outside of budget constraints.
4. Establish open lines of communication between personnel, special education and the business office. Task the Business Office with providing data and reports to the Superintendent and Cabinet.
5. Develop a process that includes the special education Executive Director's signed agreement to replace or add an aide before personnel begins the hiring process. Use established procedures outlined on the Authorization for Employment Recruitment/Replacement form. Include a section for special education approval.

## Budget Monitoring

The special education department does not monitor the special education budget. Budget monitoring is essential to the fiscal health of a district. Budgets should show the most current spending plan at all times. Therefore, the special education office needs to be proficient in understanding how to monitor and update the budget. A process for monthly review of special education budgets, both revenues and expenditures, should be developed and followed. This would include completing budget transfers and budget increase/decrease forms as needed. The review should include the balancing of position control to payroll at each interim reporting period (actual as of 10/31 and 1/31 of each year).

The budget must reflect the true budgetary status of the program. Expenditures should not be allowed to be spent unless there are adequate funds available in the specific budget to which the expenditures will be charged. In addition, the budget codes used must be in compliance with the California State Accounting Manual. (See Appendix G to this report.)

A FCMAT review of payroll account codes versus special education staffing lists (i.e., employees' actual positions) revealed that several employees were not coded to the appropriate object and/or program. If revenues and expenditures are not correctly classified, the actual cost of the special education program cannot be fully determined.

Special education budgets are being spent without appropriate controls at the centralized level. As a districtwide program, the expenditure budgets should be developed and monitored by the special education office, with assistance and input from the site administrators. Centralized control would ensure effective and efficient use of all special education resources and could help to reduce the current encroachment level.

## Recommendations

*The districts should:*

1. Collaboratively develop special education budgets for the 2009-10 school year among the business office, special education department and site administrators.
2. Utilize procedures developed by the Superintendent and superintendent's cabinet to ensure that these funds are used to meet districtwide goals.
3. Ensure proficiency with the new special education administration in monitoring and updating the special education budget.
4. Establish an ongoing process for monthly review of the special education budgets to complete budget transfers, balance position control, and determine the budgetary status of the program.
5. Ensure that monthly communication occurs with the Superintendent and cabinet regarding the budgetary status of the program.
6. Ensure that the new special education administration receives training on Standardized Account Code Structure (SACS) codes.

## Facilities Costs

FCMAT reviewed the facilities agreement allocations and found that the current methodology agreed to by the SELPA districts for facilities cost apportionment appears to be appropriate. Under the current methodology, districts are required to supply a number of classroom stations for regionalized programs based on CBEDS counts of public schools in the county. This is compared to the number of classroom stations actually provided by the district. If a district has more classroom stations available for use than is required, they pay a smaller share of the total housing costs. If a district does not have as many classroom stations available as required, it will pay a larger share of the housing costs.

As of the 2008-09 fiscal year, the Santa Barbara schools were providing 9.9 classroom stations of the 14.78 stations required by the formula. The Santa Barbara schools have 330 students being served in regionalized programs, or approximately 21% of all its special education students.

If the districts were to provide these programs rather than participating in this consortium, they would need to provide additional classrooms, whether that means using available, empty classrooms (if any) or adding classroom space on campuses across the district. Based on the districts' current overall enrollment and utilization of classroom space, the districts should remain in the consortium. In the future, when efficiencies and proper processes and procedures have been developed for the special education programs of the Santa Barbara schools and prove to be working effectively, the districts may want to consider a different method of providing these services to their students.

## ***Recommendations***

*The districts should:*

1. Remain in the facilities consortium until such time as the efficiencies, proper procedures and process have been developed and implemented with the special education department of the Santa Barbara School Districts.

# Program Review

## *Equal Access Issues*

District-provided data indicates that 60.5% of students in the elementary district and 35.3% of students in the high school district are low income (as measured by district free and reduced lunch data) as compared to 51.8% for Santa Barbara County as a whole. Low-income and Spanish-speaking parents of disabled students are significantly dissatisfied with the special education services their children receive.

Low-income families feel underrepresented and disenfranchised. Specific training has not been provided to staff working with low-income families. Through parent interviews, FCMAT found that parents feel that the districts do not understand the behaviors/intentions of students due to language and culture barriers. As a result, parents believe that their children do not have equal access to special education and related services. This makes parents feel disrespected and that their child's education is not of importance to the districts.

## *Recommendations*

*The districts should:*

1. Assess the training needs of staff with regard to working with low-income families.
2. Provide interpreters and child care at meetings to encourage participation.
3. Provide training to teachers on strategies for working with low-income families.
4. Connect with community organizations that serve low-income families to arrange geographically convenient meeting places and/or transportation to parent meetings.
5. Provide education to staff and families that encourages understanding and celebration of diverse family forms, culture, and ethnicities.
6. Strive to convey at least three consistent themes to families:
  - the desire to develop working partnerships with families
  - the crucial nature of family input into their child's educational progress
  - the importance of working together to identify mutually advantageous solutions to problems
7. Develop effective two-way communication. Parents and teachers can then be informed of what is expected relative to student behavior, achievement, and discipline. This will result in shared goals and mutual decision-making, thus avoiding misunderstandings and helping parents understand how to reinforce learning and school instruction in the home.
8. Seek assistance from Hispanic advocates to facilitate communication.

## ***Mission and Core Beliefs***

The districts' Mission Statement is as follows:

*The Santa Barbara School Districts, in partnership with parents and the community, will provide professional instruction and guidance so that students will:*

Achieve academic excellence.

*Understand and respect diversity,*

*Balance individual interests and civic responsibilities,*

*Participate in an increasingly technological society,*

*Take responsibility for their own learning and development.*

Special education does not have a written mission or philosophy statement for the department. The lack of a clear special education philosophy leaves the districts without a foundation for the efficient operation of a centralized program in a decentralized system. The Santa Barbara School Districts support site based management in each of their schools, but it is not clear how special education fits within that structure. Special education is a large district program, serving 1,819 students with disabilities, with a staff of 329 special education employees. This has led to confusion as to who is in charge of the special education teachers, aides, curriculum and materials.

The roles and responsibilities of the site principals and the special education administration are not defined. No written guidelines or procedures define the operational aspects of special education. Site administrators evaluate the special education staff, including the support staff. Both support staff and some principals strongly felt that the evaluation of the support staff should be the responsibility of the special education department rather than the principals.

Special education must define its role and mission in a manner that aligns with the district philosophy. As part of the philosophy for the department, it will be necessary to include how programs and services will be developed, supervised and supported. The philosophy must define who is in charge of special education. Roles and responsibilities must be clear. A full range of programs and services must be available to students. Without this effort, the department will lack direction and services for students will suffer.

A group of stakeholders generally develops mission statements. In this case, the mission statement and philosophy for programs should be developed by a small group of parents, special and general education teachers, site administrators and the districts' special education administrators. The process to develop a mission and philosophy can be time consuming and laborious. This can be particularly challenging if the parties have had difficulties in the past that have eroded trust, as is the situation in Santa Barbara.



## Recommendations

*The districts should:*

1. Form a committee consisting of representatives from each of the following groups to develop a mission statement for the department and clarify the philosophy of serving special needs students:
  - Parents
  - Special education district office administrators
  - Special education service providers
  - General education teachers
  - Site administrators
2. Contract with someone who is skilled in developing mission/philosophy statements and facilitating groups to provide structure and transparency to the process, which will assist in improving trust between the stakeholders.
3. Present the mission and philosophy statements to the school board for approval.
4. Include the mission statement and philosophy on the districts' Web site and in a special education procedure manual so that all teachers, parents, and community members are aware of the focus for special education.
5. Determine who is in charge of the special education teachers, aides, curriculum, materials, and evaluations based on the philosophy of the department, and ensure that these decisions are clearly communicated to all site administrators, special educators and district office staff.

## Response to Intervention (RTI) Model

The districts' Board Policy 6164.5 addresses student study teams. It establishes the need for a student study team (SST) at each school to identify those students having academic, attendance, or behavioral difficulties, and the strategies and programs that may resolve or alleviate these difficulties. This policy was adopted in 1999, prior to recent legislation regarding response to intervention (RTI). The districts' Administrative Regulation 6164.5 provides general information to each school site on how to establish an SST process. The exact process for a SST differs from one school site to another. A lack of consistency in the SST process results in a student being referred for assessment for special education at one school site, and not referred at another school site.

The districts do not collect any SST data, and there are no definitive guidelines regarding successful SSTs. The SST process is not intended to be the hurdle that must be cleared to refer a student for special education assessment, but is a forum to assist students at the school site so they can succeed without special education.

RTI is a general education function, not a special education function. Currently, RTI does not look the same at each elementary, middle or high school. At some sites it is a “push-in” program. While others have the special education staff working with nonidentified special education students, some have a leveled system of providing reading and/or math instruction with special education staff working with a group of students in the same way that the general education teachers do. Others have a defined pyramid of additional services available to students based on specific assessment, with no special education involvement until the student is referred for assessment. It was reported to FCMAT by district administration that each site principal has had training in RTI. A few sites have had additional training by Elk Grove Unified School District or University of California, Santa Barbara. Principals do not have specific directions on how RTI should be implemented or the role of special education in the process. The districts have no consistent model for RTI, with each school providing its own version or model.

Training has been provided in Advancement via Individual Determination (AVID) to many of the secondary general education teachers. At some of these sites the special education teachers were included in the training. The special education teachers that have been trained are expected, by their site administrator, to use the AVID strategies in the Intensive Instruction (II) classes. However, not all sites are incorporating AVID strategies, not all special education teachers were trained, and materials are only available to special education teachers when their principal makes them available. The special education department has not been involved, and in some cases is not even aware of the training that special education teachers have received at their school site.

The districts’ psychologists do not use RTI as part of the decision-making process for special education. The state has not developed criteria or policies for using RTI to determine eligibility for special education. Therefore, the psychologists continue to use the traditional discrepancy model to determine eligibility even at the sites that are implementing RTI.

The identification rate for students with disabilities in the 2008-09 school year is higher in the Santa Barbara School Districts than it is in Santa Barbara County and the state. The philosophy behind RTI programs means that effective use of RTI should decrease the percentage of students identified for special education. That has not happened in the Santa Barbara School Districts, despite the implementation of RTI. The districts need to examine the process for identifying students with disabilities.

#### **Identification rate for students with disabilities from CASEMIS 2008**

| <b>District</b> | <b>County</b> | <b>State</b> |
|-----------------|---------------|--------------|
| 12%             | 10.4%         | 11%          |

## Recommendations

*The districts should:*

1. Establish a districtwide student study team process at each school to reduce the likelihood that a student is treated differently at one school site than another.
2. Train all sites on the SST process.
3. Include in the districtwide SST process a consistent method of documenting:
  - The levels of RTI operating at the school
  - The specific data collected through RTI
  - The criteria for referring for a special education assessment
4. Collect data from all sites to determine the effectiveness of the SST process. Data would include:
  - The number of students discussed at SSTs
  - The number of students assessed for special education
  - The number of students who were assessed and found eligible for special education
5. Include special education teachers in all RTI, strategy instruction and academic training provided to general education teachers as appropriate for their grade level and subject matter.
6. Ensure that all special education teachers have the appropriate materials to implement the trainings.
7. Train all psychologists on how to use RTI as part of the decision-making process for referral to special education, not as a substitute for the discrepancy model but to further demonstrate the eligibility for special education.
8. Evaluate the effectiveness of current Response to Intervention strategies that impact the identification rate for special education.

