

B-20 General Supervision System (GSST)



Maine Department of Education (MDOE)

Special Services

Child Development Services (CDS)

2004 IDEA Amendments

New 2-tiered Accountability System into effect for USED
and States in 2007-08

Maine DOE/CDS B-20 General Supervision System

Primary focus of general supervision for federal and State

- Improve educational results and functional outcomes for all children with disabilities;
- Ensure States meet IDEA program requirements, with a particular emphasis on requirements closely related to improving educational results for children with disabilities.

Maine DOE/CDS B-20 General Supervision System

State Performance Plan (SPP)

- Serves as the accountability mechanism for States and Local educational agencies (LEAs);
- Includes baseline data and measurable, rigorous targets for each of the IDEA performance and compliance indicators (20 indicators for Part B, 14 indicators for Part C);
- States report annually on progress to USED through Annual Performance Report (APR);
- States must use the targets to analyze performance of each LEA, make a determination, and report annually to the public on performance of LEAs compared to State targets.

Maine DOE/CDS B-20 General Supervision System

IDEA Determinations

- USED annually reviews, State's APR and based on that information makes a determination of the State as:
 - Meets requirements
 - Needs assistance
 - Needs intervention
 - Needs substantial intervention

 - Based on determination, there are enforcement actions as well as technical assistance resources available.

 - States are also required to make the same level of determinations on LEAs based on LEA performance on SPP targets.
-

Maine DOE/CDS B-20 General Supervision System

2009 OSEP Determinations of States & Territories

- **Meets Requirements**
30 states - Part B; 26 States - Part C
- **Needs Assistance**
24 States - Part B; 25 States – Part C
- **Needs Assistance Year 2**
17 States – Part B; 19 States – Part C
- **Needs Intervention**
6 states – Part B; 5 States – Part C
- **Needs Significant Intervention**
3 States – Part B; 1 State – Part C

Maine DOE/CDS B-20 General Supervision System

Maine's current IDEA determinations by USED

- Part B
- Part C

Maine DOE/CDS B-20 General Supervision System

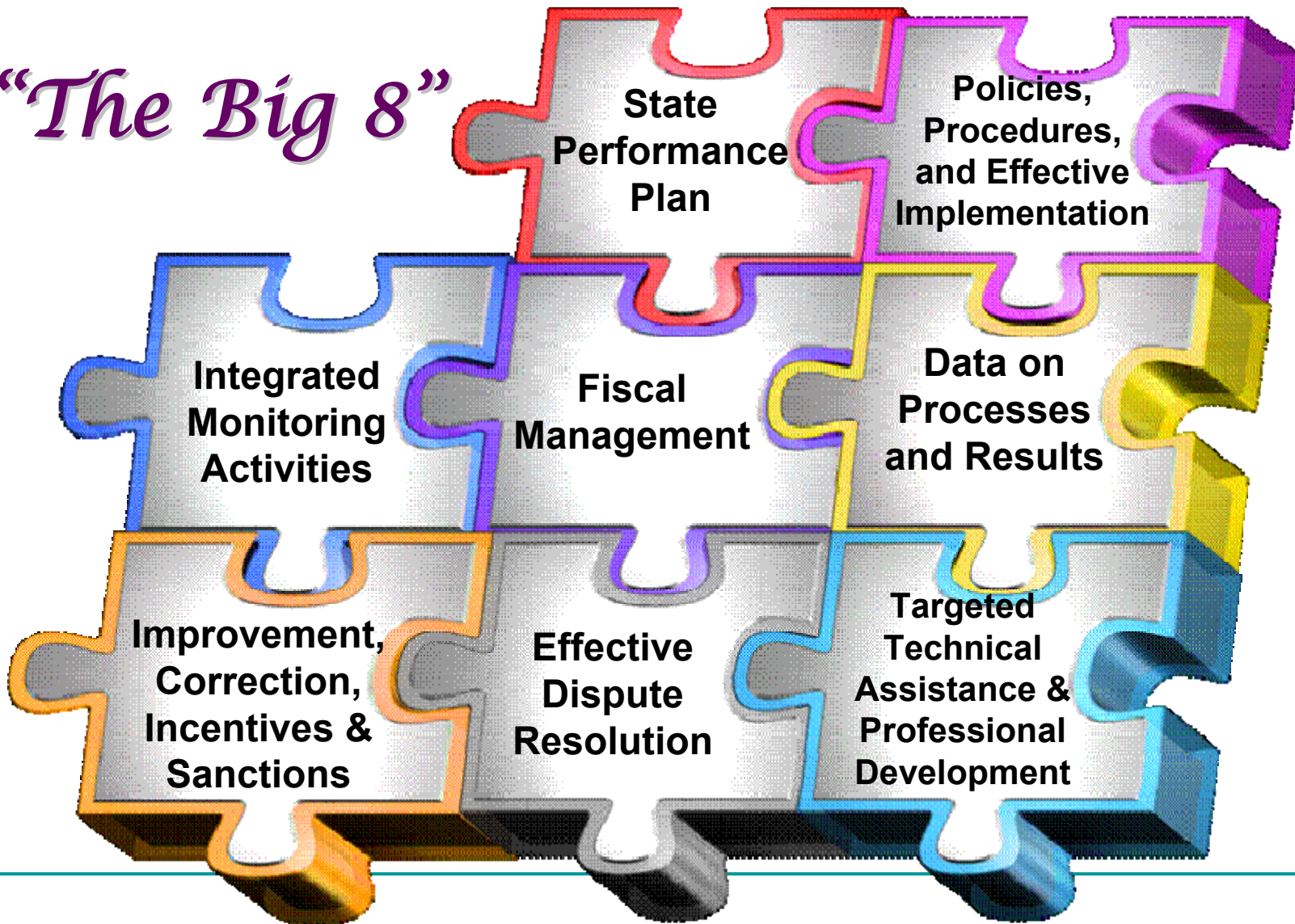
- The state must establish lead agency my have a procedure in place for Part C and Part B must establish programs follow state procedures and state practices.

