



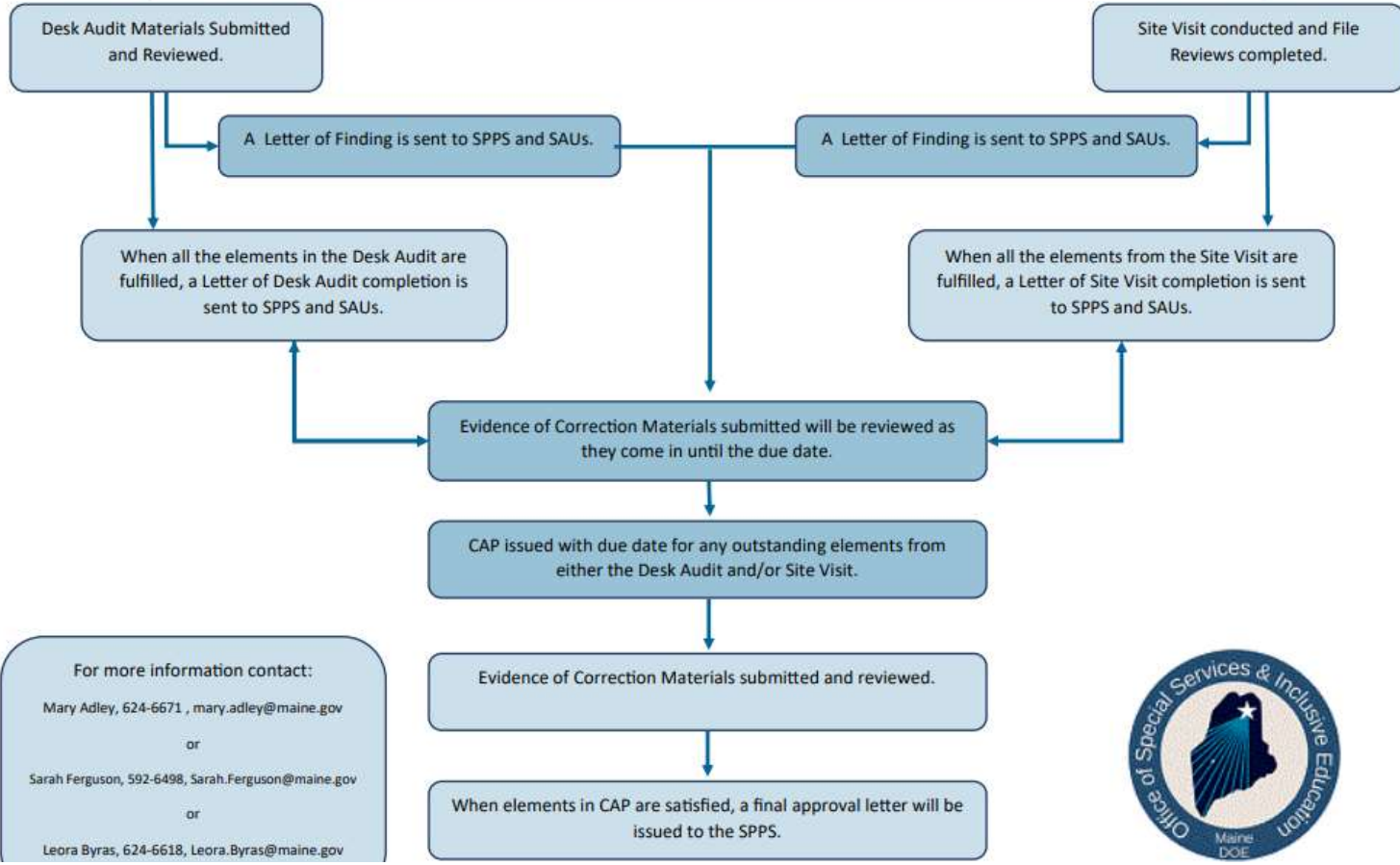
SPPS General Supervision

General System of Supervision and Monitoring of Special
Education Programs in Special Purpose Private Schools

2023-2024
08/17/2023 Webinar

Special Purpose Private Schools Monitoring Process

Letter of Notification/Instruction sent and Webinar scheduled



For more information contact:
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SPPS General Supervision

