COLORADO
Department of Education

Standard Record Reviews and Transition Age File Reviews: Indicator 13 SY2026-2027

August 12, 2026

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Today's Plan

- Overview of Standard Record Review (SRR)
- Indicator 13 (I-13)
  - Changes to Post-School Considerations
  - Levels of Support
  - Corrections
- SRR process in the ESSU Data Management System (DMS)

Purpose of IEP Record Reviews

Guide school teams through the examination and comparison of specific components of an IEP to determine if the IEP is reasonably calculated to enable the student to make progress and receive educational benefit.

Outcomes:

1. Improvement in academic achievement, career and college readiness, and post school outcomes for students with disabilities
2. Informed decisions about professional development and technical assistance needs in IEP development and implementation
3. To gather statewide data required for the Colorado State Performance Plan/Annual Performance Review (SPP/APR) submitted annually to the Office of Special Education Programs (OSEP)



Overview of Standard Record Reviews

Timeline and samples

- Timeline:
  - Samples are open in the Data Management System (DMS) August 1, 2026 – May 3, 2027
- Samples pulled from the 2025 December Count data
- Random samples ensure that students in each age group are adequately represented
- Sample stratified in 3 age categories:
  - Preschool: 3- and 4-year-olds
  - School age: 5- to 14-year-olds
  - Secondary transition: 15- to 21-year-olds

Number of Reviews

- Maximum number of total reviews is 30
  - Minimum 10
  - Maximum 30
- Transition IEP reviews – used for reporting Colorado's Indicator 13 data
  - Minimum 5
  - Maximum 10
- Review active IEPs dated between April 1, 2026 – May 3, 2027
- Full record reviews – protocol is built into the DMS



Indicator 13: Transition Age IEP Reviews

What is Indicator 13?

Indicator 13 measures whether the IEPs of transition-aged students include all required transition planning components under IDEA.

- Applies to students age 15 and older in Colorado.
- Assesses the quality and compliance of transition planning in the IEP.

Transition Aged Questions Reordered

- The Standard Record Review questions #12 through #22 related to Post-School Considerations for Secondary Transition IEPs have been reordered
- The new sequence aligns with the flow of the IEP rather than the order of the required Indicator 13 elements
- This update does not change the wording, intent, or compliance requirements of the questions; only their placement within the Standard Record Review Protocol has changed

Transition Notice of Meeting Purpose

- Starting with the 2026-2027 review if question #13 is marked as a “no” it will flag for noncompliance
- The question remains the same, however in the past, the system would not flag this question as noncompliant

13. The notice of meeting indicates the purpose of the meeting will be the consideration of the postsecondary goals and transition services. §300.322(b)(2)(i)(A); 4.03(7)(b)(i)(A)

- *Evidence that a purpose of the meeting is identified as transition.*

Calculating % Compliance for I-13

- Target for Indicator 13 = 100% compliance
- Indicator 13 is an “all or nothing” indicator - a Transition IEP is considered compliant when ALL 8 required elements are evident in the document.
- Calculation: % Compliant = (Number of youth age 15 and above with IEPs that contain each of the required components for secondary transition/required number of reviews) * 100

Example:

- Required number of file reviews = 5
- Compliant IEPs = 4
- % Compliant: 4/5 = 0.8 x 100 = 80%

I-13 Compliance Elements

1. Appropriate measurable postsecondary goals (PSGs) in education/training, career/employment, and, where appropriate, independent living skills
2. PSGs are updated annually (N/A option if you are reviewing the first Transition Age IEP for the student at age 15)
3. Age-appropriate transition assessments
4. Courses of study that will assist the student in reaching the PSGs
5. Transition services that will reasonably enable the student to meet his or her PSGs

I-13 Compliance Elements (cont.)

6. Annual goals related to the student's transition services
7. Notice of meeting invites the student and must indicate a purpose of the meeting will be the consideration of the postsecondary goals and transition services
8. Prior consent of the parent to invite a representative of any participating agency that is likely to be responsible for providing or paying for transition services. (N/A is okay)

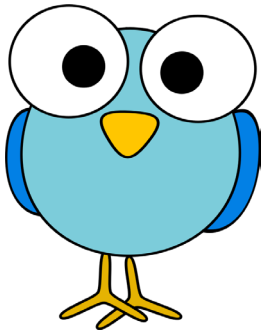
Reporting Indicator 13 Compliance

Office of Special Education Programs (OSEP) clarification to State Education Agencies (SEAs) 12/16/19

"while the SEA may provide an LEA the opportunity to correct noncompliance prior to the issuance of a written finding, the percentage reported in the APR must reflect the AU's actual level of compliance ***prior to the opportunity to correct any noncompliance***."

What this means for CDE/AU reporting

- Once CDE reviews a transition IEP (has eyes on it), and
- finds noncompliance in one or more elements required for I 13, then
- the IEP must be considered noncompliant for I 13 reporting purposes
- Individual corrections of noncompliance are still required to be completed



Clarification on School Age Record Review and 14-Year-Old Students

- Some students in the School Age Record Review may be 14 years old and have an IEP with Post-Secondary Goals
- If so, the IEP must be compliant with Indicator 13
- If CDE identifies a non-compliant Transition IEP for a 14-year-old student:
  - The student will count toward non-compliance, affecting your AU's I-13 Compliance Rate.
  - This will impact the AU's determination

Please review all IEP's for students age 14+ to ensure full compliance.

Suggestions

Suggestions to lessen the likelihood of noncompliance when the data window closes:

- Provide training on the DMS record review process to staff conducting file reviews
- Review files for compliance on a regular basis: monthly, bi-monthly, quarterly
- Review files prior to a side-by-side collaborative review with CDE
- Establish a systemic accountability check procedure



Important:
Don’t wait until April to review IEPs

Data Submission Deadline and Reporting

At 5:00 PM on May 3, 2027, the data submission window closes and your access to these files in the DMS will be locked.