Maine DOE/CDS B-20 General Supervision System

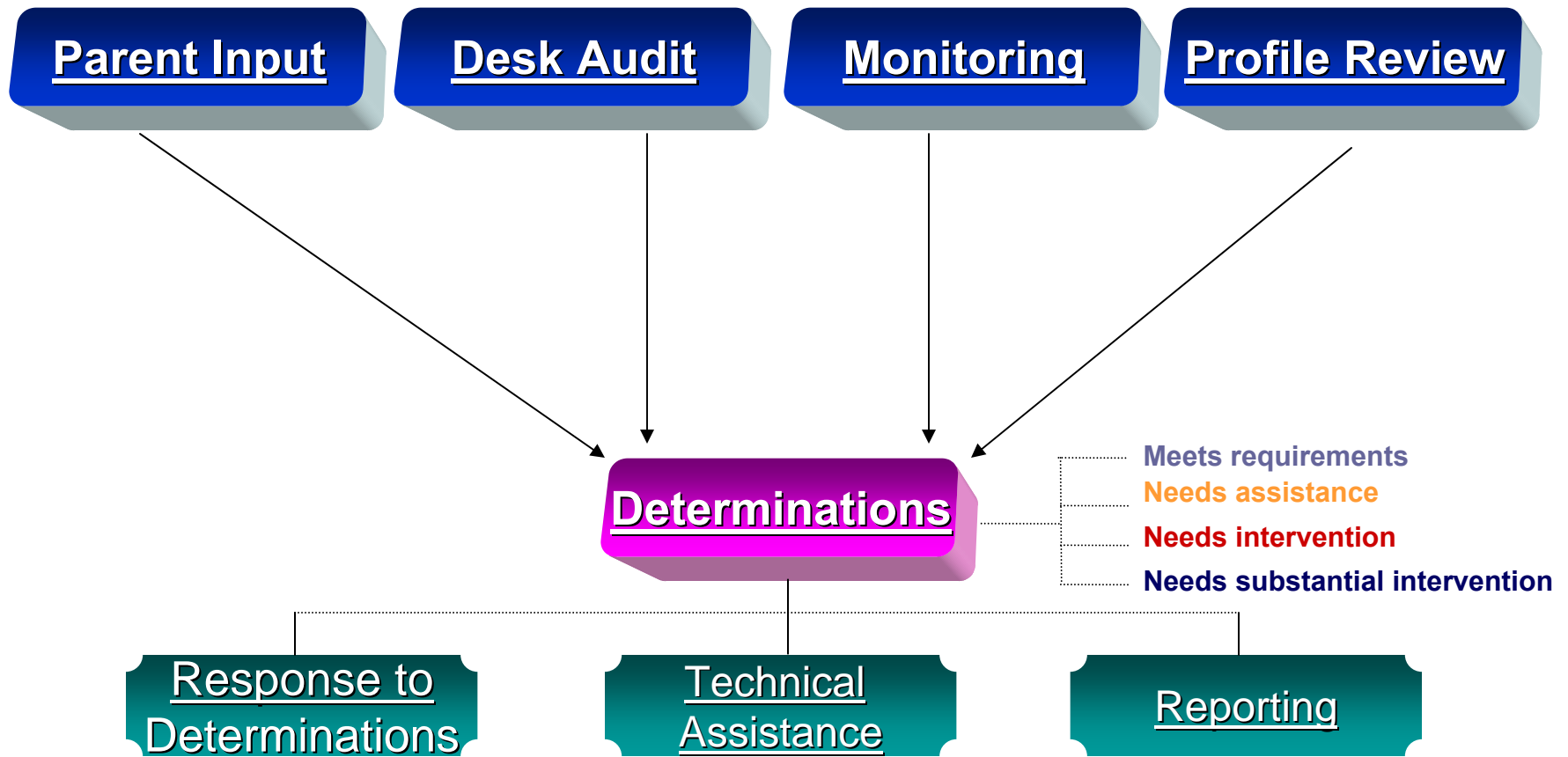
Maine has established a B-20 (GSST) model on the components of general supervision provided by OSEP