- ▶ **Monitoring Cohort**

- ▶ **Website :**

<https://www.maine.gov/doe/learning/specialized/specialpurposeprivateschools>

- ▶ **Webinar**



SPPS General Supervision Process: Timeline

- ▶ **Site Visit Fall 2023**
- ▶ **Letter of Notification and Instruction 8/07/2023**
- ▶ **Desk Audit - submissions due 12/29/23**
- ▶ **Letters of Findings (2):**
 - ▶ 1. Site Visit: Approx. 1 month post Site Visit
 - ▶ 2. Desk Audit: Sent to SPPS by 1/26/24
- ▶ **Corrective Action Plan (CAP) 5/10/24**
- ▶ **Evidence of Correction 9/15/24**
- ▶ **Approval 11/15/24**
- ▶ **Fiscal Monitoring: ongoing**



Letter of Notification and Instruction



STATE OF MAINE
DEPARTMENT OF EDUCATION
23 STATE HOUSE STATION
AUGUSTA, ME 04333-0023

JANET T. MILLS
GOVERNOR

A. PENDER MAKIN
COMMISSIONER

Letter of Notification and Instruction

August 7, 2023

SPPS 23-24 Monitoring Cohort

Dear Special Education Director,

The Maine DOE is required under federal law to monitor special education programs and services for students with disabilities as described under Section 616 of the 2004 Amendments to the Individuals with Disabilities Education Act (IDEA).

Your Special Purpose Private School (SPPS) will be reviewed as part of the General Supervision



SITE VISIT

- ▶ We ask that the director of the program be present to assist in the site visit activities. If the director of the program is unavailable for the full day, DOE asks that the Director's Assistant or Program Coordinator be available during the times the Director is unavailable.
- ▶ Please make sure there is a confidential workspace for the Special Services Team to review 10 student records. There should be access to a copier. For agencies with multiple sites, we request all files be at one site and we will work together to determine which site.
- ▶ During the site visit, we would like to offer your school real-time professional development. We encourage you to allow at least one Sp Ed Teacher to sit with DOE staff and review the elements of IEP included in the OSR tool. Teachers will be able to get feedback and ask questions about required forms, IEPs or anything related to special education.



SITE VISIT

- ▶ Typically, monitoring activities begin at 8:30 am. Within the day, we will need time to complete the following:
 - ▶ Administration Interview (ideally at the beginning of our visit, to help set context for the day);
 - ▶ Tour the facility - we would like to do this during a time that we can see the students working.
 - ▶ We also want to observe a couple of entire class periods - beginning to end.
 - ▶ Review 10 student files;
 - ▶ Conduct Interviews (2 Teachers together, 2 Ed Techs together, 2 Related Service Providers together, and 2 students {with prior parental consent}- interviewed individually);
 - ▶ Have a working lunch. We would love to have people join us to have general discussions, not necessarily related to the review.



SITE VISIT

- ▶ The review team is flexible and willing to accommodate a school's particular needs around scheduling.
- ▶ Zoom site visit debriefs may be conducted with whomever the school chooses. We have had debriefs with just the SPPS Director, the entire SPPS (applicable) staff, with the Special Ed Director(s) from referring SAUs, and any combination of these scenarios. We are flexible and are happy to provide you (and your team) feedback and observations with the audience that meets your agency needs.



Any Questions??



Desk Audit

Submission Guidelines:

- Electronic submission preferred
sppsgss.doe@maine.gov
- 3-Ring Binder sent to the office
due by 5:00 pm on 12/29/23
- For agencies with more than 1 site, a
single submission for common
elements.