- Requests to reopen the files after the deadline will result in one point lost for Accurate and Timely Submission of Data on the Compliance Matrix for 2026 AU Determination
- AUs who do not complete their Transition Reviews before the deadline will be required to complete these reviews collaboratively with CDE monitoring staff

By August 2027: CDE will notify AUs that the I 13 results letter is available in the Documents section of the DMS Compliance tab.

February 2028: The CDE reports state-wide Indicator 13 compliance data and evidence to demonstrate correction of any noncompliance to OSEP in the SPP/APR.

Spring 2028: Indicator 13 compliance percentage included in the Compliance Matrix of each AU's Determination.



Indicator 13 Levels of Support and Corrections



Levels of Support – 3 Levels



Level of Support - Universal

All Transition IEPS are compliant

Universal Support

Universal Support

Resources can be found on the Integrated Monitoring and Accountability Process webpage:

- This recorded training
- The training PowerPoint
- A one-page checklist for completing IEP record reviews
- SRR instructions
- SRR protocol

Various training resources in writing quality Secondary Transition IEPs are on the Secondary Transition webpage.

Correction of Noncompliance for I13 Overview

Demonstrating Correction of Noncompliance for I 13

- Indicator 13 Compliance Target = 100%
- Reported to OSEP every February in the Colorado State Performance Plan/ Annual Performance Report
- If Colorado reports less than 100%

Then,
The CDE must demonstrate correction of noncompliance for each noncompliant IEP in every AU with less than 100% compliance.

Demonstrating Correction of Noncompliance

One or more noncompliant IEPs for the first year

Targeted Support

- Prong 1 “Individual Correction”
  - The CDE must ensure that each AU has corrected all individual cases of noncompliance unless the child is no longer within the jurisdiction of the AU, and the AU must identify the root cause of the noncompliance
    - DMS reported data – AUs must correct all individual IEPs that contain noncompliance for Indicator 13 requirements
- Prong 2 “Systemic Review of Transition IEPs”
  - The CDE must review updated data to determine that the AU is correctly implementing the specific regulatory requirements related to Indicator 13
    - CDE/AU collaborative side-by-side reviews of the required number of IEP reviews for secondary transition age youth for the following school year

Level of Support - Intensive

One or more noncompliant IEPs for the 2nd consecutive year

Intensive Support

Intensive Support – Includes all elements of Universal and Targeted Support plus:

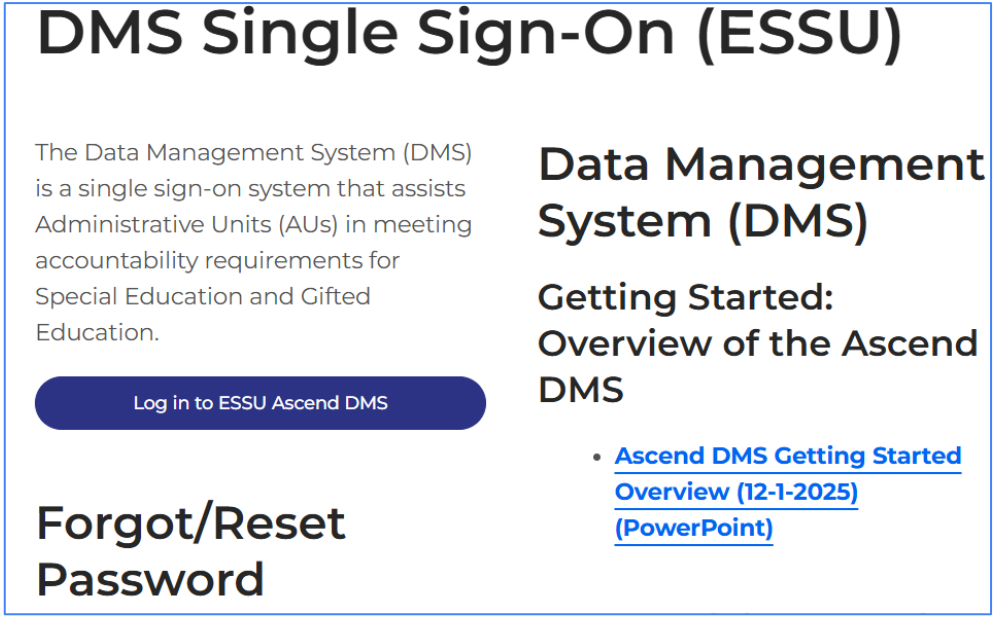
- The CDE will provide required individualized professional development in the area(s) of Secondary Transition IEP development based on the AU's need
- The CDE will conduct a second check of IEPs written 2-3 months after the required professional development



Standard Record Review Process in DMS

ESSU Data Management System

- To get into the ESSU DMS, use the blue button on the ESSU DMS webpage
- Save this page for future logins

