

OSEP Part B Regulations Regional Implementation Meetings



Building the Legacy: IDEA 2004



General Supervision



Concepts of General Supervision

Accountability for Implementation & Improved Results





The BIG 8 of General Supervision (and Continuous Improvement)

1. What are the minimum **components** for General Supervision ?
2. How do the components form a state **system** ?
3. What are the annual **processes** operating within the system ?

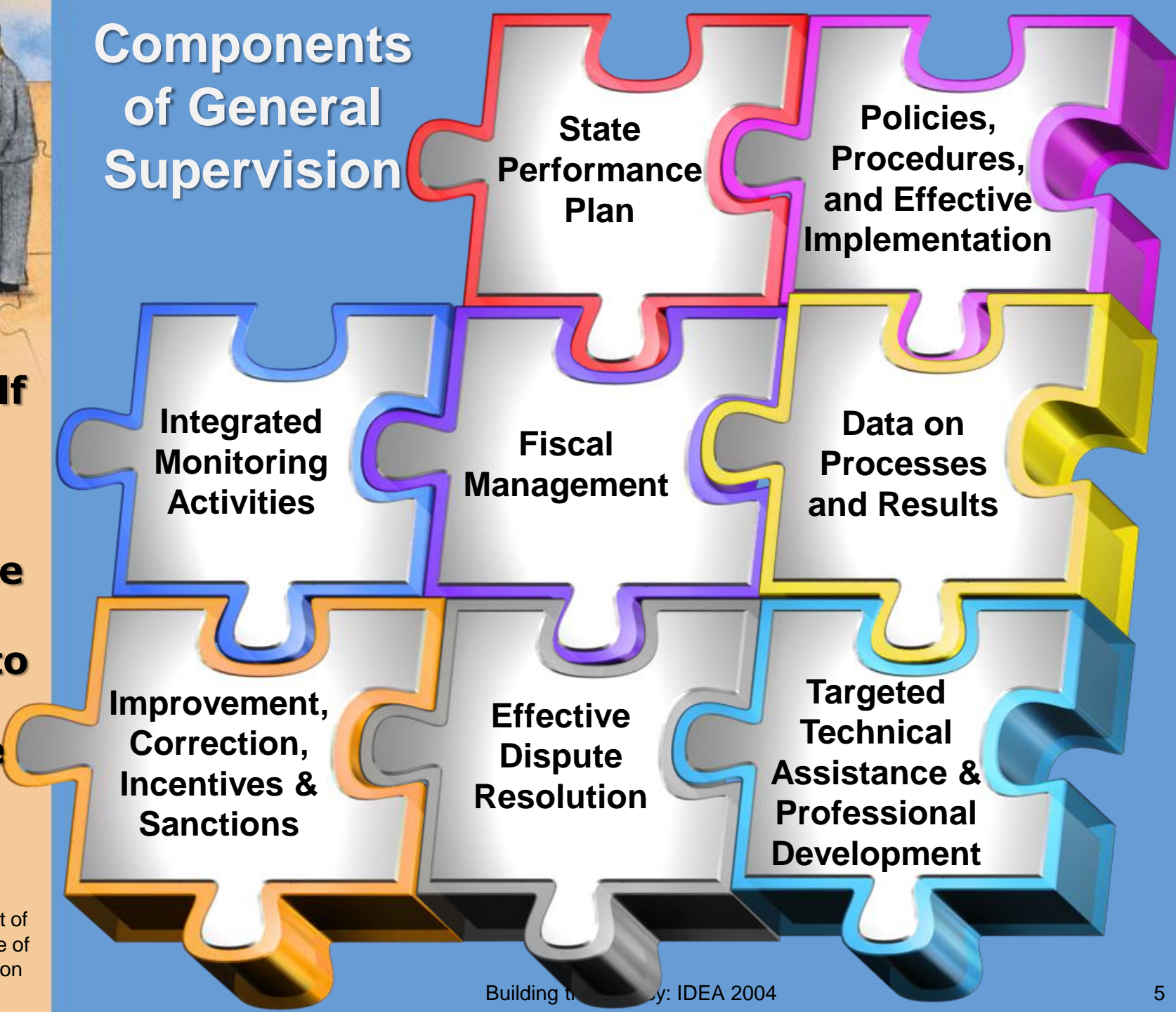


Difference between Concepts & a Model

Each state develops
Its Own Model
of General
Supervision
based on what's
required and desired

Components of General Supervision

**Ask
Yourself
How
Each
Piece
Operate
s and
Fits Into
the
Whole**





**How Do
the
Big 8
Fit Into
a State
System
?**

Accountability's Big View



What accountability requirements for other programs have?

