

LEGISLATIVE REPORT

SUBJECT: December, 2001 Annual Report on the Status of the State's Progress in Meeting the Requirements of the Felix v. Cayetano Consent Decree.

REFERENCE: HB 200, HD1, SD1, CD1, State Budget, Section 51, Act 259 (2001 Legislature)

ACTION REQUESTED: Report Annually on Status of State's Progress in Meeting the Requirements of the Felix v. Cayetano Consent Decree.

As requested in HB 200, HD1, SD1, CD1, State Budget, Section 51, this report provides an update of the status of the Department of Education (DOE) and Department of Health (DOH) in meeting the requirements of the Felix v. Cayetano Consent Decree. This report provides information on: (1) four months actual expenditures and eight months projected expenditures for the current fiscal year; (2) the number of benchmarks met; (3) a listing of benchmarks not met and estimated dates of their completion; (4) the expenditures (five months actual and seven months projected) for the 12 Felix Response Plan items broken down by cost element; (5) the progress of school-based mental health services implementation; (6) the quantity of children served by complex, the number of schools in compliance and identification of schools not in compliance; (7) a progress report on expenditures and development of the integrated special education database; and (8) a description of efforts made by the department to met the requirements of the Felix Response Plan in the most cost efficient manner possible.

1. Four months actual expenditures and eight months projected expenditures for the current fiscal year:

The DOE was appropriated \$235,154,578 by the last session of the Legislature for Special Education and Felix related services for the 2001-2002 school year. This total includes funding for Court Mandated Initiatives. DOE expenditures as of October 2001 were \$169,648,284. This data is available in Appendix 1.

2. The number of benchmarks met

At the beginning of this fiscal year 37 of the 56 August 3, 2000 Court Ordered benchmarks were met. Presently 47 of the benchmarks have been met. The report is attached as Appendix 2.

3. A listing of benchmarks not met and estimated dates of their completion

Benchmarks 5, 6, 14, 21, 29, and 48 are partially complete. Benchmarks 5, 6, 21, and 29 will be completed by February 1, 2002. It is estimated the remaining benchmarks will be completed by March 1, 2002. The report is attached as Appendix 3.

4. The expenditures (five months actual and seven months projected) for the 12 Felix Response Plan items broken down by cost element):

As of November 30, 2001 the department has expended _____ of the \$221,201,070 by the last Legislature for the Felix Response Plan for fiscal year 2001-2002. Data are available in Appendix 4.

5. The progress of school-based mental health services implementation:

On July 1, 2001, the Public Schools in Hawaii assumed the responsibility for the oversight and often the provision of behavioral health services to thousands of students, statewide. Nearly 9,000 children and adolescents who received outpatient "Mental Health" services procured by and overseen by the Department of Health (DOH) last school year have been transitioned to school-based behavioral health services. This includes some services delivered to approximately 4,000 students requiring highly specialized or complex arrays of supports and services care coordinated by the DOH.

The Department of Education (DOE) has hired and assigned to school districts and complexes a comprehensive array of School Based Staff. To date, approximately 95% of the SBBH positions identified in district and complex plans for SBBH are filled. Staff have been trained in Functional Behavioral Assessments and evidence based interventions. A more detailed implementation summary is available in Appendix 5.

6. The quantity of children served by complex, the number of schools in compliance and identification of schools not in compliance:

At the time of writing, 29 of 41 complexes (71%) are in compliance. These complexes are comprised of 205 schools (80%) with 148,676 students, including 16,070 special education students. Eighty four percent (84%) of the students attending public schools attend schools that are in compliance with the Felix Consent Decree. Data, as well as information regarding schools not in compliance is available in Appendix 6.

7. A progress report on expenditures and development of the integrated special education database:

ISPED can now be accessed from all schools, district, and state offices within the Department of Education's network. Users can also access ISPED from any computer outside of the Department's network as long as they have internet access. Initial difficulties with response time have been overcome and ISPED is operational. Further information is available in Appendix 7.

8. A description of efforts made by the department to met the requirements of the Felix Response Plan in the most cost efficient manner possible:

The Department monitors all expenditures related to special education and Felix on a monthly basis. Regular adjustments are made within programs to take advantage of cost savings and unanticipated opportunities to maximize effectiveness. Furthermore, the Department has conducted an internal audit to assure fiscal accounting practices are in place. Please see Appendix 8 for further details.

Appendix 1

**DEPARTMENT OF EDUCATION
OPERATING BUDGET
GENERAL FUND APPROPRIATIONS AND ALLOCATIONS
FISCAL YEAR 2001 - 02**

EDN PROG ID	PROGRAM	APPROPRIATION			ALLOCATION			Expenditure Oct-01	Projected Expenditures
		FTE PERM	FTE TEMP	AMOUNT	FTE PERM	FTE TEMP	AMOUNT		
150	COMPREHENSIVE SCHOOL SUPPORT SERVICES								
	<i>SPECIAL EDUCATION SERVICES</i>								
	17131 SPECIAL EDUCATION IN REGULAR SCHOOLS	2,771.00	118.50	84,755,574	2,771.00	118.50	84,755,574	27,780,720	56,974,854
	15635 SPECIAL EDUCATION-FELIX	198.00	0.00	3,689,675	198.00	0.00	3,689,675	757,287	2,932,388
	17201 HAWAII CENTER F/T DEAF & BLIND	49.00	2.00	2,166,697	49.00	2.00	2,166,697	721,010	1,445,687
	15632 HAWAII CENTER F/T DEAF & BLIND-FELIX	6.00	2.00	198,884	6.00	2.00	198,884	57,677	141,207
	17207 POHUKAINA	20.00	0.00	661,303	20.00	0.00	661,303	130,566	530,737
	17210 JEFFERSON ORTHOPEDIC UNIT	9.00	0.00	312,218	9.00	0.00	312,218	96,400	215,818
	17351 SPECIAL EDUCATION SUMMER sCHOOL	0.00	0.00	2,148,759	0.00	0.00	2,148,759	2,536,364	(387,605)
	17746 ATTORNEY AND RELATED FEES	0.00	0.00	700,000	0.00	0.00	700,000	296,127	403,873
	17170 CONTRACTED SPECIAL EDUCATION SERVICES	0.00	0.00	969,816	0.00	0.00	969,816	450,157	519,659
	17711 TRANSITION SERVICES	41.00	1.00	1,724,811	41.00	1.00	1,724,811	559,673	1,165,138
	17724 OCCUPATIONAL SKILLS LEARNING CENTER	4.00	0.00	109,852	4.00	0.00	109,852	27,907	81,945
	17155 INDIVIDUAL EDUCATION PROGRAMS			-			0	1,960	(1,960)
	SUBTOTAL	3,098.00	123.50	97,437,589	3,098.00	123.50	97,437,589	33,415,848	64,021,741
	<i>STUDENT SUPPORT SERVICES</i>								
	15630 COUNSELING-FELIX	94.00	0.00	3,644,117	94.00	0.00	3,644,117	1,182,515	2,461,602
	15638 COUNSELING EAS - FELIX	82.00	100.00	3,252,937	82.00	100.00	3,252,937	731,436	2,521,501
	15673 RESOURCE TEACHERS - FELIX	37.00	3.00	1,873,956	37.00	3.00	1,873,956	477,807	1,396,149
	15674 PRIMARY PREVENTION/INTERVENTION-FELIX	233.00	21.00	5,964,696	233.00	21.00	5,964,696	1,557,819	4,406,877
	15676 CONTRACT EVALUATION SERVICES-FELIX	0.00	0.00	1,740,000	0.00	0.00	1,740,000	168,583	1,571,417
	15677 SECTION 504 STATEWIDE IMPLEMENT-FELIX	0.00	1.00	67,768	0.00	1.00	67,768	23,689	44,079
	15672 STUDENT SERVICES COORDINATORS-FELIX	0.00	239.00	9,888,123	0.00	239.00	9,888,123	3,797,952	6,090,171
	16202 INSTRUCTION FOR PREGNANT ADOLESCENTS	3.00	0.00	134,528	3.00	0.00	134,528	32,996	101,532
	16204 HOME/HOSPITAL INSTRUCTION	0.00	0.00	1,681,756	0.00	0.00	1,681,756	258,298	1,423,458
	SUBTOTAL	449.00	364.00	28,247,881	449.00	364.00	28,247,881.00	8,231,095	20,016,786
	<i>PRIVATE AGENCY PROJECTS</i>								
	17712 SPECIAL OLYMPICS	0.00	0.00	128,925	0.00	0.00	128,925	128,925	0
	15634 CARE COORDINATION SERVICES							(134)	(134)
	SUBTOTAL	0.00	0.00	128,925	0.00	0.00	128,925	128,791	128,791
	<i>EDUCATIONAL ASSESSMENT & PRESCRIPTIVE SERVICES</i>								
	28050 DISTRICT DIAGNOSTIC SERVICES	421.00	0.00	16,965,699	421.00	0.00	16,965,699	5,371,339	11,594,360
	28175 DIAGNOSTIC SERVICES-FELIX	10.00	0.00	427,191	10.00	0.00	427,191	116,174	311,017
	28671 CONTRACTED DIAGNOSTIC SERVICES	0.00	0.00	353,583	0.00	0.00	353,583	78,079	275,504
	28701 SUMMER RECALL SERVICES	0.00	0.00	1,373,364	0.00	0.00	1,373,364	962,206	411,158
	28180 OCCUPATIONAL/PHYSICAL THERAPY	63.00	0.00	2,747,345	63.00	0.00	2,747,345	779,278	1,968,067
	SUBTOTAL	494.00	0.00	21,867,182	494.00	0.00	21,867,182	7,307,076	14,560,106

