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

- State Performance Plan
- Policies, Procedures, and Effective Implementation
- Data on Processes and Results
- Fiscal Management
- Integrated Monitoring Activities
- Targeted Technical Assistance & Professional Development
- Effective Dispute Resolution
- Improvement, Correction, Incentives & Sanctions

Ask Yourself How Each Piece Operates and Fits Into the Whole

U.S. Department of Education, Office of Special Education Programs

Building a Legacy: IDEA 2004
Accountability’s Big View

How Do the Big 8 Fit Into a State System?

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 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
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

• 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
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
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

- 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'?
It’s about Better Results
General Supervision

Big 8

Integrated Monitoring Activities

State Performance Plan

Policies, Procedures, and Effective Implementation

Data on Processes and Results

Fiscal Management

Effective Dispute Resolution

Targeted Technical Assistance & Professional Development

Improvement, Correction, Incentives & Sanctions

U.S. Department of Education
Office of Special Education Programs
For More Information

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