## Staffing Ratios, Class and Caseload Comparison

The special education department was unable to provide an accurate staffing list that reflected the total FTE funded by special education, the class sizes and caseload numbers. On further review, FCMAT found that staffing lists are available through personnel and finance, but neither can verify the numbers used in special education. The review of staffing ratios is based on the information gathered by special education during this study. The accuracy of that data can impact the overall findings.

The districts' philosophy of site-based management drives a decentralized approach to staffing in the special education department. All special education teachers and aides are

hired, supervised and evaluated by the school principal. The special education department has no oversight responsibility for maintaining staffing ratios. It also has no authority to establish the accountability to ensure that program and caseload size is balanced to ensure the provision of special education and related services to students.

The districts do not offer a full continuum of special education programs and services. All students are assigned to their home school, and each school is required to design programs and services to meet a wide variety of needs. The model is reportedly based on a learning center model, but through interviews with staff and parents FCMAT found that for the most part, students are fully included with aides. These aides are not always fully trained to support students with disabilities in such an integrated manner.

In a letter to the field dated March 27, 2009, Jack O'Connell, State Superintendent of Public Instruction, provides guidance to districts regarding the basic legal requirements for service delivery for students with disabilities (see Appendix H). The letter outlines the need for districts considering changes in service delivery to ensure that the statutory requirements of state and federal law are followed. Other requirements include that teachers must meet IEP goals and are appropriately credentialed and meet highly qualified standards, and that personnel costs can be shared in a pro-rated manner based on instructional time. SELPAs are reminded of the obligation to ensure that a continuum of program options is available to meet the needs of students with disabilities. Santa Barbara School Districts do not have a full continuum of program options in at least two disability areas, nor are those options available in the SELPA.

The programs for emotionally disturbed (ED) and autism populations require more intensive services than are available at the school sites. Parents and staff stated that there is a high need for ED programs that focus on students with externalizing behaviors and specialized programs for students with autism requiring intensive services.

Parents also value continued placement of students with disabilities at the home school. However, intensive programming such as programs for students with autism and emotional disturbance are costly and require staff with specialized training. It is not feasible to create this range of service in every school. To successfully meet this challenge, the districts and parents will need to work together to develop successful programs and services. The SELPA shares a responsibility to ensure that a full range of programs and services are available, and should also be involved in the discussion regarding service options.

## **Nursing**

The statewide average for nurses in California is one nurse to 2219 students (1:2219). The districts' ratio is 1:3924. Like most districts, Santa Barbara uses a consultation model for health services, with trained health technicians supervised by credentialed school nurses. The averages above relate only to the ratio of credentialed school nurses to students. In addition to general education duties, the nurses perform assessment, specialized health care, training and support to students with disabilities. Increasing the nursing FTE by three positions would reduce the ratio to students to 1:2242, which is more in line with statewide staffing.

## Staffing Ratios

In the absence of a clearly defined staffing formula, FCMAT analyzed staffing ratios based on the program function codes to which the special education staff is coded. Although the districts use a learning center model, teachers are coded as either RSP or SDC.

The average RSP caseload is 22.8 students. The Education Code prescribes a cap of 28 students per resource specialist. The Santa Barbara teacher contract specifies a maximum of 28 students per special education teacher. The districts are well within the range and legal requirements for RSP.

The average SDC caseload is 20.8. The teacher contract specifies a maximum of 28 students. School Services of California (SSC) guidelines are 12 students in SDC at the elementary level and 12-15 students at the secondary level. The districts clearly exceed this guideline because of the learning center model. The districts should continue to evaluate the effectiveness of this model and ensure that the needs of all special education students are met. The needs of students must drive the model rather than the model driving the programs and services.

FCMAT incorporated all ED and all transition programs into the calculations for severely handicapped programs. The average caseload in SDC SH is 11. The SSC guidelines average 8-10 for most low-incidence areas and 10-12 for developmentally delayed.

Adapted physical education (average 52) and visually impaired (average 21.3) are well within the SSC guidelines.

The deaf and hard of hearing (DHH) average caseload is 6.7. The SSC guideline is 10-30; however, district staff indicated that the services are spread out over a wide geographical area. Based on this need a lower caseload is justified but should be closely monitored.

The ratio of psychologist to students in the districts is 923:1. This includes the responsibility for providing counseling to special education students. The ratio of psychologists to students based on the CBEDS count in 2007-08 is 1:1328. The districts had conflicting data on the actual number of psychologists employed for the 2008-09 school year. It ranges from 15.0 to 17.0 positions. If the districts align the psychologist ratio with the guidelines in the CBEDS count, they could eliminate three to five positions, yielding a savings to the districts of \$255,444 - \$425,740.

## Recommendations

*The districts should:*

1. Standardize the staffing plan for special education that reflects the total FTE funded by special education revenues, the class sizes and caseload numbers regardless of the kind of program delivery model implemented on the sites.

2. Develop a staffing list that reflects the total FTE for all certificated and classified staff that is aligned with the totals in the personnel department and the function codes for special education available in the business office, and accurately reflects the specific site assignments for all special education staff.
3. Develop a plan to monitor the class size, caseload and numbers of instructional aides assigned to provide services.
4. Create and implement staffing formulas for all program options and services that align with the standards of practice, legal and contractual agreements.
5. Increase the staffing level for nurses from 3.0 to 7.0 to align more closely with the statewide ratio of 1:2219.
6. Develop a strategic plan for special education that clearly outlines the range of services available for students, particularly specialized programming for students with emotional disturbance and autism.
7. Reduce the psychologist FTE by 3.0-5.0 for a savings of \$255,444 - \$425,740.
8. Give individual school sites the option to purchase additional psychologist services from school site funds.
9. Work collaboratively with the SELPA to ensure that a full range of programs and services are available to meet the needs of students in the Santa Barbara districts.
10. Use a strategic planning process with all stakeholders, including parents, to develop a full range of specialized services for the emotionally disturbed and autistic populations.

### ***Assignment Process for Teachers and Aides***

The special education department does not have a written or formalized process for the assignment of teachers and aides. There is no established staffing formula or process with which to build an appropriate staffing plan for all services and programs. This is due largely to the instability in department leadership. In the past, the school site had the primary role in assignments, while recently the Director of Special Education made unilateral assignment of both special education teachers and aides.

When candidates for aide positions are initially interviewed for a position with the district, they are asked a series of general questions. Questions are not specific to 1:1 aides. When aides are initially assigned to a site, they start work with only the information that the special education teacher at the site provides them about their situation. In cases where aides are required to help with more involved needs such as the toileting or transferring of a student, training usually consists of another aide at the site walking the new aide through the process. Aides are quickly left on their own.

Although the human resources department clearly states both orally and in writing that aides are hired by the Santa Barbara School Districts and not by the individual school, the

individual school sites clearly operate under the philosophy that the aides belong to them and can be assigned at their school site as they see fit.

Aides are not informed about training opportunities and when they request to go to training, their site administrator often refuses the request. Crisis Prevention Institute (CPI) training has been provided to aides at some sites but not at other sites that have equally aggressive students. AVID training was provided to aides at one site but not at others.

The special education department does not have a handbook for aides. Aides get their information from other aides, from teachers, or from outside sources. This leads to frustration and inconsistent information for staff.

The districts have no process for determining the ongoing need for instructional aides annually. As students move out of the districts or are released from special education, the districts do not reassign the aides to meet new needs in the special education program. Aides remain at the school site in other positions assigned by the principal.

Parents are highly frustrated regarding the districts' inability to staff instructional aide positions in a timely way and in conformance with the IEP. This has a negative impact on the special education department and the districts' credibility with parents. At the same time, staff perceive a lack of support from special education. The staffing assignments for teachers and aides do not always match the credentials, skills and training of staff.

The districts must define who is directly responsible for assigning special education staff: the school site principal or the special education department. Once that clarification is provided, a clearly defined assignment process must be implemented that is consistent and responsive to student needs.

Aides are not required to sign letters of intent to return the following year. Some aides believe that if they indicate that they will not be returning in the fall, they will lose their benefits. This was reported as not being accurate. Many aides who know they are not returning to their position do not resign until the fall or simply do not show up in the fall.

When aides do not let the districts know of their intent not to return to employment and do not report at the beginning of the school year, aide positions may not be filled when the students arrive for the first day of school. In the past, recruiting for open positions was done in the summer. This past summer, due to a proposal to reduce the number of aides, recruitment did not take place. This caused even greater hardship than in the past, with some aide positions not filled until November. Parents and teachers were equally frustrated by the unfilled aide positions, and this further eroded their trust in the district.

There is no aide pool for substitutes, or for potential open positions. Therefore, when an aide is out for an extended period, or the position is critical, the position is often filled by a substitute teacher paid at the higher substitute teacher's rate.

The site-based management program delivery model, which keeps nearly all students at their home school, requires more aides to be hired than if the districts used the traditional aide/teacher formula. There is no formula for aide assignments with this model, and so sites request aides as needed.

## Recommendations

*The districts should:*

1. Assign primary oversight responsibility for the staffing and assignment of special education teachers and aides to the special education department leadership.
2. Provide transparency with staffing formulas to ensure that stakeholders have:
  - a common understanding of the rationale for staffing decisions
  - the opportunity for site principals to provide input on programming needs
3. Align staffing assignments with appropriate credentials and skills, and provide the opportunity for training and support for specific skill areas.
4. Develop a system of checks and balances through oversight of the resources through a special education staff utilization plan that is reviewed by both the principal and the Director of Special Education.
5. Review the needs of students as they transition from elementary to secondary to make sure that the instructional aide supports follow the student.
6. Recapture resources annually as students move, exit the program, or as needs change. Utilize those resources to meet the ongoing needs of other students with disabilities.
7. Send an annual notice of assignment to aides and teachers to establish a communication link among the department, principals and special education staff.
8. Monitor assignments to ensure that staff are appropriately certified and trained for the specific assignment for each school year.
9. Develop interdepartmental procedures between personnel, business and special education to ensure that instructional aides are assigned to students in a timely way and in conformance with the IEP.
10. Define the meaning of “support” for special education staff and principals. Establish accountability standards to measure the effectiveness of that support from both the department and the school sites each year.
11. Streamline the hiring process to facilitate ongoing hiring of special education aides.
12. Provide substitutes when aides are absent in key areas, such as 1:1 aides or self-contained SDC moderate/severe classes, or when an aide is out for an extended time.
13. Hire a specific number of permanent floater aides that are trained and available to assist with difficult situations and during the hiring process for a new 1:1 aide. This will ensure immediate coverage for the student which will significantly relieve frustration of both staff and parents.



14. Eliminate the aide position at a school site when a student with a 1:1 aide leaves the districts or no longer needs the aide.
15. Develop a transfer policy that enables aides to be aware of open positions at their current school site.
16. Review aide duties in collaboration with the special education department, the department chairs, and the site principals to ensure that aides are working with special education students. Occasional use of a special education aide in other capacities is understandable, but not on a regular basis and not if it takes away from the needs of the special education services provided on that site.
17. Maintain minimum levels of staffing to appropriately meet the students' needs, while remaining in compliance with any contract or statutory requirements.
18. Develop an aide handbook that would include best practices for aides including:
  - How to handle behavioral issues and health issues
  - Suggestions on modifications/accommodations
  - Information regarding IEPs, goals, and behavior plans
  - Disability awareness
  - Suggestions on how to work in collaboration with the general education classroom as well as in the special education classroom
  - Confidentiality and expectations regarding aide/parent interactions.
  - Specific information regarding the position for a substitute or a new hire
19. Design a training module for newly hired instructional aides that provides direction and preparation in the management of student behavior and an orientation to specific disabilities that is completed prior to their official start date.
20. Design a sequence of staff development activities for all instructional aides. Provide adequate release time for instructional aides to access this training.