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OPERATING BUDGET
GENERAL FUND APPROPRIATIONS AND ALLOCATIONS
FISCAL YEAR 2001 - 02**

EDN PROG ID	PROGRAM	APPROPRIATION			ALLOCATION			Expenditure	Projected
		FTE PERM	FTE TEMP	AMOUNT	FTE PERM	FTE TEMP	AMOUNT	Oct-01	Expenditures
STAFF DEVELOPMENT									
28176	TRAINING & RETENTION-FELIX	0.00	0.00	2,136,604	0.00	0.00	2,136,604	0	2,136,604
33292	PROJECT RISE	5.00	0.00	317,810	5.00	0.00	317,810	103,554	214,256
15683	PROJECT RISE-FELIX	34.00	4.00	1,982,672	34.00	4.00	1,982,672	672,814	1,309,858
33256	SPECIAL EDUCATION EA TRAINING	6.00	0.00	407,489	6.00	0.00	407,489	121,139	286,350
SUBTOTAL		45.00	4.00	4,844,575	45.00	4.00	4,844,575	897,507	3,947,068
ADMINISTRATIVE SERVICES									
25045	STUDENT SUPPORT SERVICES-ADMIN	2.00	2.00	192,269	2.00	2.00	192,269	43,253	149,016
25237	STUDENT SUPPORT SERVICES SECTION	8.00	0.00	485,449	8.00	0.00	485,449	132,001	353,448
28177	CSSS SUPPORT SYSTEM-FELIX	0.00	0.00	110,524	0.00	0.00	110,524	74	110,450
28178	SECTION 504 IMPLEMENTATION-FELIX	1.00	0.00	395,358	1.00	0.00	395,358	170,978	224,380
25037	SPECIAL EDUCATION	6.50	0.00	374,562	6.50	0.00	374,562	102,343	272,219
15629	FELIX ADMINISTRATION	7.00	0.00	1,020,856	7.00	0.00	1,020,856	309,793	711,063
28181	COMPLAINTS MANAGEMENT PROGRAM	2.00	0.00	64,811	2.00	0.00	64,811	22,648	42,163
33257	FELIX MANAGEMENT INFORMATION SYSTEM	5.00	0.00	1,266,627	5.00	0.00	1,266,627	796,712	469,915
SUBTOTAL		31.50	2.00	3,910,456	31.50	2.00	3,910,456	1,577,802	2,332,654
FELIX RESPONSE PLAN									
15684	FRP-EXTENDED SCHOOL YEAR	0.00	0.00	3,030,000	0.00	0.00	1,978,108	476,199	1,501,909
15685	FRP-ISPED	0.00	0.00	518,000	0.00	0.00	1,298,634	441,624	857,010
15686	FRP-SCHOOL BASED SERVICES	0.00	0.00	236,501	0.00	0.00	5,715,656	1,454,675	4,260,981
15687	FRP-TARGETED TECHNICAL ASSISTANCE	0.00	0.00	0	0.00	0.00	675,950	30,973	644,977
15688	FRP-MAUI DISTRICT	0.00	0.00	58,000	0.00	0.00	413,870	47,623	366,247
15689	FRP-RECRUITMENT AND RETENTION INCENTIVE	0.00	0.00	15,800,000	0.00	0.00	11,083,328	3,568,938	7,514,390
15690	FRP-SERVICES FOR CHILDREN WITH AUTISM	0.00	0.00	2,460,000	0.00	0.00	1,384,043	514,891	869,152
15691	FRP-TRAINING AND LICENSING	0.00	0.00	1,055,000	0.00	0.00	731,406	203,324	528,082
15692	FRP-ACADEMY	0.00	0.00	704,940	0.00	0.00	1,993,651	268,684	1,724,967
15693	FRP-EDUCATIONAL ASSISTANTS	0.00	0.00	4,700,000	0.00	0.00	13,178,211	187,364	12,990,847
15694	FRP-RELATED SUPPORT SERVICES	90.00	0.00	14,691,547	90.00	0.00	18,754,639	2,793,771	15,960,868
SUBTOTAL		90.00	0.00	43,253,988	90.00	0.00	57,207,496	9,988,066	47,219,430
SCHOOL BASED MENTAL HEALTH SERVICES									
15698	SCHOOL BASED MENTAL HEALTH SERVICES	0.00	0.00	19,285,474	0.00	0.00	19,310,474	2,681,367	16,629,107
16710	MOKIHANA PROJECT			2,225,000			2,200,000	1,407,399	792,601
SUBTOTAL		0.00	0.00	21,510,474	0.00	0.00	21,510,474	4,088,766	17,421,708
TOTAL - EDN 150		4,207.50	493.50	221,201,070	4,207.50	493.50	235,154,578	65,634,951	169,648,284

Appendix 2

**Status of August 3, 2000 Court Ordered Benchmark
August 2001**

Bench -Mark	Para- graph	Status	Date Due	Lead	Benchmarks/Stipulations
1	58	Completed	1-Jul-00	DOE	Twelve-month funding for identified student services coordinator positions will begin July 1, 2000.
2	88	Completed	Aug-00	DOE	The procedures regarding reading assessment will be completed and in use by August 2000.
3	89	Completed	Aug-00	DOE	Specific (reading) testing instruments will be identified by August 2000.
4	93	Completed	Aug-00	DOE	Data on the allocation of regular education special education positions and educational aides by school for school year 2000-2001 will be provided to the Monitor by August 2000.(ref. pp. 42)
5	98	Partially Completed	Aug-00	DOE	ISPED will be fully operational and contain accurate data for all schools by August 2000.
6	102	Partially Completed	Aug-00	DOE/DOH	ISPED will have operational read-only access in family guidance centers by August 2000.
7	120	Completed	1-Aug- 00	DOE/DOH	Identify the 14 complexes with the greatest infrastructure and other support needs by August 1, 2000.
8	56	Completed	15-Aug- 00	DOE	National recruitment firm(s) will be retained to recruit qualified professional manpower for difficult-to-serve areas of Hawaii as soon as possible and no later than August 15, 2000.(ref. Recruitment and Retention of Teachers)
9	79	Completed	15-Aug- 00	DOE	The supervision and oversight of the Community Children's Council Office will be changed to report to the Superintendent, Department of Education by August 15, 2000.
10	121	Completed	15-Aug- 00	DOE	Contract with a private agency(s) to coordinate, direct, and provide targeted technical assistance by August 15, 2000.
11	31	Completed	1-Sep-00	FMP	The monitor shall provide itemization for the requested budget.