Requirements:

State Performance Plan (SPP)

- 34 CFR §§76.720 and 80.40 Annual performance reports (APRs)
- 34 CFR §300.157 Performance goals and indicators
- 34 CFR §300.601 SPP
- 34 CFR §300.600 (c) and (d) Monitoring and enforcement
- 34 CFR §300.602 Targets and reporting



State Performance Plan

- Stakeholders should be actively involved in all aspects of the SPP.
- The development and implementation of the SPP leads to improved results.
- Reporting is critical to ensuring accountability to the public.
- The SPP is the blueprint for systems change.



Requirements: Policies, Procedures & Effective Implementation

- 20 U.S.C. §1232d(b)(1) Program administered in accordance with rules
- 20 U.S.C. §1232e(b)(1) local educational agency (LEA) administers program in accordance with rules
- 34 CFR §76.700 Compliance with statutes
- 34 CFR §300.100 State policies and procedures (state plan)
- 34 CFR §300.154 Methods of ensuring services
- 34 CFR §§300.200-300.201 LEA policies and procedures



Policies, Procedures & Effective Implementation

- Aligned with IDEA
- Implemented by local programs
- Methods to detect noncompliance and ensure correction of noncompliance
- Program improvement through improvement planning and incentives
- Current interagency agreements and memoranda of understanding (MOU) when required to ensure IDEA implementation
- Mechanisms to determine effectiveness of agreements and MOU



Requirements: Effective Dispute Resolution

- 34 CFR §300.150 Procedural safeguards
- 34 CFR §§300.151-300.153 Complaint procedures
- 34 CFR §300.500 Procedural safeguards
- 34 CFR §300.504 Procedural safeguards notice



**Effective
Dispute
Resolution**

Effective Dispute Resolutions

- Are timely
- Track issues
- Inform onsite and offsite monitoring activities
- Periodically evaluate effectiveness of resolutions
- Determine that parents and families and students understand their rights, especially in cases where there are few or no complaints, hearings, or other resolutions



**Effective
Dispute
Resolution**

Requirements:

Data on Processes & Results

- 20 U.S.C. §1232d(b)(4) Evaluate effectiveness
- 20 U.S.C. §1232e(b) LEAs report to the state educational agency (SEA), board, Secretary
- 34 CFR §300.601(b) Data collection
- 34 CFR §300.602 Targets and reporting
- 34 CFR §300.640 Annual report of children served



**Data on
Processes
& Results**

Data on Processes & Results

- Collection and verification
 - 618
 - Dispute resolution
 - Previous monitoring reports
 - other
- Examination and analyses
 - Areas of state concern
 - Clusters of related indicators
- Reporting
 - APR (state)
 - LEA Performance compare to state targets
- Status determination
- Improvement
 - Data are used to plan and revise activities



**Data on
Processes
& Results**

Requirements:

Integrated Monitoring Activities

- 20 U.S.C. §1232d(b)(3)(A) Proper methods of monitoring
- 34 CFR §300.120 Monitoring least restrictive environment (LRE)
- 34 CFR §300.149 SEA responsibility for general supervision
- 34 CFR §300.600 State monitoring



Integrated Monitoring Activities

- Stakeholders involved
- Focus on specific hypotheses for area
- Teams include family members
- Investigation related to noncompliance and program improvement
- Multiple methods and data sources to monitor every program, every year
- Activities include continuous examination of performance for compliance and results
- Written reports specify evidence of correction and of improvement
- Internal and external technical assistance and professional development support improvement and correction



Requirements: Targeted TA and Professional Development

- 20 U.S.C. §1232d(b)(3)(B), (C), (D) Provide TA, promising practices and disseminate information
- 20 U.S.C. §1232e(b)(8) LEA has effective dissemination to teachers and administrators
- 34 CFR §300.119 TA on LRE
- 34 CFR §300.156 Personnel qualifications



Targeted Technical Assistance & Professional Development

- Directly connected to the SPP and improvement activities
- Provided to correct noncompliance and improve results
- Principles of adult learning
- Measure effectiveness of implementation
- Incorporate various agencies in development and dissemination
- Distribute promising practices and evidence based practices to local programs





Requirements: Improvement, Correction, Incentives, & Sanctions

- ☐ 20 U.S.C. §1232d(b)(3(A) and (E) Proper methods—correction and enforcement
- ☐ 34 CFR §80.12 Special conditions
- ☐ 34 CFR §80.43 Enforcement
- ☐ 34 CFR §300.222 LEA compliance
- ☐ 34 CFR §300.600 State monitoring and enforcement
- ☐ 34 CFR §§300.603-300.604 Determinations and enforcement actions
- ☐ 34 CFR §300.608 Enforcement