### ***Determining the Need for 1:1 Aides***

The number of 1:1 aides has increased in districts throughout the state, with many parents accessing the Internet, advocates or attorneys to assist them in acquiring 1:1 aides for their child.

The SELPA procedural manual has written criteria for requesting additional aide support in a regionalized class, but does not address policies or procedures for a district to assign, support, reduce or end the services of a 1:1 or other aide. The lack of district policies and procedures increases the potential for adversarial IEP meetings and increases the likelihood that only parents with advocates or attorneys can convince an IEP team of the need for additional assistants. It also furthers the perception that students who are considered lower income do not get the same services as other more affluent students. Decisions are

made without data and at times without appropriate interventions implemented before the request. It is also more likely that sites will arbitrarily authorize and maintain additional assistants when those assistants are not needed.

Interviews with special education site staff, special education district office staff and human resources staff reported that when a special education student receives a 1:1 instructional assistant, or when a class/program requires additional instructional aide support, that aide support continues throughout the student's years in the district. The specific aide may not follow the student, however, since once an aide is assigned to a school they usually stay at that school. For example, an aide can be assigned to a specific student in the elementary school, but when the student moves to a junior high school the current aide stays at the elementary school and a new aide is hired at the junior high.

The special education department recently sent out a form used by the SELPA for IEP teams to use in determining the need for a 1:1 aide. The form rates the student's needs in four areas: health/personal care, behavior, instruction and inclusion/mainstreaming. This one form is not sufficient, particularly in view of the service delivery models in the districts. However, it is a good beginning to the process.

Additional information and forms are included in Appendix I for the districts to consider in developing a process for evaluating the need for 1:1 aides. These documents refer to a 1:1 aide as a special circumstance aide. This title was chosen to ensure that all parties involved in the decision of requiring the aide as well as implementing the IEP understand that this is not designed to be a permanent position. When it is determined that a 1:1 aide is required, the IEP is to include specific goals for the aide support, a fading plan, and a plan for when the aide is absent. An important part of the discussion with the aide is their responsibilities if the student is absent.

The special education department is reviewing both certificated and classified staffing for 2009-10. This is a very challenging task without specific information regarding the needs of the students at each site, the current program delivery model, specific aide assignments and standard aide/teacher ratios.

## Recommendations

*The districts should:*

1. Develop very specific procedures to follow when a site or a parent requests a 1:1 aide. This includes forms to be completed prior to the IEP that includes parent input that will provide data to determine if additional support is needed.
2. Develop procedures to review all aide assignments every spring for the following school year based on projected numbers and disabilities at each school site, program delivery models, and school of attendance for students with 1:1 aides or with significant health/behavioral difficulties. Make all assignment changes before the end of the school year.

3. Review all aide positions once a process for decision-making is developed.
4. Ensure that all new positions follow the decision-making process.
5. Develop policies, and if necessary board policies, that clearly define special education aides as being district aides and not specific site aides. These policies should include the roles and responsibilities of the site administrator and the special education department, and the transfer policy for special education aides.

### ***Community School***

A number of professional and parental sources information FCMAT that district site administrative staff often meet with the parents of students with disabilities who are being considered for expulsion and encourage them to seek voluntary enrollment in the community school operated by the county office of education (COE). Since the SELPA and the COE have agreed upon a maximum number of students that can be enrolled in the community school with placement in a special class required on their IEP, the site administrator and parent must agree to change the student's placement to resource specialist so as to bypass this hurdle. When the normal voluntary enrollment period expires, the site administrator opposes efforts to replace the student at his/her school. This could result in serious compliance problems for the districts and the SELPA, and appears to be a clear attempt to bypass the requirement to determine whether or not an offending behavior is a manifestation of the student's disability. The district, the SELPA, and the COE should work together to preclude this placement process from continuing.

### ***Recommendations***

*The districts should:*

1. Review the current procedures and practice between the districts and the county office of education regarding the manifestation/expulsion process for students with disabilities.

### ***Annual Performance Report Measures***

The district-level Special Education Annual Performance Report is produced by the CDE Special Education Division's Assessment, Evaluation and Support Unit. The state collects data from districts in 14 areas and has set target criteria for quality performance. The CDE sets target levels and reports whether or not the districts' performance met those criteria. Each year, the districts are expected to improve their performance as the targets approach the ideal limit. Since this report is supposed to be produced annually, it is a good practice for the Director of Special Education to present it each year. It will provide the board with firm criteria by which to evaluate the effectiveness of special education programs from the CDE's perspective.

A complete copy of the annual performance measures for Santa Barbara Elementary and Santa Barbara High School districts can be found in Appendix H.

The CDE has not released the report for 2007-08. Districts have anticipated these results for some time; however, there is no timeline for receipt. The following results are based on the 2006-07. In some instances, the districts have provided updated results for 2008, which are included in italics as appropriate.

#### **Indicator 1: Graduation Rate:**

Calculates the percentage of all exiting students in grade 12 who graduate from high school with a regular diploma. Santa Barbara met the target for 2006-07.

#### **Indicator 2: Dropout Rate:**

Calculates the percentage of all students in grades 7 and higher who exit special education by dropping out of school. Santa Barbara School Districts met the target and improved over the previous year.

#### **Indicator 3: Assessment in Grades 3, 8, and 10**

A. Calculates the results of STAR testing scores to meet the requirements of No Child Left Behind (NCLB) legislation. The target was to meet all areas. Santa Barbara School Districts met some but not all of the targets.

##### **Elementary:**

**English/Language Arts** Target = >2.4% Performance = 13.7% Target for 07-08 = 35.2

**Math:** Target =23.7% Performance = 19% Target for 07-08 = 25%

##### **Secondary:**

**English/Language Arts** Target = > 23.0% Performance = 13.8% Target 07-08 >34%

**Math:** Target = >23.7% Performance = 13.4% Target 07-08 = >25.0

B. At least 95% of the special education students were tested in math and English/language arts. The districts met their targets in this area.

C. The percent of students scoring proficient or advanced on the assessments met the district target percentage. The districts' schools met the target in math and did not meet the target in English/language arts.

#### **Indicator 4: Suspension/Expulsion**

Calculates the percentage of special education students who were suspended or expelled for more than 10 days in a school year. The districts did not meet the target (Santa Barbara ESD by only .1% and Santa Barbara HSD by only .6%)

**Indicator 5: Least Restrictive Environment**

Calculates the amount of time students' ages 6 to 22 receive special education services in setting apart from their nondisabled peers.

A. Out of regular class less than 21% of the time (this percentage should be increasing from year to year). The target was >56% The districts achieved 54.9% The districts did not meet the target. The target for 07-08 = 75.8%

B. Out of regular class more than 60% of the time (this percentage should be decreasing from year to year. The districts met this target.

C. Separate facility. Students served in a facility that educates only students with disabilities. This percentage should decrease each year. The districts met the target.

**Indicator 6 and 7 is a SELPA calculation only****Indicator 8: Parent Involvement**

Calculates the percent of parents of children in special education reporting that schools facilitated their involvement as a means of improving services and results. The districts' target was 74% and a new target for next year was 78%.

**Indicators 9-10: Overall Ethnic Disproportion due to Policies, Procedures and Practice**

Indicates whether there is ethnic among students ages 6-22 which may be due to policies, procedures or practices or the result of inappropriate identification. The districts were not disproportionate in either category.

**Indicators 11-14: Eligibility Evaluation (Initial) and Transition to Part B**

There are no reported measures in this area during the 2006-07 school year.

Another measure of program effectiveness is to examine the achievement progress in the number of students with disabilities making adequate yearly progress outlined in No Child Left Behind. Over the past five years both the elementary and secondary districts have made significant gains in both English/Language Arts and Math.

**Adequate Yearly Progress of Students with Disabilities**

| <b>School Year</b> | <b>Elementary District ELA</b> | <b>Elementary District Math</b> | <b>Secondary District ELA</b> | <b>Secondary District Math</b> |
|--------------------|--------------------------------|---------------------------------|-------------------------------|--------------------------------|
| 2003-04            | 9.8%                           | 12.9%                           | 12.8%                         | 11.8%                          |
| 2004-05            | 10.1%                          | 12.9%                           | 17.2%                         | 15.5%                          |
| 2005-06            | 11.8%                          | 18.5%                           | 12.8%                         | 13.8%                          |
| 2006-07            | 13.6%                          | 18.9%                           | 14.5%                         | 13.8%                          |
| 2007-08            | 24.1%                          | 29.8%                           | 17.8%                         | 16.0%                          |

**Recommendations**

*The districts should:*

1. Ensure that special education students have access to standards-based curriculum aligned with the core curriculum for their grade level.
2. Identify the scientifically based curriculum and strategies to be used with students with disabilities and provide the necessary staff training to ensure successful implementation.
3. Train special education teachers regarding the core curriculum areas measured in state and district-level tests.

## Appendices

Appendix A – Parent Survey

Appendix B – Alternative Dispute Resolution (ADR) Request Form

Appendix C – Comparison of Similar School Districts

Appendix D – Job Descriptions

Appendix E – Staff Morale Survey

Appendix F – Per-Student Expenditure Comparison

Appendix G – Guide for Monitoring Program Budget and MOE Status

Appendix H – Letter from state Superintendent of Public Instruction re: Service Delivery

Appendix I – Annual Performance Report Measures

Appendix J – Study Agreement





## Appendix A

### File: FCMAT Study: Santa Barbara

**Note: Please return this survey directly to FCMAT in the self addressed stamped envelope. Thank you**

### Parent Survey

The Santa Barbara School Districts are conducting an independent review of their Special Education Programs. The review is being conducted by Fiscal Crisis and Management Assistance (FCMAT). During this review there will be many opportunities to gather input from Board Members, parents and staff. The first phase of this input for parents will be a survey. It will be helpful to know what you and your child's experiences have been when you have received special education services and programs from the district. Your concerns and experiences will assist independent reviewers in gathering accurate information about the programs and services in special education.

Check Yes, No or Don't know to each question.

#### Parent Involvement

1. Do you understand the reasons why your child receives Special Education services?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know
2. Was an assessment plan presented to you in such a way that you fully understood the tests that were being given and why?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know
3. Were your child's strengths considered in the assessments?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know
4. Were the results of your child's assessment used to develop an Individualized Education Plan (IEP) for your child?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know
5. Did you have an opportunity to express your concerns about your child's learning in the IEP meeting?
  - ☐ Yes

- ☐ No
- ☐ Don't know

6. Do your child's teachers have an understanding of his/her learning needs?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know
7. Did the IEP team discuss a range of options available for special education programs and services for your child?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know
8. Did you feel like an equal member of the IEP team?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know
9. Were the services described in the IEP delivered?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know
10. Were the services described in the IEP effective?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know
11. Do you feel that any of the concerns you had for your child's education were considered in the IEP?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know

#### **Parent Communication**

1. Do you receive consistent communication regarding your child's progress in special education programs and services?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know
2. When you contact the school regarding your child's progress do you receive a timely response?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know
3. Is your child's general education teacher aware of his/her IEP and unique learning needs?