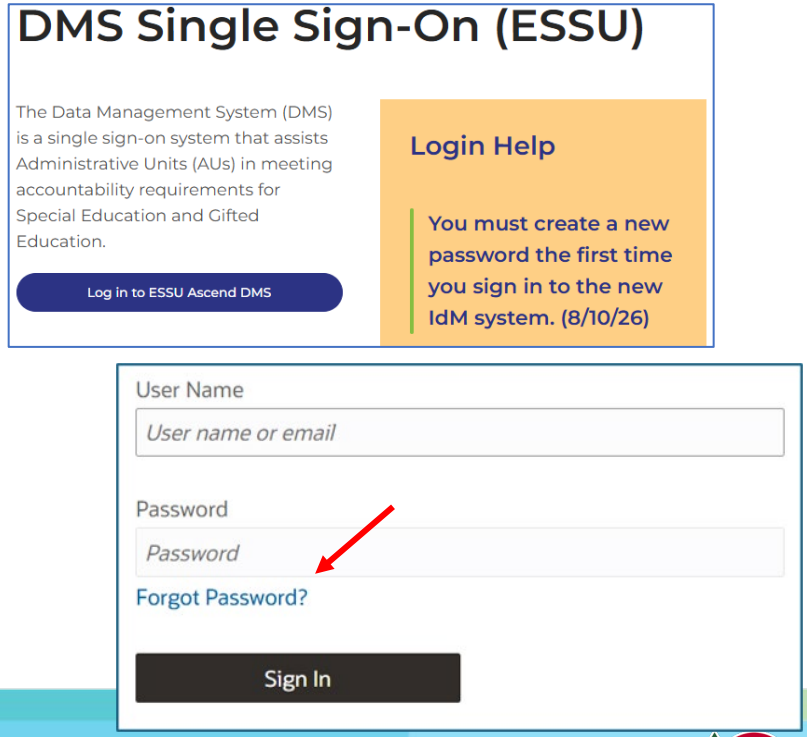


Access for the Ascend DMS

- If you do not have access to the DMS, contact your AU's Local Access Manager (LAM)
- The ESSU DMS application in Access Management is **ASCDMS**. There are 3 roles that grant access to Record Reviews in the DMS:
  - **MD** – For Monitoring Directors, all access
  - **GDnMD** – For those who are Gifted and Monitoring Directors, all access + Gifted module
  - **MRR** – For Record Review access
- Only one role should be assigned per user; If more than one role is assigned, you will not be able to log in
- *Questions about logging in or roles contact* **Josh Fails at fails_j@cde.state.co.us**

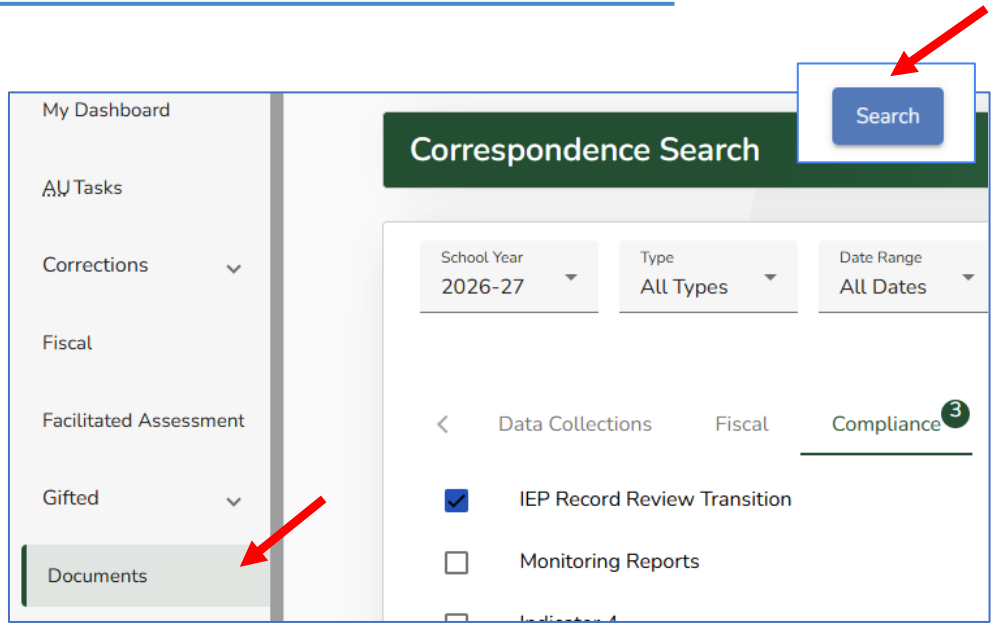
New IdM Single Sign-on August 10, 2026

- You must create a new password the first time you sign in to the new IdM system.
- Click the "Log in to ESSU Ascend DMS", then select "Forgot Password?" to create your new password.
- If you need help with access, contact your LAM.
- Visit the IdM page for more information on the new system.



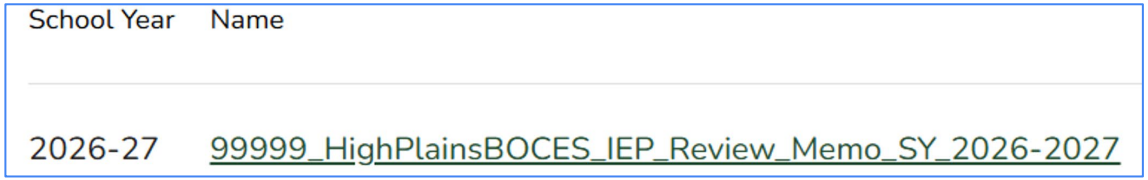
IEP Review Memo - Number of Files to Review

- Before beginning the SRR, find your IEP Review Memo in “Documents” on the left menu
- Tagged under "School Year 2026-27" and "Compliance - IEP Record Review..."
- Click the blue “Search” button on the right



IEP Review Memo - Number of Files to Review (cont.)

- Click on the document “IEP_Review_Memo_2026-2027”