Maine DOE/CDS B-20 General Supervision System

“The Big 8”



Maine DOE/CDS B-20 General Supervision System



SPP INDICATORS Part C (CDS)

1. **Timely Service Delivery.** % of infants/toddlers w/IFSPs receiving EI on their IFSPs in a timely manner.
2. **Settings.** % of infants/toddlers receiving EI in the home or programs for typically developing children.
3. **Child Outcomes.** % of infants/toddlers demonstrating improved: positive social-emotional skills; acquisition & use of knowledge & skills; use of appropriate behaviors.
4. **Family Outcomes.** % of families reporting EI svcs have helped the family: know their rights; effectively communicate child's needs; and help their children develop & learn.
5. **Child Find, Ages Birth to 1.** % of infants/toddlers birth-1 w/IFSPs compared to: other states w/similar eligibility definitions; and national data.
6. **Child Find, Ages Birth to 3.** similar to Indicator 5 for B-3.
7. **Timeliness of IFSP.** % of eligible infants/toddlers w/IFSPs within 45-day Part C timeline.
8. **Early Childhood Transition.** % of all children exiting Part C who received timely transition planning by their 3rd birthday.
9. **Part C Monitoring System.** General supervision system identifies & corrects no later than one year from identification.
10. **Administrative Complaints.** % of signed written complaints w/reports issued that were resolved within 60 day timeline.
11. **Due Process Hearings.** % of due process hearing requests that were fully adjudicated within applicable timeline.
12. **Resolution Agreements.** % of hearing requests that went to resolution sessions that were resolved through resolution session settlement agreements [applicable if Part B due process procedures are adopted].
13. **Mediations.** % of mediations held that resulted in mediation agreements.
14. **Data Accuracy.** State reported data are timely and accurate.

SPP INDICATORS Part B

Indicators in bold reflect areas of CDS involvement

1. Graduation. % youth w/IEPs graduating w/regular diploma.
2. Dropout. % youth w/IEPs dropping out.
3. Statewide Assessment. Participation & performance.
4. Suspension/Expulsion. Suspension/Expulsion Rates.
5. LRE Placement. % of 6-21 children removed from regular class; served in public/private separate schools; residential; homebound; hospital.
6. **Preschool Settings. % of preschool children w/IEPs in settings w/typically developing peers.**
7. **Preschool Skills. % of preschool children with improved positive social-emotional skills; acquisition & use of knowledge & skills; use of appropriate behaviors.**
8. **Parent Involvement. % of parents w/child receiving SPED services who report schools facilitated parent involvement.**
9. Disproportionate representation in special education. % of districts w/disproportionality due to inappropriate ID.
10. Disproportionate representation in specific disability categories. % of districts w/racial & ethnic disproportionality in specific disability categories as a result of inappropriate ID.
11. **Child Find. % of children determined eligible within 60 days.**
12. **Part C to B Transition. % children with IEP by 3rd birthday.**
13. Secondary Transition w/IEP Goals. % of youth age 16+ w/IEP w/measurable, annual IEP goals & transition services.