- ☐ Yes
  - ☐ No
  - ☐ Don't know
4. Do you feel that the school is listening to your concerns as a special education parent?
- ☐ Yes
  - ☐ No
  - ☐ Don't know
5. Do you know who to contact to get special education issues resolved?
- ☐ Yes
  - ☐ No
  - ☐ Don't know
6. Do you feel that you have a solid, trusting working relationship with the special education department?
- ☐ Yes
  - ☐ No
  - ☐ Don't know
7. If you speak a language other than English, do you receive information from the school in your native language when you request it?
- ☐ Yes
  - ☐ No
  - ☐ Don't know
8. If you request a language interpreter for your child's IEP meeting, is one provided?
- ☐ Yes
  - ☐ No
  - ☐ Don't know

#### **Parent Outreach**

1. Does the district provide opportunities for parents to meet in support groups with other parents to share ideas and strategies with their children with special needs?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know
2. Are parent training opportunities available to parents of children with special needs?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know
3. Sometimes parents are confused by the IEP process, is there anyone in the district that can help parents that have questions or concerns about the process?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know
4. Is the district open to parent input on special education issues?
  - ☐ Yes
  - ☐ No
  - ☐ Don't know



## Appendix B

### Alternative Dispute Resolution (ADR) Request Form

Important information you need to know before requesting an Alternative Dispute Resolution Meeting:

- Participation in a dispute resolution meeting is voluntary. If one of the parties declines the opportunity to participate, the resolution mediation cannot occur. However, either party still has the option of requesting a state level hearing.
- The law provides that attorneys and other independent contractors who provide legal advocacy services shall not attend or otherwise participate in a "prehearing request mediation." However, they may participate during all stages of the hearing process. This means that by requesting an alternative dispute resolution meeting, you may not have an attorney or advocate present at the mediation.

If you wish to file a request for Alternative Dispute Resolution meeting, complete this Request Form (NOTE: The required information must be provided for request to be processed.) and mail or fax to:

As soon as the completed request has been processed you will be contacted.

**STUDENT INFORMATION:**

NAME, First and Last (Required)

\_\_\_\_\_

ADDRESS (Required)

\_\_\_\_\_

DATE OF BIRTH

\_\_\_\_\_

GRADE LEVEL

\_\_\_\_\_

SCHOOL OF ATTENDANCE  
(Required)

\_\_\_\_\_

DISTRICT OF RESIDENCE  
(Required)

\_\_\_\_\_



## Alternative Dispute Resolution (ADR) Request Form

### PARENT INFORMATION:

NAME, First and Last (Required) \_\_\_\_\_

ADDRESS (Required) \_\_\_\_\_

HOME PHONE ( ) \_\_\_\_\_

WORK PHONE ( ) \_\_\_\_\_

FAX ( ) \_\_\_\_\_

LANGUAGE \_\_\_\_\_

### PARTIES TO BE NAMED:

DISTRICT OF RESIDENCE (Required): \_\_\_\_\_

ADDITIONAL PARTIES:(Required): \_\_\_\_\_

(Any other school district, including school of attendance, or public agency that is responsible for providing services that should be a party in the mediation and hearing.)

**REQUESTING PARTY (Circle) (Required)**

PARENT  
SCHOOL DISTRICT  
OTHER AGENCY

PARENT REPRESENTATIVE  
SCHOOL DISTRICT REPRESENTATIVE

If the requesting party is not the parent, please complete the following:

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

ORGANIZATION \_\_\_\_\_

PHONE ( ) \_\_\_\_\_

FAX ( ) \_\_\_\_\_

alternative dispute resolution meeting, you may not have an attorney or advocate present at the mediation.

If you wish to file a request for Alternative Dispute Resolution meeting, complete this Request Form (NOTE: The required information must be provided for request to be processed.) and mail or fax to:

As soon as the completed request has been processed you will be contacted.

**STUDENT INFORMATION:**

NAME, First and Last (Required)

\_\_\_\_\_

ADDRESS (Required)

\_\_\_\_\_

DATE OF BIRTH

\_\_\_\_\_

GRADE LEVEL

\_\_\_\_\_

SCHOOL OF ATTENDANCE  
(Required)

\_\_\_\_\_

DISTRICT OF RESIDENCE  
(Required)

\_\_\_\_\_

## **Alternative Dispute Resolution (ADR) Request Form**

**DESCRIBE THE NATURE OF THE PROBLEM INCLUDING ALL RELATING FACTS.**

**PROPOSED RESOLUTION OF PROBLEM STATED ABOVE**



(Any other school district, including school of attendance, or public agency that is responsible for providing services that should be a party in the mediation and hearing.)

**REQUESTING PARTY (Circle) (Required)**

PARENT  
SCHOOL DISTRICT  
OTHER AGENCY

PARENT REPRESENTATIVE  
SCHOOL DISTRICT REPRESENTATIVE

If the requesting party is not the parent, please complete the following:

NAME

ADDRESS

ORGANIZATION

PHONE ( )

FAX ( )

## **SPECIAL EDUCATION COMMUNITY ADVISORY COMMITTEE**

- Encourages parents to actively participate in the development and implementation of learning experiences for students with exceptional needs.
- Empowers parents through education to become knowledgeable, effective partners in their child's education and special needs.
- Parents, educators and other concerned individuals in the Tustin Unified School District serve on the CAC.



## **COMMUNITY ADVISORY COMMITTEE WORKS FOR YOU AND YOUR CHILD**

- Provides parent education
- Supports activities on behalf of children with special needs
- Increases awareness of available service options
- Offers parents and professionals who work with children with special needs a forum to discuss concerns and goals
- Facilitates closer communication and better understanding of the mutual goals of administrators, staff, parents and students
- Provides community involvement in the development and review of the Local Plan for Special Education

## **MEETINGS**



The Special Education CAC meets once a month (except July and August) on Tuesday evenings from 7:00pm – 9:00pm

For further information call

# Special Education Community Advisory Committee APPLICATION FOR MEMBERSHIP

☐ Special Ed Parent Representative

## General Information:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Home Telephone: \_\_\_\_\_ E-mail: \_\_\_\_\_

Work Telephone: \_\_\_\_\_ Cell phone: \_\_\_\_\_

**Educational background:** (Response optional.)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## Additional Information:

1. Have you been a member of any \_\_\_\_\_ School District school-based or District committees?

☐ Yes ☐ No If so, in what capacity?

\_\_\_\_\_

2. Are you, or have you or a member of your immediate family, ever been employed by the \_\_\_\_\_ School District?

☐ Yes ☐ No If yes, please explain:

\_\_\_\_\_

3. Have you attended a/several Special Education CAC meeting(s)?

☐ Yes ☐ No

4. List present or past membership in any community service (e.g. volunteer, civic, or youth) organizations.

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**Qualifications:**

1. Please indicate the contributions that you can make to this committee.

SAMPLE

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**Please answer the following questions:**

1. How long have you been a resident within the \_\_\_\_\_ School District?

\_\_\_\_\_ Years \_\_\_\_\_ Months

2. Do you have any children or grandchildren who now attend (or have attended) \_\_\_\_\_ School District schools?

☐ Yes ☐ No

Which schools & comments:

---

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3. Explain why you would like to be appointed to this committee. (You may attach additional pages, if needed).

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4. Are you a vendor, contractor, or consultant of \_\_\_\_\_ School District?

☐ Yes ☐ No If yes, please explain.

5. Are you available to attend Special Education Community Advisory Committee meetings on Tuesday evenings?

☐ Yes ☐ No If no, please explain.

**Certificate of Applicant:**

All answers and statements in this document are true and complete to the best of my knowledge and belief.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Completed and signed applications must be received by the Special Education Department, School District, \_\_\_\_\_ faxed no later than Monday, April 19, 2004. Please be aware completed applications are public records available for public review.

Nominees' names shall be submitted to District Superintendent for selection and recommendation to the Board of Education that shall make the final appointments on April 26, \_\_\_\_\_. If you have questions, please call the district office and ask to speak with \_\_\_\_\_ Special Education and Facilitator for the Special Education Advisory Committee.

**Deadline: Applications due by Monday, April 19, 2004 4:30 p.m.**

Authority and responsibilities of the Community Advisory Committee include, but are not limited to:

- a) Advising the administration of the Special Education Local Plan Area regarding the development of the local comprehensive plan. A draft of the plan is reviewed by the members of the Community Advisory Committee. Input is reviewed by the administration to determine appropriateness for inclusion in the plan.
- b) Making recommendations on annual priorities to be addressed under the plan. The Chairperson shall provide written input to the Director of Special Education based on committee concerns and interests.
- c) Assisting in parent education and recruiting of parents and other volunteers who may contribute to the implementation of the plan by inviting members to participate in the SELPA-wide revision committee.
- d) Encouraging public involvement in the development and review of the Local Plan.
- e) Acting in support of individuals with exceptional needs through involvement in community activities such as Very Special Arts and Special Olympics.
- f) Assisting in parent awareness of the importance of school attendance through parent training activities.

Additionally, all Community Advisory Committee members are required to serve on at least one subcommittee. Meetings are generally held once a month at 7:00 p.m.

## **Special Circumstance Aide (SCA) One-on-One Aide**

When an IEP team is considering additional support for a student, all aspects of the student's program must be considered. The case manager, with the classroom teacher, is responsible for the design and implementation of the student's program.

It is important to remember that the goal for any special education student is to maximize independence. Therefore baseline data is necessary to determine the initial need and continued need of additional aide support.

- SCA services must be carefully monitored so that dependence is not unintentionally fostered.
- The student's program must be carefully evaluated to determine where support is needed.
- Natural support and existing staff must be utilized whenever possible to promote the least restrictive environment.

The student's plan must specify the conditions and circumstances under which additional assistance is indicated.

- The skills needed to be taught in order for the additional assistance to be faded are identified.
- Through careful analysis of the student's program, where and when support will be provided and where and when support can be faded.
- The role of the SCA, the classroom teacher and any other adult interfacing with the student in the educational setting is clarified.
  - The SCA is not the teacher, but works under the direction of the teacher.
  - The SCA may be responsible for taking data and for assisting the student in practicing skills taught in class and with service providers.
  - How the student will be provided with the required support if the SCA is absent.

Natural and Existing Supports are the most effective student supports.

- How peers, teachers, classroom paraeducators, and classroom volunteers who are natural and existing supports can assist the student in keeping with the "least restrictive environment" must be determined before the addition of a SCA.

### **Referral Process:**

When a concern regarding a student's need for additional support is expressed, the case manager consults with the Program Coordinator for additional modifications and intervention strategies that could be implemented prior to including a special circumstance aide in the student's IEP. Teachers or other school personnel currently



working in the student's classroom may be identified to support the student and enable successful participation in the regular education program or special education program.

As part of the consideration progress, the forms determining the Need for a Special Circumstance Aide are completed by the case manager with input from the child's parents and other personnel working with the student. These forms assist the IEP team in determining the need for a special circumstances aide,

An IEP is conducted to discuss the student's ability to receive educational benefit and the need for additional support. If the IEP team determines that a SCA is needed, then baseline data is included in the IEP as well as goals designed to develop the student's independence and ability to function without the additional assistance. A plan for fading the time the SCA spends with the student, and how the student needs will be addressed if the SCA is unavailable is developed.

At all future IEPs, the role of the SCA, as well as the continued need for an SCA, are discussed based on:

- Information from the SCA forms that are completed annually
- Data from the SCA and other personnel

In order to ensure that students are not denied their legal right to an education in the "legal restrictive environment", school teams need to be creative in using natural and existing supports to the maximum extent possible. Team members and IEP implementers need to share ideas, expertise and resources in planning as well as in carrying out the supports and assistance for the identified special needs student.