12	55	Partially Completed	1-Sep-00	DOE/DOH	On or before September 1, 2000, the state will adopt and implement the Operational Plan Activities for the recruitment and retention of certified special education teachers, aides, speech pathologists, mental health providers, early intervention specialist, and other critical personnel to serve the particular needs of class members in rural areas such as Molokai, Lanai, Ka'u, and Kohala. Particular effort will be made to obtain at least 50% certified teachers in schools that currently have not certified teachers.
13	107	Completed	1-Sep-00	DOE/DOH	National recruiting firm(s) will be retained by September 1, 2000 to help bring the necessary expertise to areas of the state with critical shortages of professional staff (Ref. pp. 54-Services and Treatment resources.)
14	108	Not Completed	Sep-00	DOE	The percentage of SPED teachers who are licensed and/or trained in special education will not be decreased below 85% of the total special education teacher positions by September 2000.
15	113	Completed	Sep-00	DOE	At least ten autism teachers will continue in the DOE and one CAMHD leadership and one special education leadership will be established and/or filled by September 2000. All positions will be filled with qualified personnel by September 2000. (ref. pp. 63)
16	118	Completed	1-Sep-00	DHS/FC/DOH	Caseworkers for child welfare or juvenile probation officers with Felix class members on their caseloads will participate and contribute to the planning of services in the coordinated service planning process, beginning September 1, 2000. Participation will be documented in the CSP document and will be verified by the complex and FGC quality management audits (ref pp 68)
17	122	Completed	Sep-00	DOE	Establish technical assistance teams by September 2000.
18	86	Completed	1-Oct-00	DHS	The employment of eight interagency case coordinators (four Oahu, two Hawaii, one Maui, and one Kauai) and 21 exempt case aides to provide direct services to client children and support to social workers and foster parents will be completed no later than October 1, 2000.

19	92	Completed	Oct-00	DOE	A structured reading specialist will be added to the Student Support Services Group by October 2000. The specialist will be responsible for the implementation, training, and supervision of this component of the program.
20	94	Not Completed	1-Oct-00	DOE	Based on the data submitted in August 2000, adjustments will be made in the teacher allocation or extra supports provided to specific schools if any school is found to have less than 50% licensed or certified teachers or a significantly excessive special education workload by October 1, 2000. (ref pp. 43)
21	99	Partially Completed	Oct-00	DOE	ISPED, including service authorization and printing capacity in family guidance centers, will be operational statewide by October 2000.
22	101	Completed	Oct-00	CAMHD	CAMHD outcome and results components will be implemented by October 2000.
23	104	Completed	Oct-00	CAMHD	Targeted resource development strategies will be implemented for school year 2000 for complexes with critical resource deficiencies as determined by review of service testing reports, service gap analysis, and review of IQSPs by October 2000. (ref. pp. 53)
24	109	Not Completed	Oct-00	DOE	No school will have less than 50% of the special education teachers either licensed or certified by October 2000.
25	111	Completed	Oct-00	DOE/DOH	Establish baseline data for children and youth with autism spectrum disorders through service testing for school year September 1999 through October 2000 by October 2000.(ref. pp.61)
26	117	Completed	Oct-00	CAMHD	CAMHD will have developed appropriate CSPs for all children where care is coordinated by CAMHD by October 2000. (ref. pp. 67)
27	123	Completed	Oct-00	DOE	Work with the 14 target schools to develop enhanced IQSPs that subsume plans for movement to the delivery of school-based services by October 2000.
28	95	Completed	Nov-00	DOE	A new teacher allocation methodology will be developed by November 2000.(ref.pp.44)
29	100	Partially Completed	Nov-00	DOE/DOH	Individual student information sharing between DOE and DOH will be implemented by November 2000.
30	127	Completed	1-Nov-00	DOE/DOH FMP	DOE/DOH will work with the Court Monitor to complete the study on 3-6 identification by November 1, 2000.

31	128	Completed	1-Nov-00	FMP/DOE	The Court Monitor will conduct a study to determine how to improve most rapidly the ability of schools to appropriately respond to behavioral problems of children and to provide appropriate interventions in accordance with the law in collaboration with the DOE to be completed by November 1, 2000.
32	Stipulation pp10	Completed	1-Nov-00	DOH	By November 1, 2000, the Department of Health will insure that all required infant assessments, screening, and home visits are provided.
33	105	Completed	Dec-00	CAMHD	Service gap analysis (unserved youth report) will document that no child will wait longer than 30 days for a specified service or appropriate alternative by December 2000.(ref. pp. 52)
34	Stipulation pp11	Completed	1-Dec-00	DOE	By December 1, 2000, the Department of Education will insure that its contracts for surrogate parents provide appropriate, consistent, and sufficient services statewide, with caseloads reduced to levels approved by the Monitor.
35	129	Not Completed	1-Feb-01	DOE	Recommendations for immediate improvements in the appropriate application of student discipline recommended by the Monitor will begin implementation no later than February 1, 2001.
36	75	Completed	Mar-01	DOE	The state will continue to support the 16 local Community Children's Councils and the state Community Children's Council Office. A two-day planning meeting will be held for CCC members to plan for the future supports and activities of the committees no later than March 2001. The meeting will be facilitated by national experts in family involvement; the focus of the meeting will be to plan the ongoing supports for the CCC to be sustained and to promote effective family involvement.
37	78	Completed	Apr-01	DOE	A report will be submitted to the Monitor on the role and functions of the CCCs that are to be sustained in the future by April 2001. The content of the report will be determined through participation of CCC membership in the statewide meeting and with the consultation and final production by a national consultant team.
38	112	Completed	May-01	DOE/DOH	Show improvements in the delivery of services to children with autism as evidenced through service testing results by May 2001.(ref. pp.62)

39	125	Not Completed	Jun-01	Monitor	Twenty-four additional complexes will achieve recommendations for compliance status by the Monitor by June 2001. (ref. pp. 73)
40	72(a)	Completed	Jun-01	DOE/DOH	Service test monitoring will be completed for 25 complexes by June 2001
41	59	Completed	Jul-01	DOE	All student services coordinator positions will be 12-month positions after July 2001.
42	71	Not Completed	1-Jul-01	DOE/DOH	Continuous quality improvement monitoring will be conducted in 25 complexes in accordance with the specified schedule by July 1, 2001.
43	91	Completed	Jul-01	DOE	Aggregate data for each school showing the number of special education and 504 students who are not reading at grade-level ability level will be produced by July 2001.
44	114	Not Completed	Jul-01	CAMHD	At least 56 youth will be receiving MST services by July 2001.
45	119	Not Completed	1-Jul-01	DOE/DOH	Continuous quality improvement monitoring will be conducted in complexes in accordance with the specified schedule by July 1, 2001.
46	96	Completed	Sep-01	DOE	The new allocation methodology will be implemented for allocations made for school year 2001-2002 and subsequent years.(Ongoing) (ref. pp. 45)
47	97	Completed	Sep-01	DOE	A new education-assistant-to-teacher ratio will be fully implemented by September 2001.(ref. pp. 46)
48	110	Will not be completed	Sep-01	DOE	The percentage of SPED teachers in the classroom who are licensed and/or trained in special education will not be less than 90% on a statewide basis and no school will have less than 75% certified or licensed teachers by September 2001.
49	126	Will not be completed	31-Oct-01	Monitor	All complexes will achieve recommendations for compliance status by the Monitor by October 31, 2001.(ref.pp.72)
50	90	Not completed	Immediate/On-going	DOE	All children will be assessed (reading) as part of their next regularly scheduled IEP/MP and appropriate interventions will be specified for each child requiring such services