SPP INDICATORS Part B, continued

14. Secondary Transition/Post-School Outcomes – Competitive Employment, Enrolled in School. % of youth who had IEPs, are no longer in secondary school & who have been employed, enrolled in postsecondary school, or both, within 1 year of leaving high school.
15. Monitoring, Complaints and Hearings. General supervision system identifies & corrects noncompliance within 1 year.
16. Written complaints. % of signed written complaints w/reports issued resolved within 60 days.
17. Due Process Hearings. % of due process hearings w/in 45 days.
18. Hearing Requests that Went to Resolution. % of hearing requests resolved through resolution agreements.
19. Mediations. % of mediations resulting in mediation agreements.
20. Timeliness of State Reported Data and Reports. State reported data are timely & accurate.

Maine DOE/CDS B-20 General Supervision System

Changes ahead-

- Prior monitoring process (last 10+ years)
- 2008-2009 CIMP Transition Year
- GSST
 - ❑ Data driven review
 - ❑ Based on SPP/APR
 - ❑ Resource maximization

Maine DOE/CDS B-20 General Supervision System

Findings of Noncompliance

What is a finding?

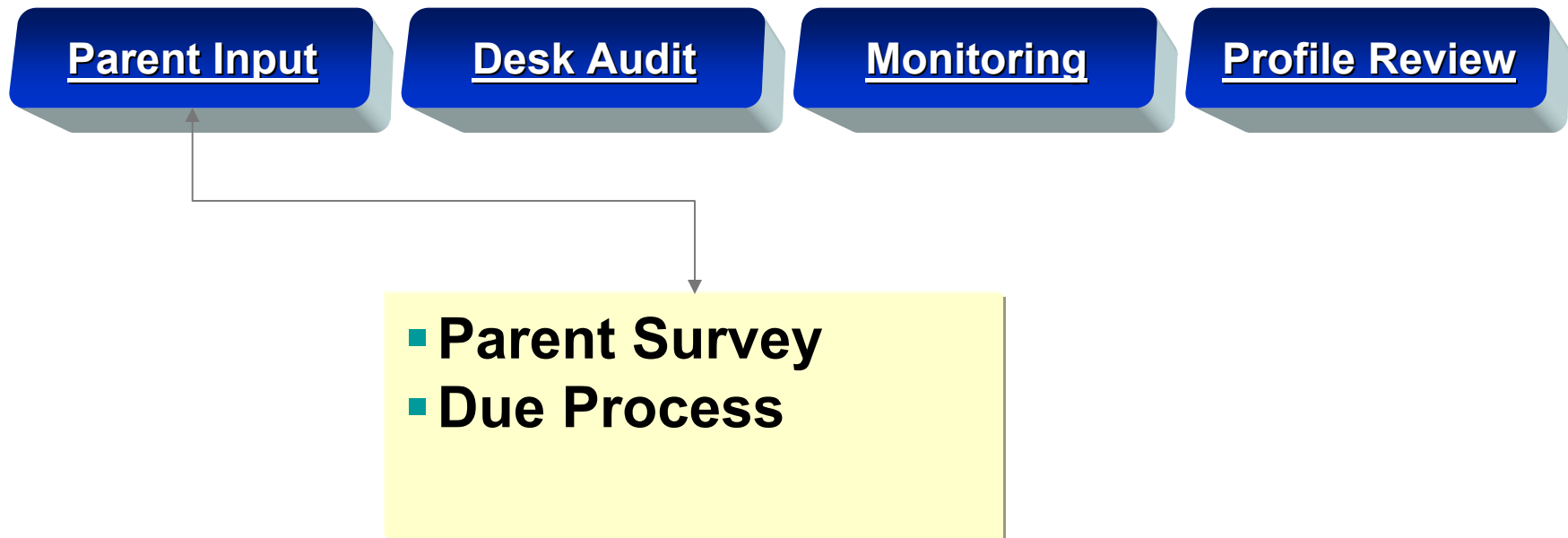
- ❖ A finding is a written notification from the State to an LEA/EIS program that contains the State's conclusion of noncompliance
- ❖ A finding must be made for any area of noncompliance found
- ❖ Written notification of a finding needs to occur as soon as possible after the State determines noncompliance.
- ❖ A finding of noncompliance must be corrected as soon as possible but no more than a year after identification

Maine DOE/CDS B-20 General Supervision System

How can findings of noncompliance be determined?