**Improvement
& Correction,
Incentives
& Sanctions**

Improvement, Correction, Incentives & Sanctions

- Explicit state authority to enforce regulations, policies, and procedures
- TA to ensure correction of noncompliance
- Improvement planning to meet targets
- Corrective action planning and follow-up tracking of correction and improvement
- Range of formalized strategies and/or sanctions for enforcement with written timelines
- Determines the status of local programs annually



Requirements: Fiscal Management

- 34 CFR §§300.704 and 300.705 Distribution of funds
- 34 CFR §300.209 Treatment of charter schools
- 34 CFR §300.133 Private schools proportionate share
- 34 CFR §§300.163 and 300.203-300.205 Maintenance of effort
- 34 CFR §§300.162 and 300.202 Excess cost/supplement not supplant
- 34 CFR §300.226 Early intervening services 15%
- OMB Circular A-133 – Single Audits



Fiscal Management

- States distribute funds in accordance with federal requirements.
- Funds are used in accordance with federal and state requirements.
- States provide oversight on the use of funds.
- Funds are aligned to problem areas in the SPP/APR



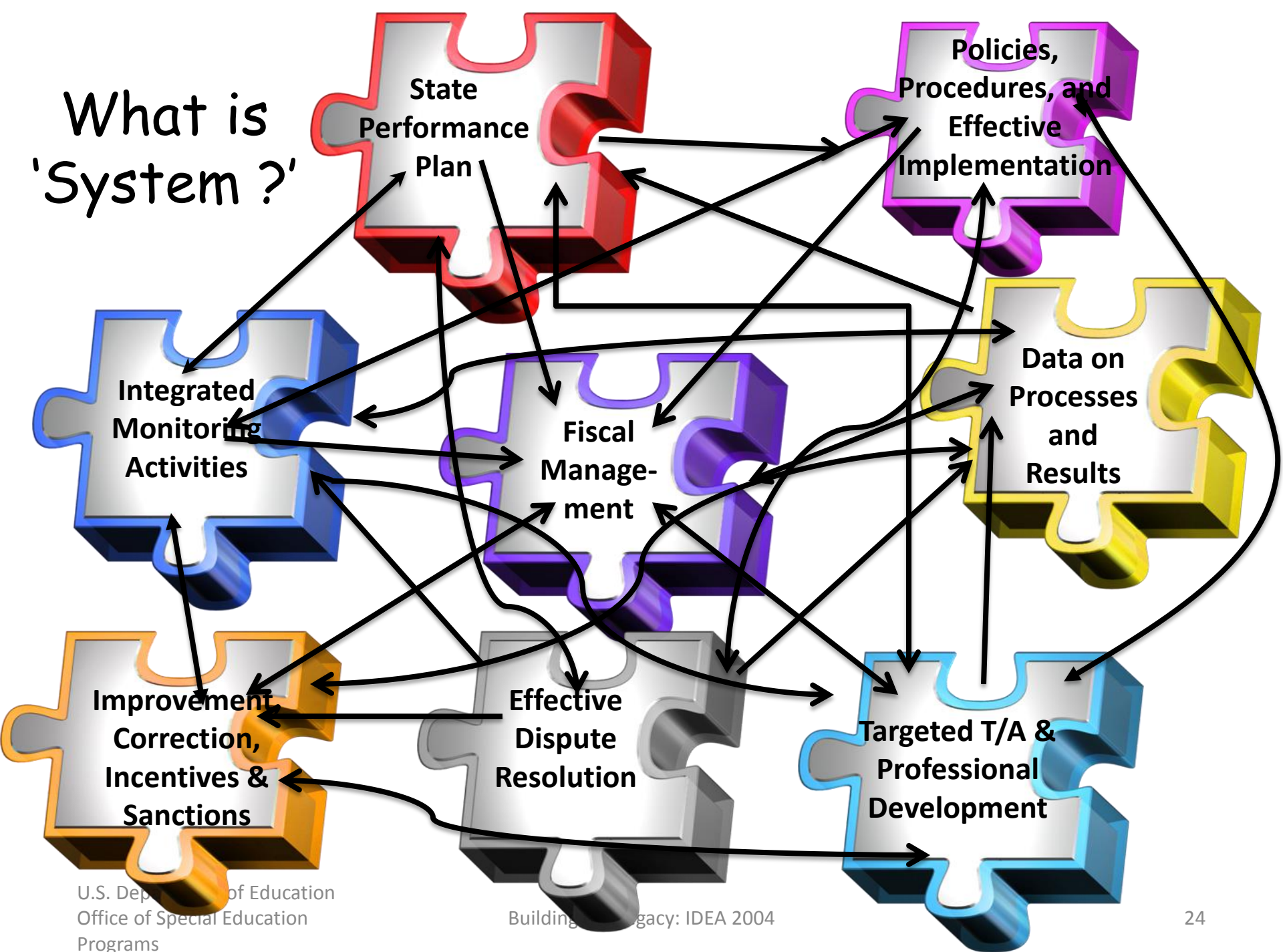
Describing a 'System' of General Supervision

Problems in Description (beginning list)

- ✓ Equating general supervision as only onsite monitoring
- ✓ Viewing administration as a collection of separate and isolated functions
- ✓ Defining accountability as an event rather than a 'state' and process
- ✓ Others?