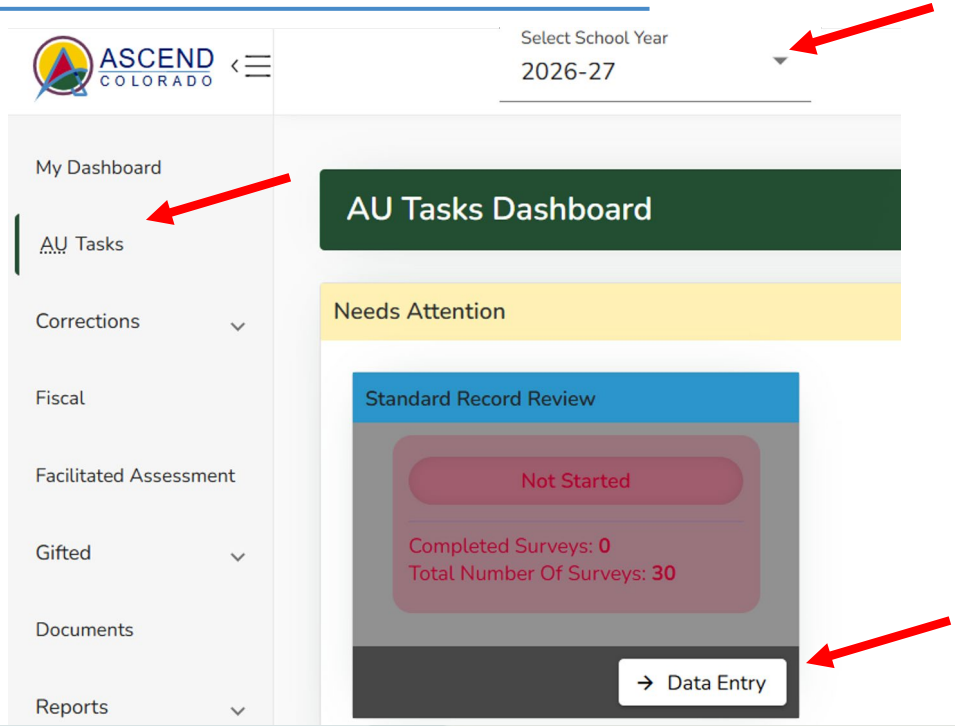
School Year	Name
2026-27	99999_HighPlainsBOCES_IEP_Review_Memo_SY_2026-2027

- SRR counts are based on your AU's IEP enrollment count from Special Education December Count. A table will show you how many reviews each age group will require.

Preschool Age 3-4	School age Age 5-14	Transition age Age 15 and above	Total number of IEPs reviewed by your AU
3	17	10	30

Finding the Reviews

- Select school year 2026-27 at the top of the DMS page
- “AU Tasks” on the left of the page to be taken to the dashboard
- Then “Data Entry” button in the Standard Records Review Tile

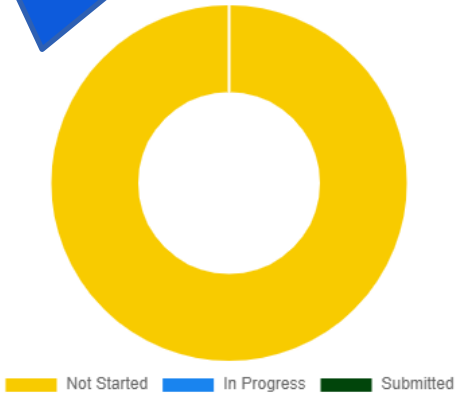


SRR Collection Dashboard

Status and progress wheel

Standard Record Review Status

Not Started	30
In Progress	0
Submitted	0
Total	30



Record Reviews are under "Groups"

Group	
All Survey Groups	All Groups
Early Childhood	Early Childhood Review Age 3 through 4
School Age	School Age Record Review Age 5 through 14
Transition	Transition Record Review Age 15 years and older

Export your SRR list for review

Export Student List | Export Survey Data

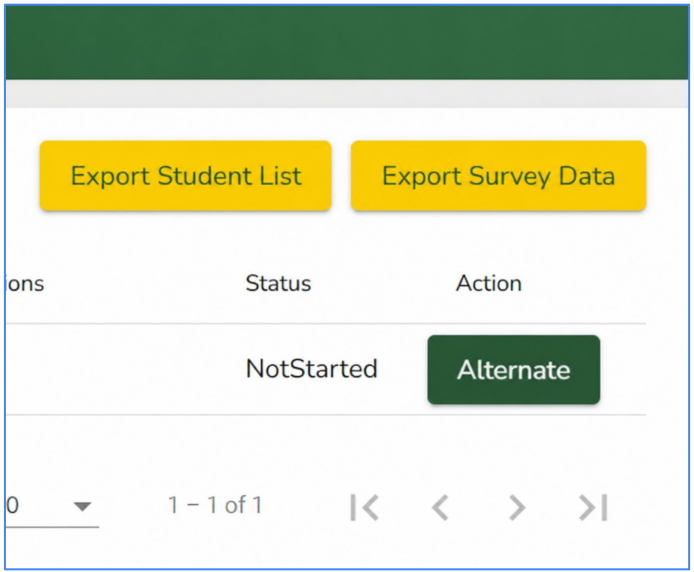
Alternate Students

Review your Student List export.

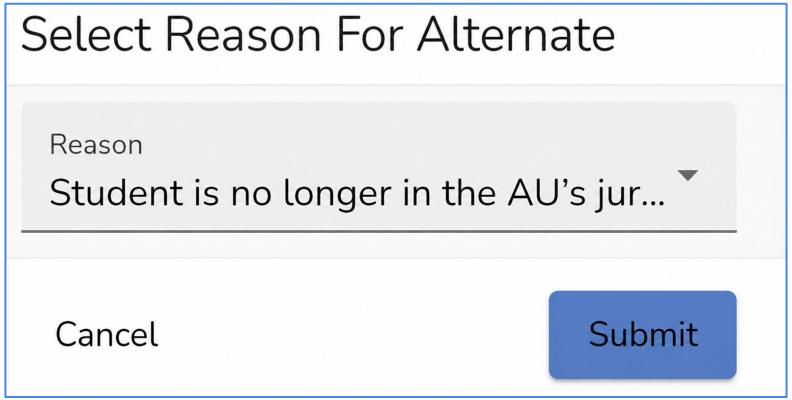
You can alternate a student for one of four CDE-approved reasons:

- Student is no longer in the AU's jurisdiction
- Student is no longer receiving special education services
- The IEP meeting will be held after May 3, 2027
- Student no longer has an Early Childhood IEP

Use the green "**Alternate**" button for the student you wish to replace.



Alternate Students (cont.)