51	115	Not completed	Immediate/On-going	DOE/DOH	As files are reviewed for IEP planning purposes, care coordinators will ensure that families have been properly informed and connected with the appropriate SSI eligibility determination office by assisting the family in setting up an appointment and advising them of the information they will need to provide to support eligibility determinations, beginning July 2000. (ref pp. 65)
52	87	Completed	Monthly	DHS	Monitoring of contracts established over the course of the next ten months. A monthly report, by the 15th of each month, will be provided identifying the expansion of service providers under contract with the DHS.
53	124	Completed/Ongoing	Monthly-Internal Quarterly-Monitor	DOE/DOH	Implement plans and report progress on complex benchmarks monthly to DOE/DOH leadership and quarterly to Monitor.
54	116	Completed/Ongoing	On-going	CAMHD	CAMHD will document in the quality improvement reviews that appropriate referrals are being made and supported.
55	60	Partial	See subset	DOE/DOH	The Service Capacity Development Plan will also include implementation of the Service and Support Plan for Children and Youth with Autism Spectrum Disorders dated April 7, 2000.
56	103	Partial	See subset	CAMHD	CAMHD Service Capacity Development Plan will be implemented by dates as specified in the plan.

Status of the August 3, 2001, Benchmarks

Court Order	Benchmark from	Date Due	Status	Benchmark
September 7, 2001	August 3, 2001			
Page 7	Benchmark 50	Immediately	Substantially completed and ongoing	Each child who is reading below grade level and developmental capacity will have appropriate reading assessment/intervention strategies and goals included in his or her IEP. Effective immediately, it is critical that all new IEPs, and each annual review/revision of a student's IEP, address reading status and intervention strategies appropriate to the child's needs to demonstrate the DOE's ability to implement this requirement Monitor's note: The complex compliance presentations show that reading skills in general are receiving great attention. Based on the child reviews this fall, most IEPs are addressing reading; the strategies to address reading are varied, with some very good individualized plans and others with more generic plans. In some cases, generic plans are appropriate but progress must be tracked to ensure that if progress is not made, more intensive interventions are used.
2, 3, & 9	Benchmarks 44, 55, & 56	30-Sep-01	Completed	The DOE will provide a comprehensive plan by September 20, 2001, as to the training, competency, and organizational development that will be provided to all school-based-related services personnel and teachers during the 2001-02 school year. The plan must include how evidence-based interventions will be included in the training and how the team decision-making process will be improved. The monitor must approve the plan. Monitor's note: The DOE has completed the integrated training plan that was requested. The plan integrates training initiatives into one document and identifies target groups for training in the various skill areas required and identifies future schedules and trainers. It is a good framework that should be able to guide the delivery of training for the next several years.
Page 7	Paragraph 55	30-Sep-01	Completed and ongoing	Both the DOE and DOH/CAMHD and EI will provide monthly personnel and vacancy reports. The reports will be due the 30th of each month for the preceding month.

Page 8	Benchmarks 42, 45, 51. & 54	30-Sep-01	Completed and ongoing	The DOH will continue to provide for each Family Guidance Center and the DOE will provide for each complex a complete and accurate service gap analysis and report to document that no child will wait longer than 30 days for a specified service or appropriate alternative. The next report will be due September 30, 2001, and will cover the month of August. Monitor's note: DOH/CAMHD has continued to refine its report. DOE has submitted its first report, which will need further refinement in order to be useful for self-monitoring
	Benchmarks 12, 14, 10, 14	30-Sep-01	Completed	Schools with less than 50% licensed or certified teachers must be identified by September 30, 2001 Monitor's note: Thirty-seven schools were identified as of September 11, 2001; the number has decreased to eight schools based on the report received November 1, 2001. The primary relief being proposed is to obtain additional certified staff through Columbus Education Services' contract. Currently, two schools have made offers to applicants and, for one school, the data were not correct and they are in compliance. The staff for the remaining four schools is to be obtained by the beginning of the second semester. See Attachment 4 for the DOE report.
Page 7	Paragraph 55	01-Oct-01	Completed	The DOE will hire a fully qualified behavioral specialist by October 1, 2001. Monitor's note: A person was appointed as a temporary assignment effective October 1, 2001. The person does have the appropriate credentials and knowledge based on her resume and input the monitor has received from other behavior specialists. The DOE is continuing to recruit for a permanent person.
Page 8 & 9	Benchmarks 44, 55, & 56	01-Oct-01	Completed	The DOH will provide a comprehensive report of the current service and treatment capacities that exists in Hawaii by Family Guidance Center on October 1, 2001. The report will identify any areas of the state with access problems to appropriate services in the home community. The report will include a plan to address how the gaps will be filled and specify a date for completion. The report will address how the implementation of evidenced-based practices will be increased and extended to provide for the sustainability of the system of care for high need

children. The monitor must approve the report and plans.

Monitor's note: The report was submitted and is acceptable to the monitor.

Page 7	Paragraph 55	30-Oct-01	Completed and ongoing	Both the DOE and DOH/CAMHD and EI will provide monthly personnel and vacancy reports. The reports will be due the 30th of each month for the preceding month. Monitor's note: Reports on ongoing.
Page 8	Benchmarks 42, 45, 51, & 54	30-Oct-01	Completed and ongoing	Monthly Service Gap Analysis and Report Monitor's note: Reports are on ongoing.
Page 8	Benchmark 50	30-Oct-01	Completed	The monitor will audit a stratified random sample of IEPs completed prior to November 1, 2001, from all complexes to document compliance with the reading requirement. Monitor's note: Samples were drawn from all districts; for the most part each student record has a reading level or explanation. For those students who took the SDRT, it includes the test level and the grade equivalency.
Page 6 & 7	Benchmarks 12, 14, 10, 14	01-Nov-01	Completed	Arrangements for extra supports (for schools with 50% or less certified teachers) must be submitted to the monitor for approval prior to November 1, 2001 Monitor's note: See Attachment 4
Page 5		01-Nov-01	Substantially complete	All Stage 1 capacity and infrastructure benchmarks must be completed. Monitor's note: The infrastructure and resource development process is largely complete. Staff resources, data management capacities, and service resources have been improved significantly. As schools gain more experience with the full implementation of school-based services and CSSS, some adjustments may need to be made in the allocation of some resources.
Page 6	Benchmarks 5, 6, 21, & 29	01-Nov-01	Partially Completed	The ISPED data system will be fully operational and contain accurate current and complete information by November 1, 2001. The system must contain IEPs for all students and provide for individual student information exchange between the DOE and the Family Guidance Centers that includes read only and printing capabilities.