- ❖ On site monitoring
- ❖ Focused monitoring
- ❖ Self assessments
- ❖ Desk audit

Maine DOE/CDS B-20 General Supervision System



Maine DOE/CDS B-20 General Supervision System

Parent Input

Desk Audit

Monitoring

Profile Review

Data Systems

(Case-e, MEDMS, IC, Local Entitlement)

- **11 of 34 SPP indicators**
- **Assessment Data**
- **User statistics**
- **Procedural history**
- **Child count 11 data points**
- **Fiscal summaries**
- **Service delivery history**
- **Service costs**

Additional Information

- **Availability/timely entrance of data**
- **Childhood Outcomes Summary Form (COSF)**
- **Letter of Findings**
- **Improvement/Corrective Action Plans (ICAP)**
- **Qualified personnel**
- **Unmet needs**
- **Fiscal Review**
- **Professional Development**

Maine DOE/CDS B-20 General Supervision System

Parent Input

Desk Audit

Monitoring

Profile Review



EI/FAPE Monitoring

- Focused Monitoring (selected indicators)
- Selected File Review
- Selected Interviews/ Surveys
- Inclusion efforts
- Child Find Procedures
- Evaluation Procedures

Infrastructure

- Contracts
- Leases
- Personnel Evaluations
- MOU's
- Payroll records (SPED/Title I/ Regular Ed)

Maine DOE/CDS B-20 General Supervision System

Parent Input

Desk Audit

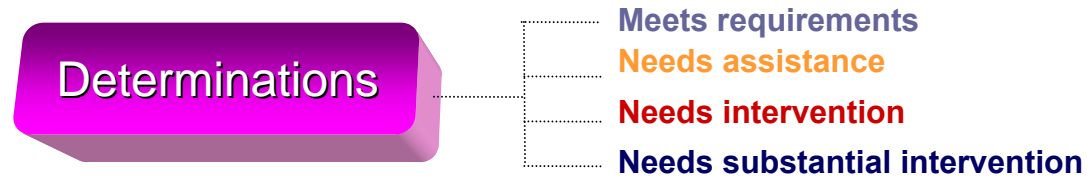
Monitoring

Profile Review

Policies Procedures and Effective Implementation

- Analysis of Data
- Policies and Procedures
- Effective Response to Department/ CDS Requests
- Effective Implementation of Policies and Procedures
- Fiscal Submission
- HR Submission
- Contract Application
- Review of Due Process Proceedings

Maine DOE/CDS B-20 General Supervision System



What should States consider in making their “Determinations?”

States MUST consider

- Performance on compliance indicators;
- Whether data submitted is valid, reliable, and timely
- Uncorrected noncompliance from other sources
- Any audit findings.

States could also consider

- Performance on performance indicators
- Other information.

**Each determination level will consist of specific requirements
the program must complete to respond to their determination level.**

Steps to correct noncompliance

- ❖ Factors that may be considered:
 - ❑ Is the noncompliance extensive or was it found in a small percentage of files
 - ❑ Does the noncompliance show a denial of a basic right under IDEA
 - ❑ Does the noncompliance represent an isolated incident, or does it reflect a long standing failure to meet IDEA

Timeline for Correction

- ❖ Correction must be made as soon as possible but no later than one year after identification.
- ❖ Timeline begins on the date in which LEA/EIS is informed from the State
- ❖ Notice of correction can be issued later than one year from date of written notification of finding, but LEA/EIS must have demonstrated correction and State verification within the one year timeline

Maine DOE/CDS B-20 General Supervision System

In order to demonstrate that previously identified noncompliance has been corrected a State must:

- ❖ Account for all areas of noncompliance gathered through all monitoring activities
 - ❖ Identify where, what, the percentage and root cause(s) of noncompliance
 - ❖ May require each LEA/EIS to review and/or change their policies, procedures and/or practices that resulted in the noncompliance
 - ❖ Determine that the LEA/EIS is correctly implementing regulatory requirements
-

Child Specific Noncompliance

In addition to previous steps the State must also:

- ❖ Ensure the LEA/EIS has ensured that each individual case of noncompliance has been corrected
- ❖ Ensure it has instituted appropriate enforcement actions

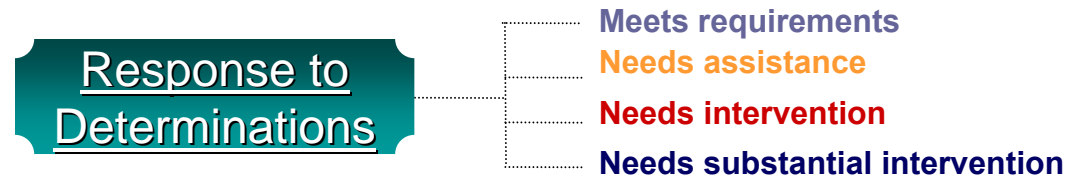
Maine DOE/CDS B-20 General Supervision System

If LEA/EIS did not correct area of noncompliance within a year from identification, the State must report if the finding was subsequently corrected.