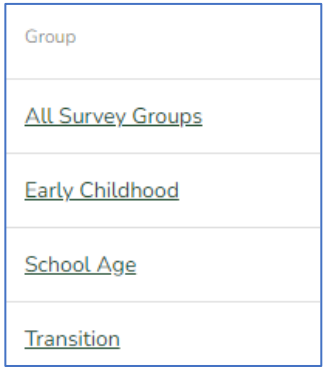


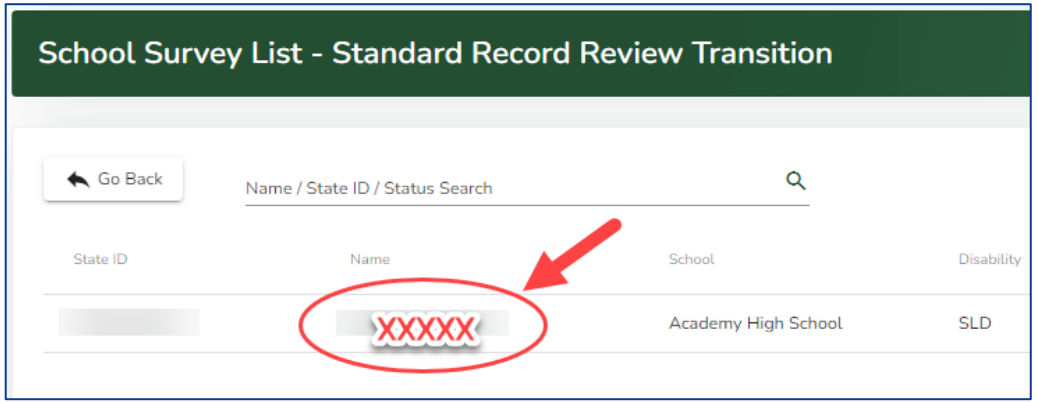
- In the pop-up window choose your reason from the list and click the blue “Submit” button
- The student will be replaced with a random student in the same age category from the sample pool

If an AU has used all the alternates available for their assigned sample, the system will prompt the user to contact CDE to request additional students be added to their sample.

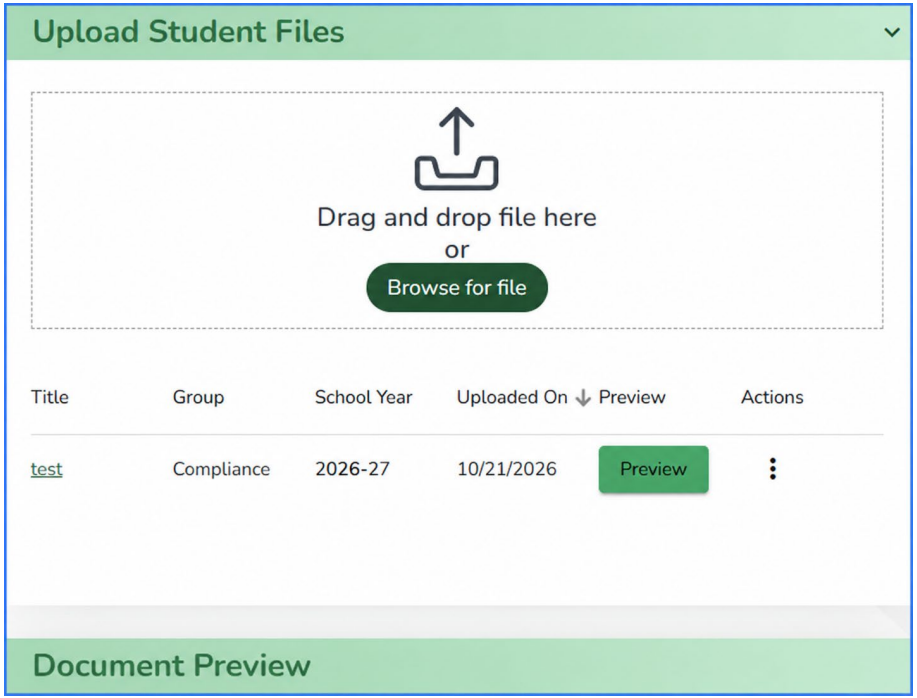
Starting a Record Review

- On the Dashboard select a group to open the student list
- Click on the Student's Name to open that student's record
- The Standard Record Review protocol for the selected student will open





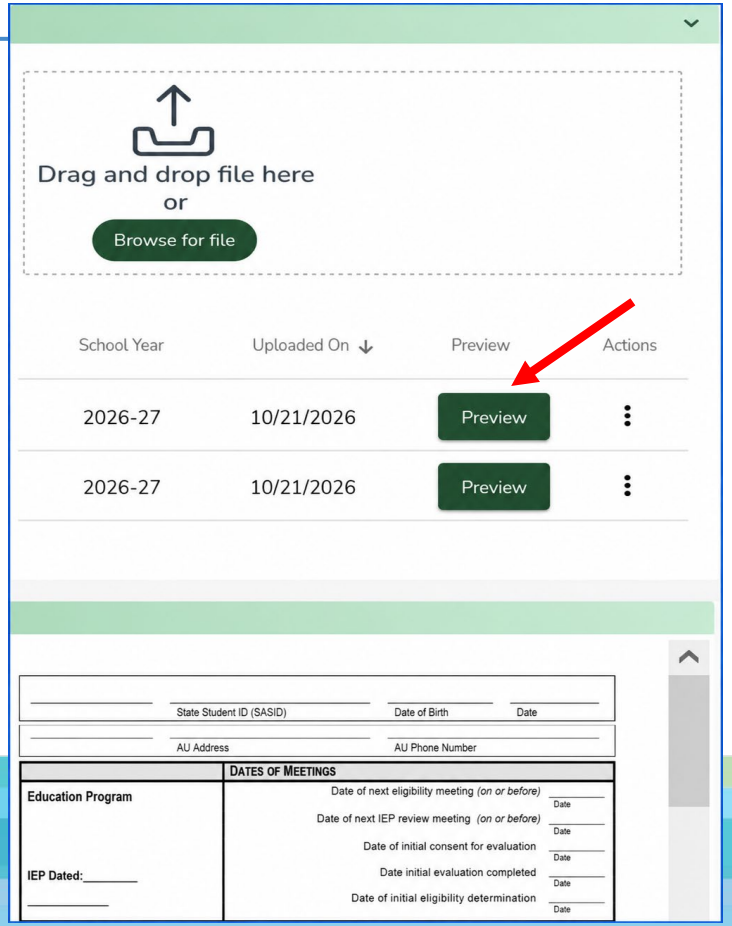
Uploading documents to the Student Record