Monitor's note: The DOE continues to make weekly technical adjustments to the ISPED system to make it more user friendly, including increasing the number of servers to accommodate the heavy workload. See Attachment 3

Page 6	Benchmarks 12, 14, 10, 14, & 48	01-Nov-01	Partially complete	The DOE will have 85% licensed and/or certified teachers in the classroom on a statewide basis by November 1, 2001. Monitor's note: As of October 10, 2001 there are 1383.5 licensed and credentialed teachers (75.5%) in the classroom, including 128 Columbus hires.
Page 7	Benchmarks 39 & 49	01-Nov-01	Completed	Two-thirds (27) complexes will obtain an 85% or higher performance on both the school-based and coordinated service components of the service testing reviews by November 1, 2001. Monitor's note: Twenty-eight complexes have completed service testing with scores appropriate for compliance. In this school year (2001-02), Waialua, Mililani, Kahuku, Maui High, Roosevelt, Lahainaluna, and Keaau have successfully obtained provisional compliance.
Page 8	Benchmark 35	01-Nov-01	Completed	The plan to address discipline and suspension issues raised in the Felix suspension study will be fully implemented by November 1, 2001, including submission of the first report to the monitor. Reports are due monthly thereafter. Monitor's note: Schools identified in the Discipline study as suspending special education students at a rate exceeding 2.5 times the rate for general education have addressed efforts to reduce the number of suspensions of special needs students in their Standards Implementation design. The first tracking report for the period 8/15 to 10/25, 2001 was received and shows that Leeward, Hawaii, Maui and Kauai district rates exceed the national suspension rate; Central, Windward, and Honolulu district rates are lower than the national average. The tracking system is developed to provide information on manifestation determinations, functional behavioral assessments, behaviors plans and providing FAPE.

Page 8 Benchmarks 01-Nov-01 Completed The DOE will fully implement a Continuous Quality Improvement review in at least five complexes and provide a report of findings by November 1, 2001. Monitor's note: Reports were received for West Kauai, Farrington, Nanakuli, Castle, and Waiakea Complexes.

42, 45, 51, &
54

Appendix 3

Felix Benchmarks: Not Completed and Estimated Date of Completion

Number	Status	Completion Date	Benchmark
5	Partial	February 1, 2002	ISPED fully operational with accurate data
6	Partial	February 1, 2002	ISPED read only access for CAMHD
14	Partial	March 1, 2002	85% certified SPED teachers
21	Partial	February 1, 2002	ISPED operational for service requests
29	Partial	February 1, 2002	ISPED transfer student information between DOE-DOH
48	Partial	March 1, 2002	No school with less than 75% certified teachers in SPED

Appendix 4

Description	Prog Id	Chr	Appropriation	Allocation	Expenditures & Encumbrances	Projected Expenditures
FRP-EXTENDED SCHOOL YEAR	15684	10			2,815.07	
	15684	11			473,989.73	
	15684	total	3,030,000	1,978,108	476,804.80	1,501,303.20
FRP-ISPED	15685	10			368,770.81	
	15685	11			189,756.00	
	15685	20			28,834.93	
	15685	total	518,000	1,298,634	587,361.74	711,272.26
FRP-SCHOOL BASED SERVICES	15686	10			1,292,797.29	
	15686	20			1,661,459.83	
	15686	total	236,501	5,715,656	2,954,257.12	2,761,398.88
FRP-TARGETED TECHNICAL ASSISTANCE	15687	10			39,325.09	
	15687	20			-	
	15687	total	0	675,950	39,325.09	636,624.91
FRP-MAUI DISTRICT	15688	10			61,802.55	
	15688	20			3,792.85	
	15688	total	58,000	413,870	65,595.40	348,274.60
FRP-RECRUITMENT AND RETENTION INCENTIVE	15689	10			80,311.61	
	15689	11			224,848.74	
	15689	20			2,991,345.18	
	15689	total	15,800,000	11,083,238	3,296,505.53	7,786,732.47
FRP-SERVICES FOR CHILDREN WITH AUTISM	15690	10			227,302.01	
	15690	11			28,906.66	
	15690	20			354,855.37	
	15690	total	2,460,000	1,384,043	611,064.04	772,978.96

Description	Prog Id	Chr	Appropriation	Allocation	Expenditures & Encumbrances	Projected Expenditures
FRP-TRAINING AND LICENSING	15691	10			160,646.14	
	15691	11			19,500.84	
	15691	20			68,871.87	
	15691	total	1,055,000	736,406	249,018.85	487,387.15
FRP-ACADEMY	15692	10			193,067.09	
	15692	11			534.28	
	15692	20			371,505.00	
	15692	total	704,940	1,993,651	565,106.37	1,428,544.63
FRP-EDUCATIONAL ASSISTANTS	15693	10			567,244.99	
	15693	11			18,105.56	
	15693	20			19,309.90	
	15693	total	4,700,000	13,178,211	604,660.45	12,573,550.55
FRP-RELATED SERVICES SUPPORT	15694	10			3,830,763.50	
	15694	11			-	
	15694	20			-	
	15694	total	14,691,547	18,754,639	3,830,763.50	14,923,875.50
SCHOOL BASED MENTAL HEALTH SERVICES	15698	10			2,706,500.53	
	15698	20			47,272.63	
	15698	total	19,285,474	19,310,474	2,753,773.16	16,556,700.84
MOKIHANA PROJECT	16710	10			312,090.75	
	16710	11			37,037.92	
	16710	20			349,128.67	
	16710	total	2,225,000	2,200,000	698,257.34	1,501,742.66
Summary			\$64,764,462	\$78,722,880	\$ 16,732,493.39	\$61,990,387

Appendix 5

School Based Behavioral Health

Status of Implementation

The Department's movement into School Based Behavioral Health (SBBH)¹ has been planned and meets or moves to achieve nationally recognized goals identified in the Surgeon General's Report on Child Mental Health and the SAMSHA sponsored UCLA Center for Mental Health in Schools. That is, the delivery of mental health services in an educational setting has been validated as a best practice that is effective in addressing student behavioral needs. In addition the SBBH policies and procedures meet the legal requirements of federal and state statutes, the Individuals with Disabilities Education Act (IDEA), The Rehabilitation Act of 1973, Section 504, the Americans Disabilities Act, and the Felix Consent Decree. It was authorized by the passage of Act 91, Section 22, Session Laws, 1999.

Practically speaking SBBH is already meeting with success through improved outcomes and cost effectiveness. Costs for this current year are projected to be less than similar services provided last year. The request for FY 03 is the same amount as FY02 even though more students are expected to require such services. Furthermore SBBH has placed support resources in schools enabling rapid responses to support students and parents during community specific and national tragedies.

SBBH fits within and is an integral part of the Comprehensive Student Support System (CSSS). Understanding the roles of SBBH personnel and activities requires an awareness of CSSS. CSSS constitutes a basic system of supports and resources within all schools, for all public school students in Hawai'i. Services and supports provided focus on the following six critical elements:

- Personalized classroom climate and differentiated classroom practices
- Prevention and early intervention
- Family involvement
- Support for transitions
- Community outreach and support
- Specialized assistance and crisis/emergency support

The continuum of supports and services available ranges from basic support for all children in the school; to early intervention and primary intervention supports; through intensive, individualized, multi-agency services for students with complex behavioral health concerns requiring highly specialized interventions.

General plan overview.

Resource distribution

Resource allocations for infrastructure functions are based on the administrative unit tasked with the work. In other words, the responsibility for program administration rests at the district level. Program coordinators and contract specialists necessary to provide the appropriate administrative support are allocated and deployed to the districts. To

¹ The name has been changed from School based Mental Health to School Based Behavioral Health to more accurately represent the function of these services and to minimize public confusion regarding who may provide these services.

SBBH Program Overview

ensure uniformity in contracting and payment, leadership and oversight is placed at the state level.

Service delivery capacity in SBBH is based on best estimates of anticipated workload. The best predictor of that at the present time are the past expenditures by CAMHD for similar services. The approximate distribution of such expenditures has been consistent over the past 2 years.

Service delivery

The general state plan envisions a hierarchy of professional resources available to meet the support and service needs of students. Within CSSS a variety of programs and consultative services are accessible to school staff to support students and parents in CSSS at the prevention and early intervention levels of support. SSCs and At Risk counselors support Felix Class students in CSSS level 3 as the need for formalized and individual supports becomes evident. Students in CSSS Levels 4 and 5 require intensive behavioral support interventions based on functional assessments of behavior.