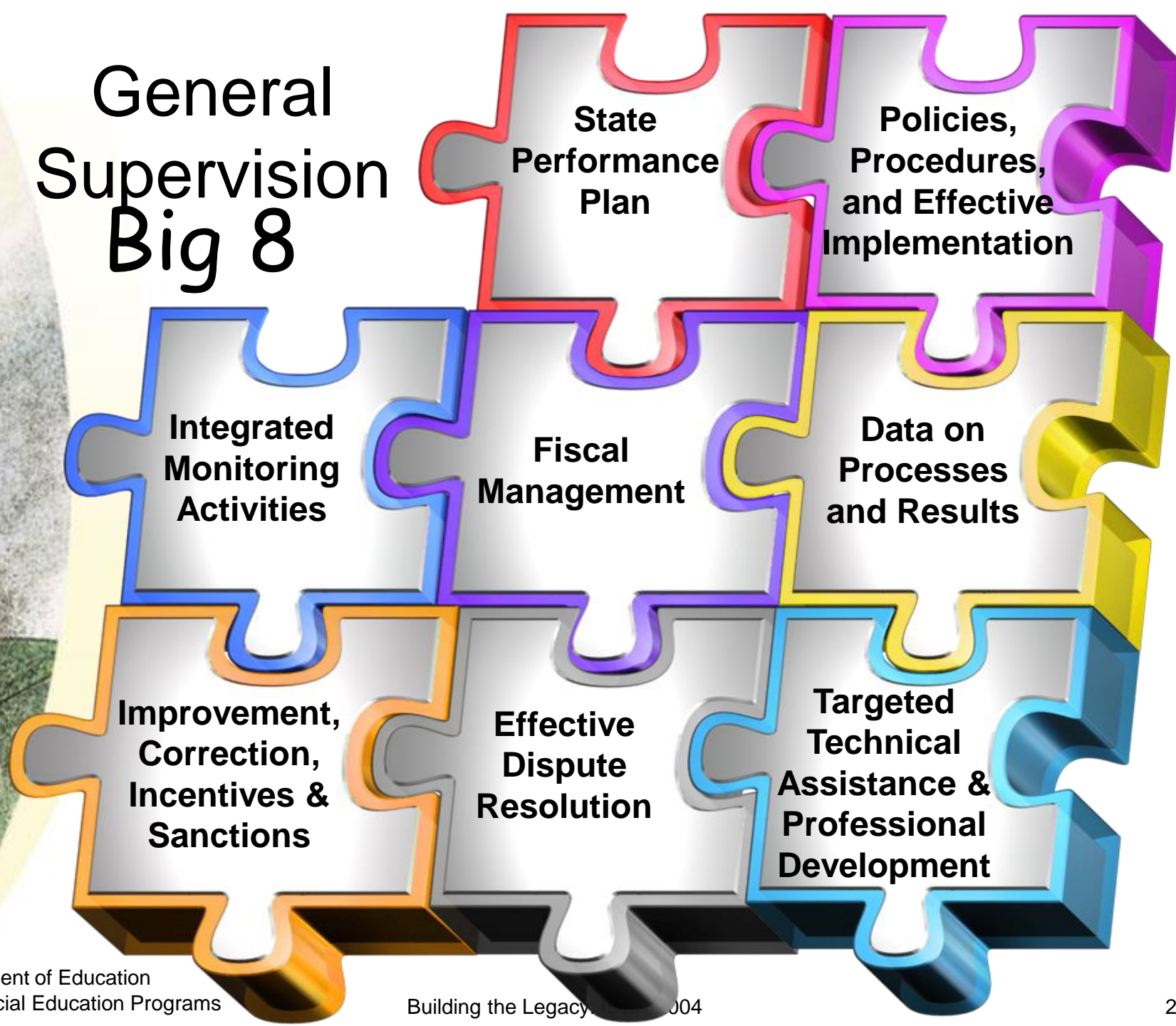


What is 'System'?





General Supervision Big 8





For More Information

- <http://sites.ed.gov/idea>
- <http://www.ed.gov>
- <http://www.monitoringcenter.lsuhs.edu>
- <http://www.rrfcnetwork.org>