Criteria	
1	General Description of Program and Admission requirements
	20-A MRSA § 7204(4)(A) & MUSER XII.2.A(1)(a)(i)(k)
2	Educational Environment
	MUSER XII.2.A(i)(a)
3	Qualification of staff added to program after submission of current year's school approval application
	20-A MRSA § 7204(4)(B) & MUSER XII.2.A(1)(b)
4	Professional Supervision
	20-A MRSA § 7204(4)(F) & MUSER XII. 1.A.(1)f
5	Plan of Instruction
	20-A MRSA § 7204(4)(C) & MUSER XII.2.A(1)(c)
6	Adequacy of related services
	20-A MRSA § 7204(4)(E) & MUSER XII.2.A(1)(e)
7	Teacher/Student ratio
	20-A MRSA § 7204(4)(G) & MUSER XII.2.A(1)(g)
8	Continuum of special education services
	MUSER X.2(B) & MUSER XII.2.A(1)(h)
9	Graduation credit agreement
	MUSER XII.2.A(1)(i)
10	Notification and Reporting of Serious Events
	MUSER XII.2.A(1)(n)
11	Rule Governing Physical Restraint and Seclusion policy
	Me. Dept. of Ed. Reg. Chapter 33
12	Self-Audit

Components of Desk Audit



DESK AUDIT - SECTION 1

- ▶ General Description of Program and Admission Requirements
- ▶ 20-A MRSA § 7204(4)(A) & MUSER XII.2.A(1)(a)
- ▶ Administrative Policy Manual AND Parent Handbook, with substantial and appropriate policies and procedures regarding:
 - a) General description of program
 - b) Mission of program
 - c) Disability groups served
 - d) Grade levels served
 - e) Capacity to address referral behaviors/concerns
 - f) Transfer and 30-day IEP meetings
 - g) Admission requirements



DESK AUDIT - SECTION 2

Educational Environment

20-A MRSA § 7204 (4)(D) & MUSER XII.2.A(1)(o)

Description of the capacity to provide:

a) A safe, healthy, and appropriate educational environment

b) Provide Board approved, dated policies and procedures to specifically reference student access to Health and Medical Services as specified in the SPPS Initial Application Part XII:

- Health Care Plan
- ❖ Attach plan for health care of students including the following:
 - ▶ Provisions made for medical, nursing and infirmary care of students;
 - ▶ Training by a physician or registered nurse to all staff that administer medication to students.



DESK AUDIT - SECTION 2 Cont.

- Emergency First Aid
 - ❖ Attach policy for emergency first aid and care to include the following:
 - ▶ Training of all direct service staff in emergency first aid;
 - ▶ Secure storage of adequate first aid supplies;
 - ▶ Posting of telephone numbers for the fire department, police station, poison prevention center, hospital emergency room and ambulance service providing coverage to the school;
 - ▶ Procedures to be followed in the case of illness or emergency such as motor vehicle accident, including methods of transportation and notification of parents;
 - ▶ Procedures to be followed in the case of fire or other type of emergency;
 - ▶ Procedures for informing parents of any medical care administered to their child or of any injury or illness that requires care, other than basic first aid;
 - ▶ Procedures to be followed in the case of illness or emergency, if parents cannot be reached;



DESK AUDIT - SECTION 2 Cont.

Educational Environment

- c) Innovative activities/programming
- d) Multi-Tiered System of Supports - Academic Interventions and Positive Behavioral Interventions and Supports
- e) Safety protocols as necessary (increased risk of injury such as automotive, building construction, or rock climbing)



DESK AUDIT - SECTION 3

Qualification of Staff

20-A MRSA § 7204(4)(B) & MUSER XII.2.A(1)(b)

Documentation for all staff which includes :

- a) *Provider Certification/ License Form*: Instruction assignments of Education Technicians and Special Education Teachers employed;
- b) Schedule of appropriate supervision of Education Technicians as outlined in MUSER and Chap 115;

And

- c) Position held
- d) Certification for those educational staff hired after annual school approval, applicable license number for all related service staff.

Special Education and Related Services Provider Certification/License Form
 Complete the following for each special education professional and support staff. Include all contracted and salaried staff (i.e teachers, education technicians, speech/language therapists, etc) Maine Unified Special Educaiton Regulations X defines caseload and case management numbers.