While names for the positions differ by district, generally SBBH Specialists² provide assessment, direct intervention supports and services, and consultation for students, families, and teachers. Behavior specialists also support those requiring training and experience beyond that of a school counselor. School psychologists³ provide vital professional services, consultation, and links to non-DOE resources for student's whose support needs exceed those of SBBH Specialists

The following is a brief synopsis of the development of CSSS and SBBH.

Phase 1, FY99 and FY00 funding and FRP Priority #12 established basic infrastructure and care coordination supports within schools as well as supports for complex wide activities. Student Services Coordinators (SSC) and at risk counselors, supported by CSSS Resource Teachers, provide community resource mapping, schedule and coordinate the delivery of services to students attending school campuses⁴. They participate in critical Interagency Quality Support Plans

² In the FY02 budget these services were to be provided by Social Workers and Family Support Workers. In the implementation it became evident that there were insufficient numbers of trained School Social Workers and teachers for Family Support Workers to meet the demand. Conversely, there is a large pool of trained and experienced mental health professionals familiar with students and school operations. Exempt positions have been created to test the utility of these professionals in meeting student support and service needs.

³ Page: 2

[0] The paucity of licensed psychologists within the State of Hawaii has necessitated the arrangement of contractual relationships for the provision of services for those students served jointly by the DOE and DOH. Additionally, the skill level of SBBH Specialists suggests that fewer school psychologists may be necessary than the National Association of School Psychologist (NASP) guidelines suggest are necessary (1:1,500 general education students).

⁴ For a complete description of SSC and At-Risk Counselor duties and responsibilities please refer to the Position Descriptions provided previously or the appropriate CS+.

SBBH Program Overview

ensuring the delivery of supports and services timely, effective, and appropriate. Last year (SY00-01) they also arranged for Department of Health, Child and Adolescent Mental Health Division (CAMHD) services for students in need of such services.

The success over the last year in Service Testing for the Felix Consent Decree is evidence of their effectiveness.

Phase 2 (1/01 – 6/01, FY01) required the development of state and district infrastructures to support continued school-level implementation of SBBH. Beginning with FRP, Priority #3, District SBBH Program Coordinators and Division of Administrative Services, Contract Specialists were necessary to assist schools coordinate the transfer of nearly 9,000 students from CAMHD service provision to those provided by the DOE as called for in Act 91, Section 22. These activities included the advertisement and processing of Requests for Proposals to procure services, hiring employees, identifying and meeting student needs, and facilitating placement of SBBH personnel in schools.

The aforementioned infrastructure is allocated or deployed on a district basis.

Phase 3 (7/01 –6/02) is being implemented in accordance with Act 91, Section 22. Effective 7/01/01, the DOE assumed the responsibility for the provision of school-based services. A wide variety of supports and services are provided students and their families in accordance with IDEA, and Section 504 by a combination of DOE personnel and contracted providers. State, district, and complex planning for SBBH implementation has lead to a common approach with local variability.

The statewide plan delineates a comprehensive array of supports and services, similar to and expanding on those previously available through CAMHD. There are several important provisions distinguishing SBBH from the former DOH service delivery system.

- The first is that SBBH supports and services may be provided by either employees or contractors, DOH only used contracted provider agencies.
- Secondly, SBBH builds from an educational model emphasizing early intervention based on a functional assessment of the target behavior with the intent to teach and support the development of positive prosocial and essential educational behaviors. Again, this is in keeping with nationally recognized research and directions.
- Finally, contractual relationships are at the district level, allowing for effective contract monitoring.

The original request for FY01 SBBH funds, FRP #3, was based on national professional agency staffing guidelines. The National Association of Social Workers advises a ratio of 1 school social worker for every 350 regular education students if the work is similar to that envisioned in SBBH. A school psychologist should be available for every 1,500 regular education students according to the

SBBH Program Overview

National Association of School Psychologists. The request for additional positions was made based upon the necessary number of positions above and beyond that in either the current workload or other FRP requests.

Resource distribution to meet identified and anticipated student support and service needs during FY02 is based upon service utilization under CAMHD service provision during FY01. While there are now in excess of 11,000 students that have been identified as requiring educational and mental health services in order to benefit from their educational opportunities (Felix Class) at any one time there are over 9,000 students receiving a service being delivered through SBBH. Other students are either in the process of assessment, been discharged, or receive services from CAMHD. During FY 01, when services were purchased through the CAMHD there were slightly less than 8,000 students receiving services at any given time. Complete final data are not available at the time of this writing, however based on the first three quarters; over 30,000 hours of interventions were provided at a cost of \$28,000,000. These numbers do not include approximately \$3,000,000 in services purchased through other means.

Implementation of SBBH has required a number of adjustments to the original plan submitted for SBBH funding for FY02. For example the supports necessary for Nurse Practitioners to be effective in providing medication monitoring are not available at this time.

Services beyond those of care coordination and intensive school counseling, provided by SSCs and At Risk Counselors, generally are provided through either school based behavioral health specialists or school psychologists. Contracts are in place to provide the necessary supports and services when SBBH staff are either not available or do not possess the requisite skills to meet the student's needs.

November, 2001 Update

During the 2001-2002 school year, SBBH has focused on those students requiring more formal systems of support in order to benefit from their school experience, i.e., those students who are identified as Felix class members. The first cadre of effected students will include over 8,000 children and adolescents already receiving ongoing "Mental Health" services procured by and overseen by the Department of Health (DOH) last school year. Throughout the year, school based services will be provided to all eligible students, including those approximately 4,000 students requiring highly specialized or complex arrays of supports and services care coordinated by the DOH. The brief summary below highlights specific implementation accomplishments. The summary is not intended to provide a comprehensive picture of the important system changes that are the ultimate goal of SBBH in Hawaii, but rather to provide a snap shot of the current level of implementation.

Students and Staff

The Department of Education (DOE) has hired and assigned to school districts and complexes a comprehensive array of School Based Staff. To date, approximately 95% of the SBBH positions identified in district and complex plans for SBBH are filled. Where school based services and supports are insufficient to meet student needs, additional services are provided through multiple service contracts with community based providers. The percentage of services delivered by staff, as opposed to contracted providers, varies by district and service type. With the exception of psychiatric services, most services are delivered by employees.

Over 11,000 students requiring special educational and behavioral health services have been identified. Nearly 9,000 of those students transitioned from CAMHD to DOE SBBH service provision and oversight, compared with fewer than 8,000 receiving services at any one time last year through CAMHD.

Training

Approximately 175 SBBH staff have been trained as trainers in Functional Behavioral Assessment (FBA) and Behavior Support Plan (BSP) development. Those staff are currently and have been engaging in turn-around training for all SBBH staff in complexes/schools they serve. Approximately 225 SBBH staff have been trained as trainers in the use of Cognitive Behavioral Management, the first of multiple sessions focusing on the use of Evidence Based Approaches in the provision of SBBH services. Videotaping of both training sessions will allow for future application in multilevel training with school professional staff, support staff, parents, contracted providers and others.

Interagency Collaboration

On weekly basis, two interagency work groups including key programmatic leadership from CAMHD and DOE/SBBH are convened. The focus of these groups includes:

- The development and dissemination of Joint Practice Guidelines intended to advise and guide the practice of SBBH service provision, replacing current Mental Health Clinical Standards. Interim guidelines already disseminated provide guidance on changing the level of care for class members. Additional interim guidelines due out next week will address procedures for identifying, assessing, planning, and providing behavioral health services that are evidence based. The final version of SBBH Practice Guidelines is scheduled for dissemination on March 1, 2002.
- The development of cross system training curricula with initial concentration in the following areas:
 1. Assessment
 2. Evidence Based Practices

SBBH Program Overview

3. Supervision
4. Care Coordination

Phase 4 (FY 03) This phase of program implementation will address refinement of SBBH through an analysis of service delivery efficiency and effectiveness. During this timeframe the complete array of services to students with Pervasive Developmental Disorders, including Autism Spectrum Disorder (ASD) will be transferred from CAMHD to the DOE.