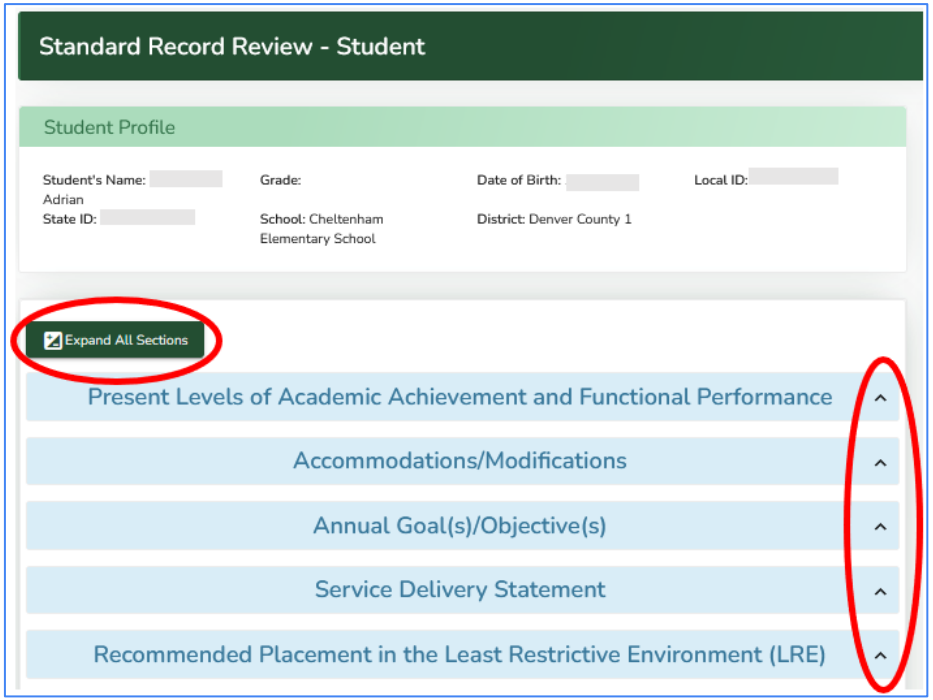
- Confirm that the information in the Student's Profile is correct
- Upload the IEP documents for the selected students, including the Notice(s) of Meeting (NOM), to the DMS
- Click the green "Browse for file" button OR drag and drop files from your computer to the box

Uploading documents to the Student Record (cont.)

- At least one document must be uploaded to submit the record review
- For Transition Age IEPs, you must upload the NOM that includes the NOM to the student
- Uploaded documents appear in the list of documents table in the Upload Student Files
- Select "Preview" to show PDF documents in Document Preview section. Non-PDF documents will download to your computer.