Person Filling out:				Date:			
First Name	Last Name	Position Held	Hours Employed: (Full Time or Part Time)	School Name	FOR STAFF EMPLOYED AFTER 7/1 ONLY: Certification/License Number AND Expiration Date	FOR SPECIAL EDUCATION TEACHERS ONLY: Teacher/Student ratio	ED TECHS ONLY: Name of Supervising Teacher
▼	▼	▼	▼	▼	▼	▼	▼
							DOE

DESK AUDIT - SECTION 4

Professional Supervision

20-A MRSA § 7204(4)(F) & MUSER XII.2.A.(1)(f)

Documentation of on-site supervisory positions:

- Special Education (Administrator 030 or 035)

or

- Special Education Consultant (079) or Special Education Teacher (282 or 286) with Master's Degree in Special Education or related field and 1-year administrative experience with 5 hours monthly supervision by 030 or 035 - include supervision logs for 2023 (January through November)



DESK AUDIT - SECTION 5

Plan of Instruction

20-A MRSA § 7204(4) & MUSER XII.2.A(1)(c)

In alignment with the Maine Learning Results:

1. Plan of instruction to include:
 - a copy of scope and sequence or link to website for each of 9 general education curriculum content areas for MLR and
 - specially designed intervention curricular materials
2. Description of academic and functional assessments - individual, district and statewide
3. Samples of standards-based report cards

Important - Your Standards Based Report will be used to also evaluate this element

4. School calendar with at least 175 days and classroom schedules showing an average of 25 hours per week of instructional time for every two-week period.



DESK AUDIT - SECTION 6

Adequacy of Support Services

20-A MRSA § 7204(4)(E) & MUSER XII.2.A(1)(e)

- a) *Provider Certification / License Form*
 - ▶ List of all related service providers
 - ▶ Hours employed or contracted; full-time, part-time
 - ▶ Applicable license number
- b) Grids for 5 months (including Sept - Nov 2023) of related services for all students enrolled: outlining IEP determined service amount required, services provided, codes for reasons services are missed, and make-up dates.
- c) Evidence of individualized treatment, using valid and reliable measures to obtain baseline data - Please identify tools (assessments, etc.) used to inform service plan development and amendments.



Any Questions??



DESK AUDIT - SECTION 7

Teacher/Student Ratio and Caseloads 20-A MRSA § 4502(5)(B) & MUSER X.2.A(1) and C(2)(c)

MUSER Staff: Child Ratios for self-contained services :

- ▶ *Ages 5-9 6:1 (5)*
- ▶ *Ages 10-14 8:1 (5)*
- ▶ *Ages 15-20 10:1 (5)*

On Provider Certification/ License Form

- a) Teacher full names/student ratios
- b) Caseloads

Special Education and Related Services Provider Certification/License Form
 Complete the following for each special education professional and support staff. Include all contracted and salaried staff (i.e teachers, education technicians, speech/language therapists, etc) Maine Unified Special Education Regulations X defines caseload and case management numbers.



Person Filling out:				Date:			
First Name	Last Name	Position Held	Hours Employed: (Full Time or Part Time)	School Name	FOR STAFF EMPLOYED AFTER 7/1 ONLY: Certification/License Number AND Expiration Date	FOR SPECIAL EDUCATION TEACHERS ONLY: Teacher/Student ratio	ED TECHS ONLY: Name of Supervising Teacher

DESK AUDIT - SECTION 8

Continuum of special education services

MUSER X.2(B) (the range of educational settings included in the continuum of LRE) & MUSER XII.2.A(1)(h)

1. Description of the transition supports provided for students in the census at intake, during length of stay at your SPPS, and during transition to other school settings, including supports (such as voc rehab) put in place at the SAU or receiving SPPS.
2. List specific examples of individualized less restrictive opportunities throughout SPPS enrollment (gradual release of supports, access to general curriculum, access to extracurricular activities) at your SPPS, at public school, and in the community, supporting movement on the LRE educational continuum outlined in MUSER for 5 or more students, include unique information from all sites.

▶ Template:

- ▶ Student, Home district,
 - #1 LRE opportunity, date
 - #2 LRE opportunity, date
 - #3 LRE opportunity, date



DESK AUDIT - SECTION 8 Cont.

Continuum of special education services

3. Specific discharge data for the past 2 years: student name, DOB, disability, admission date, date discharged, grade level, name of receiving school/program or graduation.



DESK AUDIT - SECTION 9

Only for students in Grades 9-12: Graduation work/diploma agreement MUSER XII.2.A(1)(i)

- a) Copies of annual graduation work/credit agreements with sending schools/schools of residence signed by SAU high school principal.
Link: [Diploma Agreement 2023-2024](#)

- b) Evidence of the documentation of data tracking and reporting for:
 - i. graduation work/credit agreements and
 - ii. graduation requirements (courses, community service, etc.) outlined by SAU

If your school doesn't serve high school, please mark this section NA.