The attached worksheets will assist the IEP Team in determining whether or not a student requires additional assistance.

Prior to the IEP meeting during which an SCA is being considered, the attached worksheets will need to be completed. If the SCA is first brought up at an IEP meeting, the worksheets will need to be completed immediately following the meeting.





## Appendix C

### Comparable Districts

|                            | Santa Barbara | Burbank  | Lake Elsinore  | Lompoc   | Napa Valley | San Marcos | Santa Clara | Tustin      | Upland   | Ventura    |
|----------------------------|---------------|----------|----------------|----------|-------------|------------|-------------|-------------|----------|------------|
| Special Ed                 | X             | X        | X              | X        | X           | X          |             |             |          |            |
| Student Services           |               |          |                |          |             |            | X           | Pupil Svcs  | X        | Pupil Svcs |
| Report to Asst. Supt.      | X             | X        |                | X        | X           | X          | X           |             | X        | X          |
| Report to Supt.            |               |          | X              |          |             |            |             | X           |          |            |
| Title                      | Director      | Director | Exec. Director | Director | Director    | Director   | Director    | Asst. Supt. | Director | Director   |
| Other Directors            | No            | 0        | 1              | 0        | 0           | 0          | 0           | 1           | 0        | 1          |
| Coordinator                | 1             | 2        | 0              |          | 3           | 1          | 2           | 3           | 0        | 1          |
| Program Specialists        |               | 2        | 1              | 1        | 3           | 2.8        | 3           | 0           | 0        | 0          |
| Supervisors<br>Other spec. | 1.5           | 3        | 0              | .5       | 0           | 0          | 0           | 0           | 0        | 3/staff    |
| Nursing services           | 1             | No       | X              | X        | No          | No         | X           | X           | 0        | X          |
| Psych                      | 1             | X        | X              | X        | X           | X          | X           | X           | 0        | X          |
| OT                         | County        | X        | X              | X        | X           | X          | X           | X           | 0        | X          |
| AT                         | SELPA         | X        | None           |          | X           | No         | X           | X           | County   | X          |
| APE                        | X             | No       | X              | X        | X           | X          | X           | X           | County   | X          |
| Speech                     | X             | X        | No             | X        | X           | X          | X           | X           | X        | X          |
| Preschool                  | County        | X        | X              | No       | No          | X          | X           | X           | County   | X          |
| Autism/<br>ABA             | X             | X        | X              | X        | No          | X          | X           | X           | County   | X          |
| NPS/NPA                    | X             | X        | X              | X        | X           | X          | X           | X           | X        | X          |
| Legal                      | X             | X        | X              | X        | X           | X          | X           | X           | X        | X          |
| State                      | X             | X        | X              | X        | X           | X          | X           | X           | X        | X          |
| Records sped.              | X             | X        | X              | X        | X           | X          | X           | X           | X        | X          |
| Records all                | No            | No       | No             | No       | No          | No         | No          | X           | No       | No         |
| Expulsions                 | No            | No       | No             | No       | No          | No         | No          | X           | No       | No         |
| SARB                       | No            | No       | No             | No       | No          | No         | No          | X           | No       | No         |
| 504                        | X             | No       | No             | X        | No          | X          | No          | X           | No       | X          |



## **Appendix D-1**

### **Executive Director: Special Education**

Salary Range: \$110,557 – 123,330

#### **Primary Function:**

The Executive Director of Special Education assumes overall management responsibility for the operations of the district's special education and health services departments and reports to the Associate Superintendent

#### **Duties:**

1. Develops and monitors the overall vision for special education in the Santa Barbara School Districts in collaboration with all stakeholders including parents, certificated and classified staff.
2. Assumes overall management responsibility for program design, compliance standards including instructional programs designed to maximize student performance.
3. Provides strong leadership in the oversight of the day to day operations of the special education and health services department.
4. Establishes clear lines of communication at all levels; district, site and parent community regarding special education.
5. Allocates resources, monitors the use of state, federal and local funds for special education programs
6. Assumes primary oversight of the Special Education Advisory Committee (SEAC)
7. Develops, monitors and manages the Special Education and Health Services budgets
8. Manages all litigation which includes due process, mediation and resolution meetings required in federal law.
9. Develops and maintains alternative dispute resolution models.
10. Investigates and resolves formal complaints for students with disabilities.
11. Supervises and evaluates the performance of assigned personnel
12. Serves as district liaison with SELPA and local and state agencies
13. Other duties as assigned

#### **Experience:**

Minimum of two years experience as a senior manager in special education. Five years experience in district-level work, including a wide range of assigned responsibilities. Extensive experience is required in managing special education services with a strong background in effective communication.

## **Appendix D-2**

### **Director: Special Education**

Salary Range: \$108,040 – 120,183

#### **Primary Function:**

Manages the day to day operations of special education programs at an assigned level (elementary, secondary) and reports directly to the Executive Director of Special Education

#### **Duties:**

1. Provides instructional leadership to school sites in the development of quality special education programs and services
2. Provides guidance and support to school sites in the areas of compliance with state and federal law and district procedure
3. Provides consistent communication on special education issues to all stakeholders
4. Assists in the allocation of resources and monitors the use of state, federal and local funds for special education
5. Develops a staffing plan based on student needs on an annual basis
6. Provides leadership in the informal resolution of complaints and due process issues
7. Ensures effective departmental communication between special education and all stakeholders
8. Supervises and evaluates assigned staff
9. Other duties as assigned

#### **Experience**

A minimum of five years successful teaching experience in special education or related field and a minimum of two years experience as a program specialist, program manager or coordinator of special education.

## **Appendix D-3**

### **Program Specialist: Special Education**

Salary Range: \$74,619 base salary plus 15 extra days @\$12,448

#### **Primary Function:**

Provides guidance, training and support to all school site special education programs. Ensures the implementation of services for all students with disabilities. The program specialist reports directly to the Director of Special Education.

#### **Duties:**

1. Maintains the integrity of the special Education Department's vision and mission.
2. Provides consistency in both procedure and practice through the district in all areas of special education
3. Provides assistance to the special education teaching staff in planning, organizing and coordinating services for students with disabilities
4. Maintains an open line of communication between parents and staff regarding the provision of special education services
5. Facilitation of difficult IEP meetings
6. Provide site administrators with information and support regarding special education compliance issues
7. Facilitate student placements to a more restrictive level, including but not limited to: resource specialist to special day class settings, district to regionalized and county programs, state school and/or non public school
8. Provides staff development to ensure effective practices in instruction and compliance with federal and state laws.
9. Assist in the planning and development of program evaluation
10. Other duties as assigned.

#### **Experience**

A minimum of five years successful teaching experience required



## Appendix E

### Special Education Staff Morale Survey

The Santa Barbara School Districts are conducting an independent review of their Special Education Programs. During this review there will be many opportunities to gather input from Board Members, parents and staff. One phase of this input will be a survey of staff morale. This process will be handled in a confidential manner between the FCMAT study team and special education staff. In order to provide assistance to the district in this area we need your participation in this anonymous survey.

#### Instructions:

Please respond to the following factors as they relate to you and their effect on staff morale in your work assignment.

**Section I:** Addresses your personal perception of special education staff morale

**Section II:** Identifies negative factors affecting the morale of special education staff

**Section III:** Lists the positive factors that affect special education staff morale.

#### Section I: Your personal perception of staff morale

1. My job morale is high

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

2. The collegial spirit in this department is high

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

3. The employee morale in this department is high

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

4. Special Education teachers/staff are valued by the district

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

5. Special Education teachers/staff are valued by the community

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

6. Special Education teachers/staff are valued by their students

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

7. As a Special Educator I feel pride in my work

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

8. The Special Education staff feels that they have control over everyday decisions about the programs and services

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

9. There is a lot of enthusiasm in the special education department

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

10. The rapid changes made in legislation, regulations, technology and techniques is a positive factor for staff morale

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

11. The school site principals are the key to good staff morale

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree



12. I feel consulted and listen to in decisions made about education.

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

13. Complaints are handled fairly without retaliation

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

## **Section II: The following negative factors can affect special education staff morale**

16. Increased workload due to requirements with the IEP process and paperwork

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

17. Reduction in the availability of staff development

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

18. Frequent changes in special education leadership

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

19. Lack of clear communication of expectations

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

20. Lack of resources

- ☐ Strongly Disagree
- ☐ Disagree

- ☐ Agree
- ☐ Strongly Agree

21. Lack of time for planning and collaboration

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

22. Increased parent demands and expectations

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

23. Lack of parent involvement

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

24. Lack of support from the district office

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

25. Lack of support from school site administration

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

### **Section III: Positive factors that affect special education staff morale**

26. Out of school factors: community/board support

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

27. Intrinsic rewards

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

28. Recognition of accomplishment/expertise

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

29. Competitive salary/benefits

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

30. Supportive colleagues

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

31. Adequate facilities, equipment, supplies

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

32. Student Achievement

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

33. Parent support for the special education community

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

34. Mutual respect for special educators among district colleagues and administrators

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

35. Collaborative leadership

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

36. Good staff morale

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly Agree

Thank you for your participation in this survey. There will be additional opportunities for interviews with the FCMAT team to provide additional information.

## Appendix F

|   | Santa Barbara<br>Schools | Santa Barbara<br>COE | Santa Barbara<br>SELPA |
|---|--------------------------|----------------------|------------------------|
| Unduplicated Pupil Count (UDPC)         | 1873                     | 1312                 | 7222                   |
| Total Direct Program Expenditures       | \$ 17,373,507            | \$ 26,811,705        | \$ 82,957,169          |
| Per UDPC                                | \$ 9,276                 | \$ 20,436            | \$ 11,487              |
| Total Direct Federal/Local Expenditures | \$ 2,904,789             | \$ 2,424,468         | \$ 12,829,509          |
| Per UDPC                                | \$ 1,551                 | \$ 1,848             | \$ 1,776               |
| Total Direct State/Local Expenditures   | \$ 17,211,263            | \$ 24,387,237        | \$ 70,127,660          |
| Per UDPC                                | \$ 9,189                 | \$ 18,588            | \$ 9,710               |
| Total Local Only Expenditures           | \$ 9,335,392             | \$ 2,111,487         | \$ 2,142,429           |
| Per UDPC                                | \$ 4,984                 | \$ 1,609             | \$ 297                 |
| Total Local Contribution                | \$ 6,551,612             | \$ -                 | \$ 20,737,453          |
| Per UDPC                                | \$ 3,498                 | \$ -                 | \$ 2,871               |
| Number of SH Pupils                     | 287                      | 264                  | 1,170                  |
| Total Expenditures for SH Pupils        | \$ 8,310,269             | \$ 14,913,127        | N/A                    |
| Expenditures per SH Pupil               | \$ 28,956                | \$ 56,489            | N/A                    |
| Number of NonSH Pupils                  | 1,540                    | 295                  | 5,032                  |
| Total Expenditures for NonSH Pupils     | \$ 7,522,601             | \$ 3,469,258         | N/A                    |
| Expenditures per NonSH Pupil            | \$ 4,885                 | \$ 11,760            | N/A                    |
| Total Indirect Support Costs            | \$ 19,877                | \$ 2,232,502         | \$ 2,915,221           |
| Per UDPC                                | \$ 10.61                 | \$ 7,525.63          | \$ 403.66              |
| Total PRC Allocations                   | \$ 2,758,668             | \$ 4,507,497         | \$ 15,224,249          |
| Per UDPC                                | \$ 1,472.86              | \$ 15,194.50         | \$ 2,108.04            |





## Guide for Monitoring Program Budget and MOE Status

The SACS coding system facilitates an understanding of your budget and program costs. A full understanding of the SACS system is not necessary, but knowing and looking for certain “key” codes can be of great assistance to you.