Appendix 6

Consent Decree Compliance
Based on Official Enrollment Count 2001-2002

November 19, 2001

	Number Statewide	Number in Full Compliance	Percent in Full Compliance	Number in Provisional Compliance	Percent in Provisional Compliance	Combined Full and Provisional Compliance	Percent in Full and Provisional Compliance
Complexes	41	21	51%	8	20%	29	71%
Schools*	256	160	63%	45	18%	205	80%
Students	181,387	112,212	62%	36,464	20%	148,676	82%
Special Education Students	20,136	11,781	59%	3,792	19%	15,573	77%
* Includes 254 regular schools plus 2 charter schools							

Full Compliance

November 19, 2001

Complexes in Full Compliance	Date of determination	Number of schools in complex	Number of students in complex(2001-2002 enrollment count	Number of Special Education Students
Kailua	10/31/01	8	3372	582
Radford	10/23/01	9	7221	653
Hilo/Laupahoehoe	10/25/01	10	5194	712
Kalaheo	10/30/01	7	4840	503
Kaimuki	10/30/01	9	4879	506
Moanalua	09/20/01	6	5113	421
Pearl City	09/20/01	10	7129	747
Kalani	09/18/01	10	4821	401
Campbell	09/13/01	8	7587	789
McKinley	09/13/01	9	6183	541
Kaiser	09/11/01	5	2887	230
Leilehua	09/08/01	10	7594	917
Aiea	08/07/01	7	4790	444
Waipahu	03/17/01	7	8458	820
Castle	02/22/01	10	6474	856
Waiakea	01/18/01	4	3870	322
Farrington	11/13/00	12	8432	754
Nanakuli	12/10/99	3	2925	354
Kapa'a (East Kauai)	12/01/99	5	3561	495
Waimea (West Kauai)	12/01/99	5	2282	250
Kauai (Central Kauai)	12/01/99	6	4600	484
Total		160	112,212	11,781

Provisional Compliance

November 19, 2001

Complexes in Provisional Compliance	Date of determination	Number of schools in complex	Number of students in complex (2001-2002) enrollment count	Number of Special Education Students
Waialua	9/17/01-9/20/01	3	1619	237
Mililani	9/24/01-9/27/01	6	7412	695
Kahuku	8/08/01-8/11-01	6	3933	403
Maui High	10/15/01-10/18/01	7	6992	753
Roosevelt	10/22/01-10/25/01	10	6548	509
Lahainaluna	10/29/01-11/01/01	4	2905	348
Kea'au	10/29/01-11/01/01	4	2624	363
Kealahou	11/05/01-11/08/01	5	4431	484
Total		45	36,464	3,792

Partial Compliance

November 19, 2001

Complexes in Partial Compliance	Date of next service testing review	Number of schools in complex	Number of students in complex(2001-2002 enrollment count	Number of Special Education Students	Type of Service Testing Review
Kapolei	12/3/01-12/6/01	6	4937	465	SBSR
Waianae	01/28/01-01/31/02	7	6636	1139	SBSR
Total		13	11,573	1,604	

Complexes to be revisited

November 19, 2001

To be revisited	Date of next Service testing review	Number of schools in complex	Number of students in complex(2001-2002 enrollment count	Number of Special Education Students	Type of service testing review
Konawaena	10/22/01-10/25/01	5	2425	249	Full
Baldwin	11/13/01-11/16/01	4	4364	504	Partial
Kekaulike	12/03/01-12/06/01	7	4706	681	
Honoka'a	12/03/01-12/06/01	6	3058	391	
Kohala	12/10/01-12/13/01	3	945	132	Full
Hana	01/14/02-01/17/02	1	387	70	Full
Pahoa	02/04/02-02/07/02	3	2034	313	Full
Lanai	02/11/02-02/14/02	1	117	659	Full
Ka'u	02/19/02-02/22/02	2	889	142	Full
Molokai	02/25/02-02/28/02	6	1583	272	Full
Total		38	20,508	3,413	

Compliance Status Report: Service Testing Results
(as of November 19 2001)

Complex	Compliance Status	Date of most recent determination	Date of next Service Testing Review	Type of Service Testing Review
Kailua	Full	October 31, 2001	NA	NA
Kaimuki	Full	October 30, 2001	NA	NA
Kalaheo	Full	October 30, 2001	NA	NA
Hilo/Laupahoehoe	Full	October 25, 2001	NA	NA
Radford	Full	October 23, 2001	NA	NA
Moanalua	Full	September 20, 2001	NA	NA
Pearl City	Full	September 20, 2001	NA	NA
Kalani	Full	September 18, 2001	NA	NA
Campbell	Full	September 13, 2001	NA	NA
McKinley	Full	September 13, 2001	NA	NA
Kaiser	Full	September 11, 2001	NA	NA
Leilehua	Full	September 8, 2001	NA	NA
Aiea	Full	August 7, 2001	NA	NA
Waipahu	Full	March 17, 2001	NA	NA
Castle	Full	February 22, 2001	NA	NA
Waiakea	Full	January 18, 2001	NA	NA
Farrington	Full	November 13, 2000	NA	NA
Nanakuli	Full	December 10, 1999	NA	NA
East Kauai	Full	December 1, 1999	NA	NA
West Kauai	Full	December 1, 1999	NA	NA
Central Kauai	Full	December 1, 1999	NA	NA
Waialua	Provisional	September 17-20, 2001	December 5, 2001, 9:30 AM	NA
Mililani	Provisional	September 24-27, 2001	December 11, 2001, 2:00 PM	NA
Kahuku	Provisional	October 8-11, 2001	December 11, 2001, 9:30 AM	NA
Maui High	Provisional	October 15-18, 2001	December 10, 2001, 2:00 PM	NA
Roosevelt	Provisional	October 22-25, 2001	December 6, 2001, 9:30 AM	NA
Lahainaluna	Provisional	NA		NA
Kea'au	Provisional	NA		NA
Kealahou	Provisional	November 5-8, 2001		NA
Kapolei	Partial	NA	December 3-6, 2001	SBSR
Waianae	Partial	NA	January 28-31, 2002	SBSR
Konawaena	To be revisited	NA		Full
Baldwin	To be revisited	NA		Partial
Kekaulike	To be revisited	NA	December 3-6, 2001	Full
Honoka'a	To be revisited	NA	December 10-13, 2001	Full
Kohala	To be revisited	NA	January 14-17, 2002	Full
Hana	To be revisited	NA	January 22-25, 2002	Full
Pahoa	To be revisited	NA	February 4-7, 2002	Full
Lanai	To be revisited	NA	February 11-14, 2002	Full
Ka'u	To be revisited	NA	February 19-22, 2002	Full
Molokai	To be revisited	NA	February 25-28, 2002	Full

Appendix 7

ISPED Progress Report

This is the progress of ISPED as of 12/4/2001

Status of ISPED:

ISPED is up and running and accessible from all Schools, District, and State DOE Offices. Users must have proper access rights and connectivity to the Department of Education's (DOE) Local Area Network (LAN) or have internet connectivity if accessing from outside of the DOE's Network. Since ISPED is a web-based application, it is not platform specific and will run on a Windows or Macintosh hardware platform. The computers must use Microsoft Internet Explorer 5.0 or higher and must have Adobe Acrobat 4.0 or higher to print the ISPED forms. Having ISPED available via the internet allows users to access ISPED from their homes, and also allows the Department of Health's Family Guidance Centers access via an Internet Service Provider (ISP). ISPED is accessible during the workday and evenings, and during the weekends. At this time we are averaging 150 – 225 concurrent users at any one time during the day accessing ISPED.