If regulations are not being implemented by the LEA/EIS the State must:

- ❖ explain to OSEP what it has done to identify the cause(s) of the continued noncompliance
- ❖ Explain what it is doing about the continued lack of compliance including enforcement actions on the LEA/EIS

Maine DOE/CDS B-20 General Supervision System



Meets Requirements:

- o Site Visit (if required based on data)
- o Seek Promising Practices
- o May require focused self assessment on areas of deficiency
- o May Require Partial Verification Audit
- o May require I/CAP regarding findings

Maine DOE/CDS B-20 General Supervision System

Response to Determinations

Meets requirements

Needs assistance

Needs intervention

Needs substantial intervention

Needs assistance

1st Yr –

- Site Visit (based on data)
- May Require Partial Verification Audit
- May require focused self assessment on areas of deficiency
- Seek Promising Practices
- Advise of available resources and Technical Assistance
- Require I/CAP regarding findings

2nd Yr –

- Complete Focused Self Assessment
- May Require Partial Verification Audit
- May require on site review
- Advise of available resources & Technical Assistance
- Require I/CAP regarding findings
- Identify SAU/IEU as a high risk grantee
- May impose condition on use of funds

Maine DOE/CDS B-20 General Supervision System

Needs intervention

Response to Determinations

Meets requirements

Needs assistance

Needs intervention

Needs substantial intervention

1st yr –

- o Focused Self Assessment
- o Require Partial Verification Audit
- o May require on site review
- o Advise of available resources & Technical Assistance
- o May Identify as IEU/SAU high risk grantee
- o Require I/CAP regarding indicators
- o May Require IEU/SAU to revise its use of funds

2nd Yr –

- o Self Assessment
- o Require Partial Verification Audit
- o May require on site review
- o Require use of identified resources and Technical Assistance
- o Require proof of utilization of Technical Assistance on identified outcomes
- o Identify as high risk grantee
- o Revised I/CAP regarding indicators
- o Impose conditions on use of funds

3rd Yr –

- o Self assessment
- o Require Full Verification Audit (Review: Parent Input, Desk Audit Information, Monitoring Information, and Full Profile Review)
- o On Site review
- o Require use of identified resources and Technical Assistance
- o Require proof of utilization of Technical Assistance on identified outcomes
- o Identify as high risk grantee
- o Impose conditions on use of funds
- o Development of I/CAP facilitated by DOE regarding indicators
- o ICAP Report
- o Assign mentor to oversee I/CAP
- o Determinations of partial or whole withholding of funds

Maine DOE/CDS B-20 General Supervision System

Response to Determinations

Meets requirements

Needs assistance

Needs intervention

Needs substantial intervention

Needs substantial intervention

- Self assessment
- Full Verification Audit (Review: Parent Input, Desk Audit Information, Monitoring Information, and Full Profile Review)
- Site review
- Require use of identified resources and Technical Assistance with outcomes
- Require proof of utilization of Technical Assistance on identified outcomes
- Identify as high risk grantee
- Impose condition on use of funds
- Require I/CAP regarding indicators
- Assign mentor to oversee I/CAP
- Determination of partial or whole withholding of funds

Maine DOE/CDS B-20 General Supervision System

Parent Input

Desk Audit

Monitoring

Profile Review

Determinations

Meets requirements

Needs assistance

Needs intervention

Needs substantial intervention

Response to
Determinations

Technical
Assistance

Reporting

- Professional development
- Consultation
- Training Modules
- Connections with Appropriate Technical Assistance Resources
- Website Content

Maine DOE/CDS B-20 General Supervision System

Parent Input

Desk Audit

Monitoring

Profile Review

Determinations

Meets requirements

Needs assistance

Needs intervention

Needs substantial intervention

Response to
Determinations

Technical
Assistance

Reporting

- Federal
- Local

State Contacts:

Debra Hannigan

State Director CDS and GSST Team Leader

Debra.Hannigan@maine.gov

For more information visit:

<http://www.maine.gov/education/speced/cds/index.html>