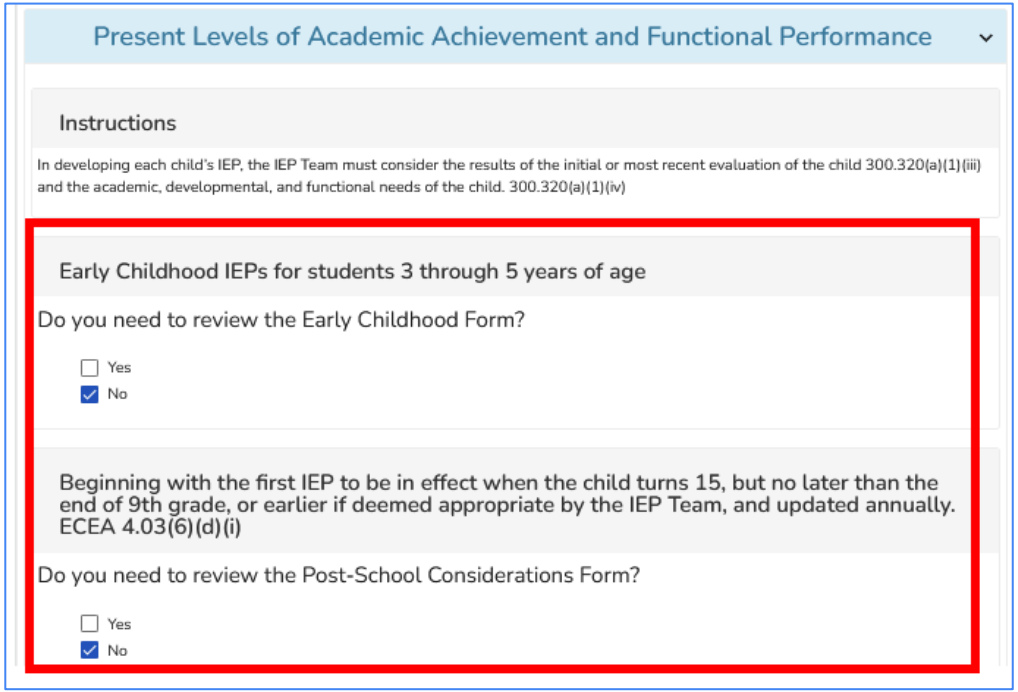
Viewing the Record Review Protocol



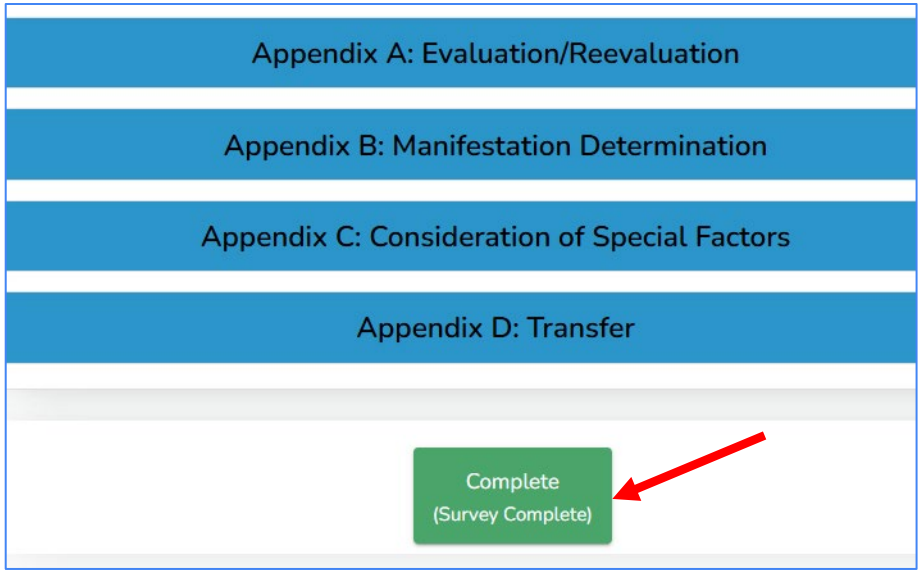
- Use the green “Expand All Sections” button on the left side of the page to open all sections
- Use the caret to the right of the section topic header to open/close only that specific section

Early Childhood and Transition Questions

- The first two questions about Early Childhood and Post-School Consideration Forms ensure the required questions for the student display.
- While previewing the uploaded document, complete the survey in the left side of the screen



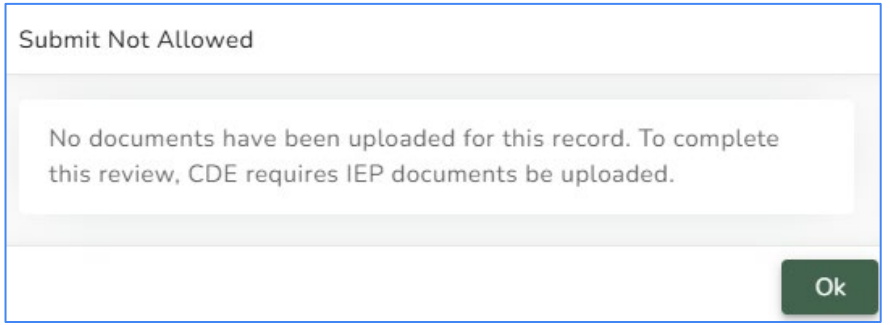
Submit the Review

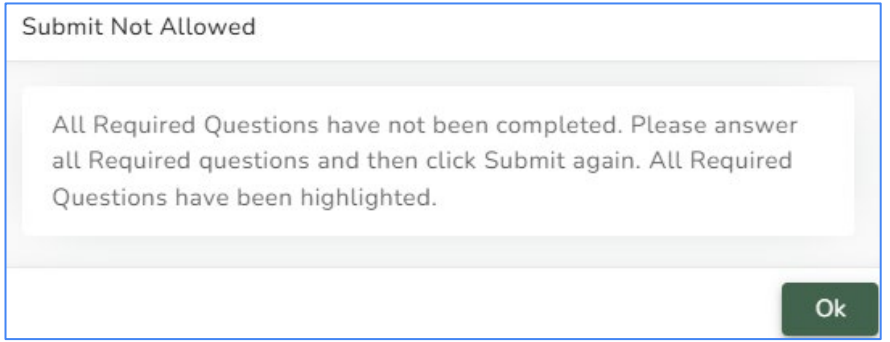


- Complete all required questions
- At the end of the survey, there are four Appendix sections to be filled out (only if applicable)
- Click the "**Complete**" button to submit the survey

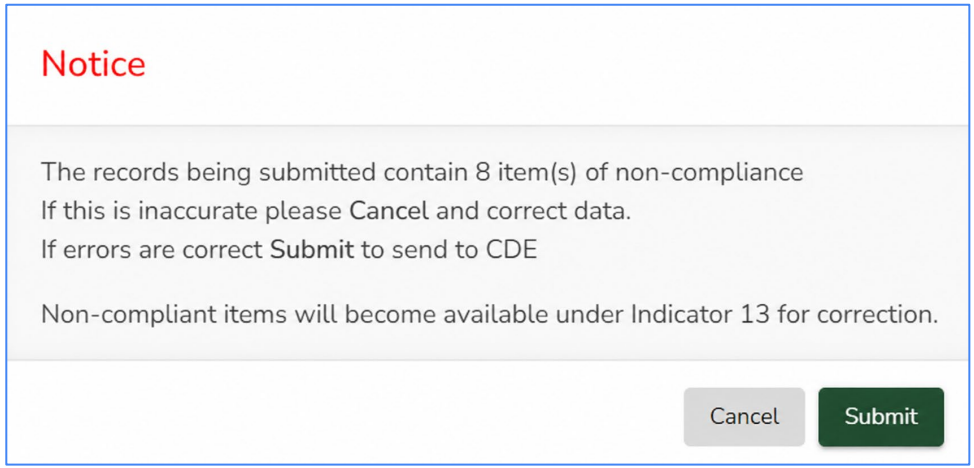
Error Message – Incomplete Review

- A **Submit Not Allowed** warning box will appear stating the problem if you attempt to submit a review missing required information.
- After addressing the issue, attempt to Complete the review again.
- Click “Go Back” to return to the **Standard Record Review Collection Dashboard** page once the review is complete.