From the viewpoint of the convenience of having a consistent state-wide use of the same codes, it is unfortunate that some local entities have elected to develop their own “overlays” to the system. L A County has added an additional digit to some SACS codes and others have constructed a “macro” coding system that translates into the SACS structure for reporting purposes. Codes used here are the state codes and you will have to work with your business office to “translate” if the codes used in your SELPA differ.

Simply stated, there are:

- Resource Codes which identify the source/purpose of the funds
- Goal Codes which identify the broad focus/purpose of the activity
- Function Codes which specify the activity being provided
- Object Codes which identify the nature of the service or item being purchased if they are Expenditure Codes 1000 through 7999 and the nature of the revenue or the transferring source if they are Revenue Codes 8000-8999.

### Resource Codes

These are the primary Resource Codes which you will want to monitor

- **3310** The basic federal IDEA Part B Local Assistance grant
- **3311** **Proportionate Share of federal IDEA Part B Local Assistance Grant to be used for parentally placed students in Private Schools (beginning in 07-08)**
- 3315 The federal preschool grant, Part B, Sec 319
- **3317** **Proportionate Share of federal IDEA Part B Local Assistance Grant to be used for parentally placed students in Private Pre-Schools (beginning in 07-08)**
- 3320 The federal preschool grant, Part B, Sec 311
- **3321** **Proportionate Share of federal IDEA Part B Local Assistance Grant to be used for parentally placed students in Private Pre-Schools (beginning in 07-08)**
- 3330 Infant Discretionary Grants (Note, See 6515, below)
- 3340 Local Staff Development Grant (Note, See 6535, below)
- 3345 Preschool Staff Development Grant
- 3360 Low Incidence Services Grant (Note, See 6530, below)
- 3385 Early Intervention (not Early Intervening) Grants
- 3405 Workability I (Note, See 6520, below)
  
- **6500** State Special Education Apportionments
- 6510 State Infant Apportionment

- **6515**     **Infant Discretionary Grant (replacing 3330 in 07-08 to reflect state funds)**
- **6520**     **Workability I (replacing 3405 in 07-08 to reflect state funds)**
- **6530**     **Low Incidence Service Grant (replacing 3360 in 07-08 to reflect state funds)**
- **6535**     **Local Staff Development (replacing 3360 in 07-08 to reflect state funds)**

These are additional Resource Codes which you will want to monitor. You might have some of these funds transferred to Special Ed or charged to a 5700 Goal Code. For MOE purposes, they should be considered "Local Only."

- 1100     Lottery funds (particularly those generated by SDC and NPS ADA)
- 6300     Lottery Inst. Mat. (particularly those generated by SDC and NPS ADA)
- 7130 through 7200     Various Instructional Materials Funds
- 7230     Regular Home to School Transportation. Students who don't qualify under Code 7240 may receive special transportation **if required by their IEPs**. As a result, this Resource Code could be combined with a 5700 Goal Code. To the extent that these costs exceed state apportionment, they could be considered "Local Only" for MOE purposes.
- 7240     Home to School Transportation for Severely Disabled and Orthopedically Impaired. Not all LEAs receive this funding, but if you do there should be a revenue object code with it. Expenditures for this purpose should be charged to a 5750 Goal Code. To the extent that these costs exceed state apportionment, such costs could be considered "Local Only" for MOE purposes.

### **Goal Codes**

Special Education Goal Codes fall in the 5000-5799 range. This code range identifies that this revenue or these expenditures are for the purpose of providing special education services. Optional Goal Sub-codes can be created locally for specific purposes. As I have indicated earlier, if we are going to employ sub-goals locally, we should try to make them consistent throughout the state. The "suggested" sub-codes below are from the document I distributed earlier. Keep in mind that any sub-codes will "roll up" to the standard code for reporting purposes. The standard codes are in bold face and suggested optional Goal Sub-codes are in standard face.

- **5001**     **This is primarily for administration and support. An instructional function may not be combined with this Goal Code**
- 5002     (For use by the SELPA AU) Special Ed "pass-through" revenue. Some AU's, particularly in multi-district SELPAs have found the current "bundling of revenue" confusing and elected to establish a system which differentiates between funds coming in for its own programs and services and funds that are passing through to the member districts. While there is an object that permits this for



federal funds, there is no such code for state apportionment. In effect this will “roll-up” to Goal Code 5001 for reporting purposes but it facilitates tracking of “pass-through” funds.

- **5003** (For use by the SELPA AU) Special Ed regionalized services/regional program specialist revenue. Some AU’s, in order to clarify that there is a specific funding stream for regionalized services and regional program specialists. These funds will be reported as coming in as “unspecified” but through the use of this sub code will be “earmarked” for use in Goal Codes 5050 and 5060.
- **5004** Spec Ed Student Services (Couns. Psych. Health, & Social Workers). Since such services are often provided across categorical lines, use of this sub-code allows expenditures for such services to be considered “unspecified” but are identified as student services.
- **5020** Alternative Use of Funds for Federal MOE purposes The SACS system does not currently provide for an acceptable method of using “special ed funds” for non-special education instruction/intervening services. Federal law permits, under certain circumstances. The use of such a sub-code could create specified goal for this purpose. Additional sub-codes 5021 and 5022 could be used to differentiate between the use of 50% of the federal increase for ESEA purposes and and early intervening activities, respectively
- **5050** **Regionalized Services Funds for these purposes are restricted by EC Section 56836.25. Consequently, this Goal Code has been changed this year from optional use to required use. LEA’s providing these services, commonly, but not exclusively, SELPA AUs.**
- **5052** Spec Ed Community Advisory Committee
- **5053** Spec Ed Management Information System
- **5054** Spec Ed Professional and Staff Development
- **5060** **Regional Program Specialist Services Funds for these purposes are included in the funds that are restricted by EC Section 56836.25. Consequently, if Regional Program Specialist services are provided, the expenditures should be reported under this Goal Code. It, too, has been changed from optional use to required use.**

Special education instructional Goal Codes start at 5710 and continue through 5799.

- **5710** **Spec Ed Infants**
- **5730** **Spec Ed Preschool Students**
- **5731** Single Site or center
- **5740** Itinerant/ Integrated Sites
- **5741** Home based services

### **5750 Services for Students with Severe and/or Low Incidence Disabilities**

- 5751 Spec Ed Sev Disab Extended Year
- 5752 Spec Ed Sev Disab Ages 5-17
- 5753 Spec Ed Sev Disab Ages 17-22

#### **We strongly recommend that we all choose to use the following sub-codes**

- 5754 Special Ed Autism
- 5755 Special Ed Emotionally Disturbed
- 5760 Spec Ed Low Incidence Disabilities

#### **Additional Low Incidence code options**

- 5761 Spec Ed Low Incidence Disabilities Extended Year
- 5762 Spec Ed Low Incidence Disabilities Visually Impaired
- 5763 Spec Ed Low Incidence Disabilities Deaf/Hard of Hearing
- 5764 Spec Ed Low Incidence Disabilities Orthopedically Impaired
  
- **5770 Spec Ed Non-Sev Disab Ages 5-22**
- 5771 Spec Ed Non-Sev Disab Specific Learning Disabilities
- 5772 Spec Ed Non-Sev Disab Speech/Language Impaired
- 5773 Spec Ed Non-Sev Disab. English Language Learners
  
- 5790 Private School ISP's This would provide a code in which to show expenditures for private school ISPs. It would combine with the new Resource Codes, 3311, 3317, and 3321, above under Federal Resources codes. This has been recommended to CDE, but they have not yet agreed to incorporating it as a part of the SACS system.

### **Function Codes**

Function Codes fall in the 1100 through 1199 range. This code range identifies specific special education activities provided through these expenditures are for the purpose of providing special education services. Optional Function Sub-codes can be created locally for specific purposes. As I have indicated earlier, if we are going to employ sub-goals locally, we should try to make them consistent throughout the state. The “suggested” sub-codes below are from the document I distributed earlier. Keep in mind that any sub-codes will “roll up” to the standard code for reporting purposes. The standard codes are in bold face and suggested optional Functional Sub-codes are in standard face.

- **1110 Spec Ed Separate Classes**
  
- **1120 Resource Specialist Instruction**
- 1121 Learning Centers/Resource Specialist Program. If an RSP is not a part of this program, it should be a 1190 Function Sub-code.



- **1130 Supplemental Aids and Services in Regular Classrooms.** This seems to be the most misunderstood code in the special education area. It is specific to aids and support for individuals with exceptional needs participating in general education classrooms. This Function Code is derived from the Annual Budget Plan requirements in EC Section 56205.
- 1131 Instructional Aids/Classified Staff
- 1132 Brailing Services/Note Taking Services
- 1133 Large Print Text
- 1134 Interpreters and Transliterations
- 1135 Assistive Technology
- 1136 Individual and/or Small Group Instruction
- 1137 Home and Hospital Instruction
  
- 1180 Spec Ed Instruction/Services in Non-Public Schools and Agencies
- 1181 LCI Residents in Non-Public Schools
- 1182 LCI Residents in Non-Public Agencies
- 1183 Others in Non-Public Schools
- 1184 Others in Non-Public Agencies
  
- **1190 Spec Ed Other Specialized Instructional Services**
- 1191 Learning Centers, One on One Support, and Individual and Small Group Instruction
- 1192 Speech and Language Services (Speech Therapy could also be Function Code, 3150, but speech assistants/aides, speech therapy supplies and travel should be in an 1190 Function Code.)
- 1193 Adaptive PE
- 1194 Orientation and Mobility Instruction
- 1195 Specialized Services for Low Incidence (Vis Imp, D/HH, Ortho Imp)
- 1196 Work Experience/Vocational Ed
- 1197 Independent Living Skills
- 1198 Assistive Technology
- 1199 Other

The following are generally administrative and supervisor functions

- **2100 Supervision of Instruction**
- **2200 Regional Administration (SELPA Admin Unit (AU))**
- **2700 School Administration**

The following are Pupil Personnel or Student Services functions. They could combined with an instructional (5700) Goal or in an unspecified Goal (5001 or 5004)

- **3110 Guidance and Counseling Services performed by a Counselor**
- 3111 Individual Counseling
- 3112 Group Counseling
- 3113 Behavior Management
- 3114 Parent Counseling

- 3115 Pre-Mental Health Referral Counseling
  
- **3120 Psychological Services**
- 3121 Psychological Assessment
- 3122 Behavior Management
- 3123 Counseling (by a Psychologist)
- 3124 Pre-Mental Health Referral Interventions
- 3125 Mental Health Services
- 3126 Psychiatric Counseling/Monitoring
  
- **3130 Attendance and Social Work Services**
- 3131 School Social Worker Services
- 3132 Counseling
- 3133 Pre-Mental Health Referral Interventions
  
- **3140 Health and Nursing Services**
- 3141 School Nursing Service
- 3142 Specialized Health Care Services
- 3143 Occupational Therapy
- 3144 Physical Therapy
- 3145 Medical Therapy Unit
- 3146 Health Assessment
- 3147 Vision Therapy
  