ISPED Response Time Issues:

Following the initial release of the ISPED system, response time performance became an issue as the number of users accessing the system began to increase. This problem was finally resolved at the end of October, 2001. Our software developers removed the unnecessary views from the ISPED databases. These views were created for testing purposes and were not needed to run the application. By removing these views, the response time of the servers significantly increased. Users saw an immediate increase in response time, which was so dramatic that we received immediate feedback from the field. We have continued to monitor this situation and thus far, have not had reports of problems related to this issue. This includes the remote islands of Molokai and Lanai who have a slower connection than schools on Oahu. Since the ISPED response time problem was fixed, they have not reported access problems.

ISPED Servers:

ISPED is currently operating on three Sun Microsystem Sparc 280 servers. We were originally running ISPED on one Sparc 280 server and two lesser powered Sparc 220 servers, but had problems completing the daily server maintenance tasks on the two lesser powered servers. Therefore, users trying to access ISPED while the server was completing its daily maintenance tasks would experience slow response times. After upgrading to the Sparc 280 servers, all servers are able to complete their daily server maintenance tasks prior to the opening of the school day.

A fourth ISPED Server has been purchased to house the scanned Individualized Educational Program (IEP) documents. We will also use this server to generate

our ISPED reports during the day, and as our ISPED Hub Server at night to reconcile database documents among the three production servers.

ISPED Application Design:

Following the development of the initial ISPED Application in September 2000, there were numerous requests for changes to the original design. These requests generated were for various reasons, including process changes due to Special Ed program procedural and form changes, design changes to enhance navigation, design changes to enhance usability, bug fixes, and fixes to address functionality and security issues. These hundreds of changes were all recorded in a management tool database called the Program Management (PM) database. The PM database allows the DOE Development Team and the Contracted Application Developers to initiate changes then track each change as it goes through the programming/testing/acceptance cycle.

Since there was a deadline to rollout the ISPED application, not all changes could be programmed prior to the initial implementation. So a plan was devised to prioritize the requested changes, sub-divide the changes into phases, and incrementally add the new changes to the ISPED application. We just completing the Fox phase, which is the first “refresh” to the application following the initial rollout in July 2001. This phase mainly addressed user navigation issues, and changes to the IEP, Modification Plan (MP), and printable forms.

We are now planning the “Gecko” development phase. This phase will continue to address required changes to incorporate program changes, navigational issues, and security issues. We are also addressing fixes to enable users to reconcile duplicate student records. The ISPED Development team will develop a prioritized list that we will use to outline the changes. In January 2002, we will meet with the Application Developers to finalize this list. Programming will take place from January through March, with the next refresh scheduled for April 2002.

ISPED Reporting:

One of the most useful tools that ISPED will be able to provide the System is the functionality to produce reports. Our Application Developers are currently working on a “reporting engine” that will enable us to produce reports and present it to users in a variety of formats, including via a web page, excel spreadsheet file, and text file. The reporting engine, and first of the reports, will be ready by the end of December 2001.

ISPED Training:

The Department has completed the training for the majority of student services coordinators (SSCs), special education teachers, school counselors, and district resource teachers and service providers. We continue to train the school behavioral specialists (SBBH), including the contracted behavioral specialists, and new personnel or personnel who missed the initial training sessions. In addition, we conducted special follow-up sessions with the SSCs to review the

ISPED inputting requirements, and the ISPED Resource Teachers have begun voluntary “refresher training sessions” for schools requesting follow-up training. These half-day sessions are structured to provide the special education teachers additional guidance in inputting their IEPs.

ISPED Inputting of Records:

The Superintendent has issued a memo outlining the timeline to input records into ISPED. This includes the back entering of documents beginning with the start of the 2001-2002 school year, as well as the entering of current document in a timely manner. With the refresh of ISPED during the Thanksgiving weekend, ISPED now includes the up to date Special Education forms, and many of the major bugs and user work “arounds” have been fixed. However, because of the unfamiliarity with the new technology and because ISPED is process based and very complex, most users are initially experiencing a very difficult time with the initial inputting. It is also taking more time to complete their inputting because of the steep learning curve. Fortunately, this should improve as users become more familiar with the application, and we can program ISPED to make it more user friendly.

ISPED Budget:

There were significant cost overruns during the Initial Development phase (primarily due to additional program requirements), Statewide rollout (primarily due to addressing bug fixes), and the Fox Phase Development (primarily due to addressing additional program requirements and response time fixes). In addition, the budget also included the Chapter 19 Suspension Application, as well as extra work required to meet benchmark requirements (IEP Scanning and Reading Assessment inclusion). All of this impacted the contract budget, but my stance at the time was to get ISPED rolled out and implemented at any cost.

We are now concluding the Fox Phase of development, and entering the Reporting Phase. The balance remaining in the Spectria Contract as of 11/23/01 is \$199,403.

We have significant work remaining on ISPED that needs to be budgeted. This work would be included in the **Gecko Phase and Horse Phase** of work. We also need to address some work remaining on the Chapter 19 application. Here is a breakdown of the remaining work:

Reporting Solution, Gecko Phase Horse Phase, Load Balancer (Cluster testing), Student ID Correction Tool, Chapter 19, Conflict Doc , and Student ID Correction Tool

Appendix 8

EXECUTIVE SUMMARY

In order to accomplish the Department's Felix Response Plan (FRP), a total of \$27.9 million was forward-funded to the Department. As of the audit date of March 31, 2001, a total of \$15.7 million had been expended and/or encumbered, encompassing the 12 Priorities of the Response Plan. Although there were numerous audit findings, in general, the funds for Fiscal Year-To-Date March 31, 2001, in all material respects, were expended in accordance with original budget objectives. Please refer to Exhibit A for detailed financial reports of each of the Felix Response Plan Priorities. Also, please refer to page 4 for a summary of audit findings.

Major areas requiring corrective action are as follows:

Immediate Action (Please refer to page 4 for the summary of audit findings.)

- Numerous salary/payroll correcting journal voucher entries must be made by June 30, 2001.
- Determinations must be made regarding questionable expenditures as to whether amounts are to be repaid to the FRP Program IDs by June 30, 2001.

Systems Issues

In order to enforce FRP fiscal accountability, several improvements must be made to systems:

- The budget communication process must be improved. Input should be solicited from the field as to budgetary needs. FRP budget objectives must be clearly communicated from Program Managers to those in the field who are implementing the budget objectives.
- The Department's FRP Program Managers have insufficient tools to fiscally manage their operations. Data is currently seriously fragmented among several areas of the Department: budget; personnel; accounting; programs; districts; and schools. For this audit alone, the majority of time spent on the audit was merely in compiling the data in an understandable financial format. Therefore, the Department must develop a comprehensive Felix financial report which extracts and compiles data from programs, budget, personnel, payroll, accounting, districts and schools in an understandable format. With these financial reports, FRP Program Managers will be able to review the data in a timely manner, and identify any unusual or incorrect transactions that require investigation and correction. Also, FRP Program Managers will be able to monitor personnel positions to ensure that they are properly accounted for, and will be able to monitor expenditures in relation to budgeted line items.
- There is no overall area in the Department that analyzes FRP funds in a budget-to-actual comparison. Therefore, a complete ongoing financial analysis and audit should be performed of FRP transactions. To this end, it is recommended that the DOE establish: (1) a FRP financial analysis section, and (2) a FRP auditor section. The FRP financial analysis section would develop the comprehensive financial reports, comparing budget-to-actual data. The FRP financial analysis section would include data processing systems personnel to compile the financial data necessary from the program areas, budget office, personnel and accounting. The FRP auditor section would be charged with the responsibility of monitoring the financial reports, and would report periodically to the Superintendent's Office, through the DOE Internal Auditor.
- The FMS System should be revised to include a separate code to control "C" expenditures.
- A report should be developed to monitor "unallotted" funds.