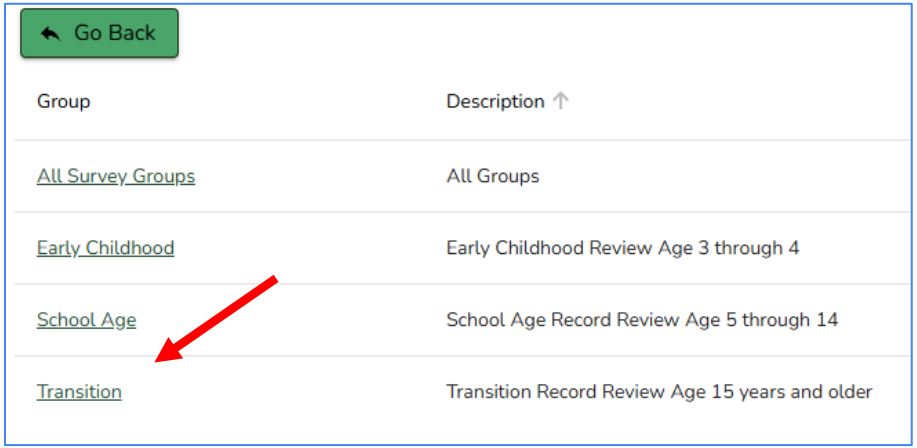
Notice of Noncompliant Indicator 13 Elements for Transition Age IEPs

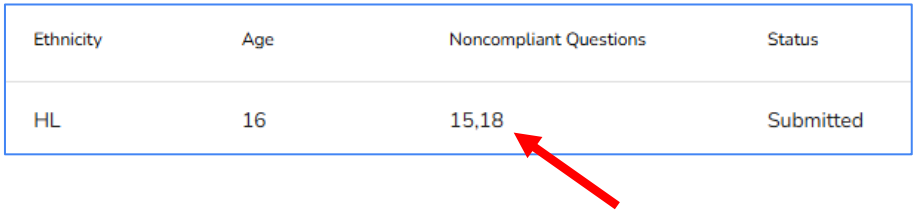


- If there are noncompliant elements for Indicator 13 based on your review, a **Notice** warning box will appear displaying the number of noncompliant answers
- All students with Post-Secondary Considerations can flag
- Click **“Submit”** button to continue and the **“Cancel”** button if you think you made an error

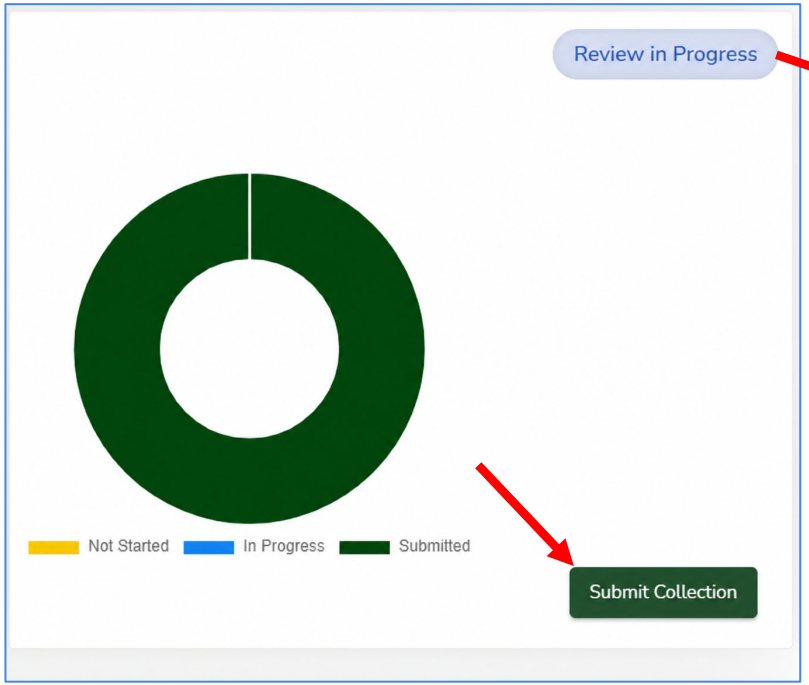
Checking Indicator 13 Noncompliance

- On the SRR Dashboard, in the **Group** column, click on **Transition,** or **School Age.**
- Students with noncompliant record reviews will display the question numbers that were marked “No” under the **Noncompliant Questions** column
- Record Reviews can be edited up until the user submits the collection to CDE
- Once CDE has approved a collection with noncompliant records for Transition Age youth, those records will require corrections





Submitting the SRR Collection



Once all IEP Record Reviews for all age categories have been completed, click the green "**Submit Collection**" button on the right side of the **Standard Record Review Collection Dashboard** page.

Your collection status will change to **"Submitted"** and you have you **completed your SRR**!

DMS Steps Now

- Beginning of the year
  - Sign in to the DMS and select SY 2026-27
  - Review the 2026-27 IEP Record Reviews Letter from the Documents section
  - Select AU Tasks, Standard Record Reviews – Data Entry
  - Request alternate students as needed

DMS During School Year

- Throughout the year
  - Open review for selected students
  - Upload documents for the selected IEPs to the DMS
  - Complete each record review in the DMS
- Submit your SRR collection by May 3, 2027

Resources

Resources will be posted on the General Supervision and Monitoring webpage:

- This recorded training
- The training slides in PDF
- One-page checklist for completing IEP record reviews
- The record review protocol and corresponding record review instruction document

DMS Professional Learning System – SRR Help Page

Questions??



Contact Information

SRR and I 13 Process Questions
Annie Haberkorn
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Haberkorn_A@cde.state.co.us
720-968-0425

IEP Review Questions
Amber Pryor
Special Education Monitoring and Technical Assistance Consultant
Pryor_A@cde.state.co.us
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DMS Questions
Josh Fails
Online Project Coordinator and Data Consultant
Fails_J@cde.state.co.us
720-618-0538