- **3150 Speech, Language, and Audiology Services for services provided by a Speech/Language Therapist. Language screening, assistance in the reading program, medical referrals for hearing concerns would be appropriate in this Function Code. Direct special education services should be in an 1190 Function Code**
  
- **3600 Pupil Transportation Home to School/Spec Ed Sev Dis/Ortho Imp**
- 3602 Pupil Transportation Parent Mileage In Lieu

### **Selected Revenue and Transfer Object Codes**

- **8080-8089 Miscellaneous Funds From Federal State and Local Sources**

The following two object codes often don't show up in special education budgets in which they should appear. It's important to make sure these transfers are in your budgets if they apply to your LEA

- **8091 Revenue Limit Transfers (from SDC and NPS ADA Apportionment) If you operate SDC's or have students in NPSs, this transfer should be in your budget, brought into Goal Code 5001**

- **8097**                    **Property Tax Transfers (Special Ed Property Taxes)** If your LEA receives County Office special education property tax, this transfer should be in your budget in Goal 5001
  
- **8100-8299**            **Federal Revenue**
- **8181**                    **Federal Local Assistance IDEA Part B** This code is used by a recipient LEA for programs and services it will provide.
- **8182**                    **Other Federal IDEA Revenues from State Discretionary Grants** This code is used by a recipient LEA for programs and services it will provide.
- **8287**                    **Pass-through Revenue from Federal Sources** This code would be used by the SELPA AU to identify federal revenue that is “passing through” LEA members of the SELPA
  
- **Other State Revenues**
- **8311**                    **Other State Apportionments (AB 602 Funds come in using this Object Code)**
- **8319**                    **Other State Apportionments - Prior Year Corrections**
- **8550**                    **Mandated Cost Reimbursements**
- **8560**                    **State Lottery Revenue**





## Appendix H



**JACK O'CONNELL**  
STATE SUPERINTENDENT OF PUBLIC INSTRUCTION

March 27, 2009

Dear County and District Superintendents, Charter School Administrators, Principals,  
Special Education Local Plan Area Directors, and Nonpublic School Directors:

### SERVICE DELIVERY FOR STUDENTS WITH DISABILITIES

In a desire to close the achievement gap and meet federal and state requirements, many districts and schools are implementing the latest research-based practices that ensure students are successful in school. As a means to effectively utilize personnel, some special education teachers are being asked to instruct students with and without an Individualized Education Program (IEP). If there are changes occurring in the manner of how instructional programs are delivered, including special education services, it is necessary that these practices remain compliant with federal and state laws and regulations. This letter provides clarification about delivering services to students with disabilities and how to effectively implement laws and regulations to meet compliance requirements.

#### Basic Legal Requirements

Local decisions concerning changes in service delivery must be guided by, but not limited to, the following legal requirements:

- All individuals with exceptional needs, as defined in California *Education Code* (EC) Section 56026, must receive a free appropriate public education (FAPE) in the least restrictive environment (LRE) (EC Sections 56000[a] and [b], 56040, and 56040.1)
- Any changes to services provided to students with IEPs must be determined by the IEP team, agreed to by the parent and documented in the IEP
- Resource Specialist Program (RSP) teachers must meet some specifics (EC Section 56362):
  - The RSP caseload cannot exceed 28 students who have IEPs; instructional aides and pupil enrollment requirements remain the same
  - An RSP teacher cannot be **simultaneously assigned** to serve as a resource specialist **and** as a regular class teacher
- Procedural safeguards must be provided as required in state statute and regulations [EC Sections 56500 through 56509 and Title 5, *California Code of Regulations* (CCR), Sections 4600 through 4670]. You can find a brief summary of procedural safeguards for students with disabilities receiving special education services on the California Department of Education (CDE) Parents' Rights Web page at <http://www.cde.ca.gov/sp/se/ga/psssummary.asp>
- The local educational agency (LEA), county office of education (COE), and Special Education Local Plan Area (SELPA) must meet all applicable state and federal laws, regulations, and policies (EC Section 56205)

- Each SELPA shall ensure that a continuum of program options is available to meet the needs of individuals with exceptional needs for special education and related services (EC Sections 56360 through 56361)

### **Considerations - Changes to Service Delivery**

If the district is planning to make instructional changes to service delivery for students with IEPs, the following information should be considered:

#### **Use of Personnel and Funding**

1. Special education teachers must have the appropriate credentials to provide instruction to both students with an IEP and those students without IEPs.
2. Teachers must be highly qualified - Special education teachers providing instruction in the core academic subjects must meet the same "highly qualified" requirements and personnel qualifications described in the Individuals with Disabilities Education Act (IDEA) laws and regulations (EC Section 56058).

The full text of EC Section 56058 is available on the CDE Laws & Regulations: A Composite of Laws Database Search Engine Web page at [http://www3.scoe.net/speced/laws\\_search/searchDetailsLaws.cfm?id=839&keywords=56058](http://www3.scoe.net/speced/laws_search/searchDetailsLaws.cfm?id=839&keywords=56058).

3. If personnel costs are shared across special education and non-special education funding sources in a pro-rated manner based on instructional time, the pro-rated costs must be in accordance with federal funding requirements.

Funds apportioned to the SELPAs are to assist local educational agencies to provide special education and related services to individuals with exceptional needs and shall be expended exclusively for programs under this part (EC Section 56836.04).

Federal funds available through Part B of the IDEA are appropriated through the annual Budget Act and shall only be used for the excess costs of providing special education and related services to individuals with exceptional needs. The federal funds are to supplement state, local, and other federal funds and not to supplant those funds (EC Section 56841).

For example, a full time RSP teacher operating within the required caseload limit of 28, might implement 14 IEPs (one-half of the maximum caseload of 28) and provide instruction in reading as 50 percent of the position. Special education funding could be used for the 50 percent of the special education RSP teacher in implementing IEPs and **other** funding sources could fund the position for the remaining percent. The remaining 14 IEPs must also be implemented by qualified staff.

In the above example, special education funds could only be used for the RSP teacher to fund 50 percent of the position that delivers special education and related services. In this case, the special education teacher is assigned half-time to special education and



half-time for instruction to students without IEPs. There is no funding supplanting and the LEA is compliant regarding assignments.

#### **Professional Development**

4. Professional development, IDEA funds, and the No Child Left Behind (NCLB) Act of 2001 Title II funds can be used to increase the number of special education teachers meeting highly qualified teacher requirements under both laws. SELPAs receive federal funds for personnel development as authorized in the state budget. Title II funds are also federal funds distributed to local public education agencies.

#### **Service Delivery Reporting Requirements**

5. All special education services are reported in an annual service plan (ASP) which is submitted to CDE. The ASP provides information about special education services as of December 1 for every school, district, and SELPA in the state (*EC* Section 56205[b](2)).

The full text of *EC* Section 56205 is available on the CDE Laws & Regulations: A Composite of Laws Database Search Engine Web page at [http://www3.scoe.net/speced/laws\\_search/searchDetailsLaws.cfm?id=684&keywords=56205](http://www3.scoe.net/speced/laws_search/searchDetailsLaws.cfm?id=684&keywords=56205).

If these changes in service delivery are made in response to the NCLB Program Improvement (PI) requirements, compliance with reauthorized IDEA must be assured as well. While service delivery might address NCLB PI requirements, those activities and re-design of service delivery cannot be implemented in any way that would place the public education agency into noncompliance with IDEA.

#### **Stakeholder Involvement**

6. Districts, COEs, and SELPAs are encouraged to hold discussions with parents, other stakeholders and community members to obtain their comments on proposed service delivery changes. An example of a venue is through the public hearing held by the SELPA regarding the ASP.

If you have any questions regarding this letter, please contact your regional Focused Monitoring Technical Assistance (FMTA) consultant. Contact information is available at <http://www.cde.ca.gov/sp/se/qa/fmtacnct.asp>.

Sincerely,

JACK O'CONNELL

JO:mh



## Appendix I

California Department of Education; Special Education Division; Assessment, Evaluation, and Support Unit

### 2006-07 District-Level Special Education Annual Performance Report Measures

District: **Santa Barbara Elementary, 4269278**

Type: Elementary District

FMTA: 2

SELPA: 4200 Santa Barbara County SELPA

| District 2006-07 Enrollment |        |           |
|-----------------------------|--------|-----------|
| SE Ages                     |        | GE        |
| 3 - 5                       | 6 - 22 | Gr 1 - 12 |
| 167                         | 937    | 4,896     |

| <u>Compliance and Indicators</u>   | Target this year                                    | Performance this year | Met target | Improved over last year | Target next year     | Action required |
|--|---|-----------------------|------------|-------------------------|----------------------|-----------------|
| 1. Graduation (Grade 12)   | N/A   | N/A                   | N/A        | N/A                     | N/A                  | N/A             |
| 2. Dropout (Grades 7 - 12)   | <= 3.6%   | 0.0%                  | Yes        | Yes                     | <= 3.3%              | No              |
| 3. Assessment (Grades 3 - 8, 10)   |   |                       |            |                         |                      |                 |
| A. Met AYP   | Meet all  | Met all = No          | No         | No Change               | Meet all             | Yes             |
| B. Participation   |   |                       |            |                         |                      |                 |
| English-language Arts  | >= 95.0%  | 97.0%                 | Yes        | No Change               | >= 95.0%             |                 |
| Mathematics  | >= 95.0%  | 98.0%                 | Yes        | No Change               | >= 95.0%             |                 |
| C. Performance   |   |                       |            |                         |                      |                 |
| English-language Arts  | >= 24.4%  | 13.7%                 | No         | Yes                     | >= 35.2%             |                 |
| Mathematics  | >= 23.7%  | 19.0%                 | Yes *      | Yes                     | >= 25.0%             |                 |
| 4. Suspension/Expulsion (Ages 3 - 22)  |   |                       |            |                         |                      |                 |
| A. Overall   | <= 1.0%   | 1.1%                  | No         | No                      | <= 1.0%              | Yes             |
| B. Ethnic disproportion  | Not an Annual Performance Report Measure in 2006-07 |                       |            |                         |                      |                 |
| 5. LRE (Ages 6 - 22)   |   |                       |            |                         |                      |                 |
| A. Out regular < 21%   | >=56.0%   | 54.9%                 | No         | N/A*                    | >= 58%               | Yes             |
| B. Out regular > 60%   | <=20.9%   | 11.7%                 | Yes        | N/A*                    | <= 20%               |                 |
| C. Separate facility   | <=2.4%  | 0.2%                  | Yes        | N/A*                    | <= 2.26%             |                 |
| 6. LRE - Preschool (Ages 3 - 5) See SELPA-Level Special Education Annual Performance Report Measures   |   |                       |            |                         |                      |                 |
| 7. Assessment - Preschool (Ages 3 - 5) See SELPA-Level Special Education Annual Performance Report Measures  |   |                       |            |                         |                      |                 |
| 8. Parent Involvement (Ages Birth - 22)  | >= 74.0%  | N/A                   | N/A        | N/A                     | >= 78.0%             | N/A             |
| 9. Overall ethnic disproportion due to policies, procedures, or practices (Ages 6 - 22)  | Not Disproportionate                                | Not Disproportionate  | Yes        | Yes                     | Not Disproportionate | No              |
| 10. Ethnic disproportion by disability due to policies, procedures, or practices (Ages 6 - 22)   | Not Disproportionate                                | N/C                   | N/A        | N/A                     | Not Disproportionate | No              |
| 11. Eligibility evaluation (Initial) Determination made within 60 Days (Ages Birth - 22) The results for this item were withdrawn by the California Department of Education due to the lack of sufficient data to make valid calculations. |   |                       |            |                         |                      |                 |
| 12. Transition part C to part B Not later than 3rd birthday See SELPA-Level Special Education Annual Performance Report Measures   |   |                       |            |                         |                      |                 |

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| <b>2006-07 District-Level Special Education Annual Performance Report Measures</b> |
|--|

District: **Santa Barbara High, 4269286**

Type: High School District Grade 7-12

FMTA: 2

SELPA: 4200 Santa Barbara County SELPA

| District 2006-07 Enrollment |        |           |
|-----------------------------|--------|-----------|
| SE Ages                     |        | GE        |
| 3 - 5                       | 6 - 22 | Gr 1 - 12 |
| 0                           | 886    | 10,409    |

| <u>Compliance and Indicators</u>  | Target this year     | Performance this year | Met target | Improved over last year | Target next year     | Action required |
|---|----------------------|-----------------------|------------|-------------------------|----------------------|-----------------|
| 1. Graduation (Grade 12)  | >= 36.0%             | 36.8%                 | Yes        | No                      | >= 39.0%             | No              |
| 2. Dropout (Grades 7 - 12)  | <= 7.8%              | 0.7%                  | Yes        | Yes                     | <= 7.1%              | No              |
| 3. Assessment (Grades 3 - 8, 10)  |                      |                       |            |                         |                      |                 |
| A. Met AYP  | Meet all             | Met all = No          | No         | No                      | Meet all             | Yes             |
| B. Participation  |                      |                       |            |                         |                      |                 |
| English-language Arts   | >= 95.0%             | 95.0%                 | Yes        | No                      | >= 95.0%             |                 |
| Mathematics   | >= 95.0%             | 96.0%                 | Yes        | Yes                     | >= 95.0%             |                 |
| C. Performance  |                      |                       |            |                         |                      |                 |
| English-language Arts   | >= 23.0%             | 13.8%                 | No         | Yes                     | >= 34.0%             |                 |
| Mathematics   | >= 23.7%             | 13.4%                 | Yes *      | No                      | >= 25.0%             |                 |
| 4. Suspension/Expulsion (Ages 3 - 22)   |                      |                       |            |                         |                      |                 |
| A. Overall  | <= 1.0%              | 1.6%                  | No         | N/A                     | <= 1.0%              | Yes             |
| B. Ethnic disproportion   |                      |                       |            |                         |                      |                 |
| Not an Annual Performance Report Measure in 2006-07   |                      |                       |            |                         |                      |                 |
| 5. LRE (Ages 6 - 22)  |                      |                       |            |                         |                      |                 |
| A. Out regular < 21%  | >=45.0%              | 35.9%                 | No         | N/A*                    | >= 48%               | Yes             |
| B. Out regular > 60%  | <=23.6%              | 18.7%                 | Yes        | N/A*                    | <= 22.8%             |                 |
| C. Separate facility  | <=3.8%               | 0.8%                  | Yes        | N/A*                    | <= 3.6%              |                 |
| 6. LRE - Preschool (Ages 3 - 5)   |                      |                       |            |                         |                      |                 |
| See SELPA-Level Special Education Annual Performance Report Measures  |                      |                       |            |                         |                      |                 |
| 7. Assessment - Preschool (Ages 3 - 5)  |                      |                       |            |                         |                      |                 |
| See SELPA-Level Special Education Annual Performance Report Measures  |                      |                       |            |                         |                      |                 |
| 8. Parent Involvement (Ages Birth - 22)   | >= 74.0%             | N/A                   | N/A        | N/A                     | >= 78.0%             | N/A             |
| 9. Overall ethnic disproportion due to policies, procedures, or practices (Ages 6 - 22)   | Not Disproportionate | N/C                   | N/A        | N/A                     | Not Disproportionate | N/A             |
| 10. Ethnic disproportion by disability due to policies, procedures, or practices (Ages 6 - 22)  | Not Disproportionate | N/C                   | N/A        | N/A                     | Not Disproportionate | N/A             |
| 11. Eligibility evaluation (Initial) Determination made within 60 Days (Ages Birth - 22)  |                      |                       |            |                         |                      |                 |
| The results for this item were withdrawn by the California Department of Education due to the lack of sufficient data to make valid calculations. |                      |                       |            |                         |                      |                 |
| 12. Transition part C to part B Not later than 3rd birthday   |                      |                       |            |                         |                      |                 |
| See SELPA-Level Special Education Annual Performance Report Measures  |                      |                       |            |                         |                      |                 |

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## Appendix J



### FISCAL CRISIS & MANAGEMENT ASSISTANCE TEAM STUDY AGREEMENT

December 12, 2008

The FISCAL CRISIS AND MANAGEMENT ASSISTANCE TEAM (FCMAT), hereinafter referred to as the Team, and the Santa Barbara Schools, hereinafter referred to as the District, mutually agree as follows:

#### 1. BASIS OF AGREEMENT

The Team provides a variety of services to school districts and county offices of education upon request. The District has requested that the Team provide for the assignment of professionals to study specific aspects of the Santa Barbara Schools operations. These professionals may include staff of the Team, County Offices of Education, the California State Department of Education, school districts, or private contractors. All work shall be performed in accordance with the terms and conditions of this Agreement.

#### 2. SCOPE OF THE WORK

##### Scope and Objectives of the Study

The scope and objectives of this study are:

##### A. Fiscal Items:

1. Examine the current allocation of fiscal and support resources employed by the Santa Barbara SELPA and provide recommendations that if implemented, would increase revenue and/or curtail costs for the Santa Barbara Schools, including the operation of their own regional programs.
2. Advise the districts of the feasibility of becoming their own SELPA, including the associated expense or cost savings, liability and compliance issues.
3. Analyze the cost effectiveness of existing county operated vs. district operated programs.

4. Evaluate the current special education facilities consortia operated by the SELPA and make recommendations to ensure that districts are not underwriting the facilities costs, including the cost of special education preschool facilities of other districts in the SELPA.

B. Organizational Items:

1. Review the current organizational structure of special education and make recommendations to ensure effective clerical, program specialist and administrative support for programs and staff.
2. Advise the district on the appropriate configuration of top administrative positions in special education with recommendations for accountability and responsibilities.
3. Review the role of attorneys in the special education programs.
4. Review the reporting structure within the district for communication on special education litigation issues.
5. Review the resolution process for special education issues including resolution meetings, mediations, etc.

C. Programmatic Items:

1. Review the effectiveness of the process for the assignment of teachers and aides in the district.
2. Examine the district procedures for special education. Review the extent to which RTI is being implemented. Review the level of parent participation and collaboration in the special education process.
3. Review Special Education staffing ratios and the allocation of FTE teachers to class size.
4. Review district procedures for determining the need for the instructional support of instructional aides and, when required by the IEP, for assuring the provision of trained instructional support in the event of absence on the part of the regularly assigned instructional aide.

5. B. Services and Products to be Provided

- 1) Orientation Meeting - The Team will conduct an orientation session at the District to brief District management and staff on the procedures of the Team and on the purpose and schedule of the study.

- 2) On-site Review - The Team will conduct on-site meetings at the District office to gather documentation and conduct interviews. The Team will request assistance from the District in setting up interview schedules with staff.
- 3) Progress Reports - The Team will hold an exit meeting at the conclusion of the on-site reviews to inform the District representatives of significant findings and recommendations to that point.
- 4) Exit Letter - The Team will issue an exit letter approximately 10 days after the exit meeting detailing significant findings and recommendations to date and memorializing the topics discussed in the exit meeting.
- 5) Draft Reports - Sufficient copies of a preliminary draft report will be delivered to the District administration for review and comment.
- 6) Final Report - Sufficient copies of the final study report will be delivered to the District following completion of the review.
- 7) Follow-Up Support – Six months after the completion of the study, FCMAT will return to the District, if requested, to confirm the District’s progress in implementing the recommendations included in the report, at no costs. Status of the recommendations will be documented to the District in a FCMAT Management Letter.

### 3. PROJECT PERSONNEL

The study team will be supervised by Anthony L. Bridges, Deputy Executive Officer, Fiscal Crisis and Management Assistance Team, Kern County Superintendent of Schools Office. The study team may also include:

- A. Dr. William Gillaspie, FCMAT Chief Management Analyst
- B. James “Sarge” Kennedy, FCMAT Special Education Consultant
- C. JoAnn Murphy, FCMAT Special Education Consultant
- D. Ann Stone, FCMAT Special Education Consultant

Other equally qualified consultants will be substituted in the event one of the above noted individuals is unable to participate in the study.

4. PROJECT COSTS

The cost for studies requested pursuant to E.C. 42127.8(d)(1) shall be:

- A. \$500.00 per day for each Team Member, while on site, conducting fieldwork at other locations, preparing and presenting reports, or participating in meetings.
- B. All out-of-pocket expenses, including travel, meals, lodging, etc. Based on the elements noted in section 2 A, the total cost of the study is estimated at \$24,000. The District will be invoiced at actual costs, with 50% of the estimated cost due following the completion of the on-site review and the remaining amount due upon acceptance of the final report by the District.
- C. Any change to the scope will affect the estimate of total cost.

Payments for FCMAT services are payable to Kern County Superintendent of Schools- Administrative Agent.

5. RESPONSIBILITIES OF THE DISTRICT

- A. The District will provide office and conference room space while on-site reviews are in progress.
- B. The District will provide the following (if requested):
  - 1) A map of the local area
  - 2) Existing policies, regulations and prior reports addressing the study request
  - 3) Current organizational charts
  - 4) Current and four (4) prior year's audit reports
  - 5) Any documents requested on a supplemental listing
- C. The District Administration will review a preliminary draft copy of the study. Any comments regarding the accuracy of the data presented in the report or the practicability of the recommendations will be reviewed with the Team prior to completion of the final report.

Pursuant to EC 45125.1(c), representatives of FCMAT will have limited contact with District pupils. The District shall take appropriate steps to comply with EC 45125.1(c).



6. PROJECT SCHEDULE

The following schedule outlines the planned completion dates for key study milestones:

|   |  |
|---|--|
| <b><i>Orientation:</i></b>                  | <b><i>Late February or early March, 2009</i></b>   |
| <b><i>Staff Interviews:</i></b>             | <b><i>March, 2009</i></b>                          |
| <b><i>Exit Interviews:</i></b>              | <b><i>March, 2009</i></b>                          |
| <b><i>Preliminary Report Submitted:</i></b> | <b><i>Six weeks following the exit meeting</i></b> |
| <b><i>Final Report Submitted:</i></b>       | <b><i>to be determined</i></b>                     |
| <b><i>Board Presentation:</i></b>           | <b><i>to be determined</i></b>                     |
| <b><i>Follow-Up Support:</i></b>            | <b><i>If requested</i></b>                         |

7. CONTACT PERSON

Please print name of contact person: Eric D. Smith, Deputy Superintendent

Telephone 805 963-4338, ext 289

FAX 805 963-5685

Internet Address esmith@sbsdk12.org

\_\_\_\_\_  
Brian Sarvis, Superintendent

Date



December 12, 2008

\_\_\_\_\_  
Barbara Dean, Deputy Administrative Officer  
Fiscal Crisis and Management Assistance Team

Date

In keeping with the provisions of AB1200, the County Superintendent will be notified of this agreement between the District and FCMAT and will receive a copy of the final report.