DESK AUDIT - SECTION 10

Notification and Reporting of Serious Events

MUSER XII.2.A(1)(n)

Policy, which includes MUSER specific language, for immediate notification and reporting of serious events including:

- a) serious injury or death of a child,
- b) criminal activity on the part of a child or staff member
- c) other serious incident affecting the well-being of any child,

The school shall immediately notify, by telephone and by letter,

- a) parents,
- b) sending school district,
 - c) any state agency involved, and
 - d) MDOE



DESK AUDIT - SECTION 11

Rule Governing Physical Restraint and Seclusion Me. Dept. of Ed. Reg. Chapter 33

Policy regarding use of physical restraint and seclusion in alignment with Title 20-A Chapter 33, and date approved by your Board of Directors, including:

- a) Annual overview and awareness information to staff
- b) Annual notice informing parents
- c) Name of DOE approved crisis intervention curriculum (see <https://www.maine.gov/doe/schools/safeschools/restraint>)
- d) Documentation of training of the crisis intervention curriculum including dates/frequency and a list of participants.



Any Questions??



DESK AUDIT - SECTION 12

Self-Audit of Student Records

- On-Site Review Tools (OSRs):
 - **Word version** states item, evidence, and corrective activities
 - **Excel version** is used to complete self-assessment
- ▶ Examples of OSR Codes
 - ROA1 - Record of Access
 - IAP4 - IEP Academic annual progress of the child
 - IFP4 - IEP Functional/Developmental annual progress
 - ISR1 - IEP Statement of the special education and related services

The DOE OSSIE Professional Learning training recordings can be accessed at <https://www.maine.gov/doe/learning/specialed/pl>



DEFINING SELF-ASSESSMENT

- ▶ You will use the self-assessment form to review 20% (but not less than 10) of your current student files. If your student population is less than 20, 50% of student files will be reviewed for this element.
- ▶ Please make efforts to provide a representative sample across Self-assessment (OSR) should include a variety of:
 - Disabilities
 - Ages (including transition plans)
 - Ethnicities
 - Case Managers
 - SAUs within the SPPS
 - State Agency Client/State Ward status



DEFINING SELF-ASSESSMENT

In addition, there should be at least one student file of a 2023 graduate reviewed in your self-assessment to verify the Summary of Performance requirement outlined in MUSER; if your SPPS had graduating seniors during this past school year.



ON-SITE REVIEW WORD VERSION

IEP Process: Academic Performance			
	Item/Citation	Criteria	Corrective Activities
IAP4	Academic annual progress of the student. MUSER IX.3.D(1)(a)	<p>Yes = The current academic goals show progress from the prior year's academic goals moving towards proficiency of grade level standards or the standards at which the student is performing.</p> <p>No = The current academic goals do not show progress from the prior year's academic goals moving towards proficiency of grade level standards or the standards at which the student is performing.</p> <p>NA = No academic needs identified; therefore, no academic goals are required. Or new goals were developed at the most recent IEP team meeting.</p>	<p><i>Corrective activity:</i> Provide training to all staff who are responsible for IEPs on how to create an IEP that is reasonably calculated to enable a child to make academic progress appropriate in light of the child's circumstances.</p> <p><i>Evidence:</i></p> <ol style="list-style-type: none"> 1. Submit a statement indicating that all SPPS staff who are responsible for writing IEPs have been trained on how to report annual academic progress. 2. Submit next 5 WNs, and section 5 of previous annual (not amendment) and current IEPs, occurring since the LOF was issued. Please submit at least one of the 5 of a student whose file was included in the file review. Focus: Annual academic progress.



ON-SITE REVIEW EXCEL VERSION

- ▶ OSR for reporting your results
- ▶ Excel version

23-24 SPPS MONITORING - FILE REVIEW REPORT									
SPPS:						Responsible SAU:			
Review Team member(s):						IEP Determined Date of Enrollment: (01/02/1988)			
Review Date:						First Name:		Student A	Student B
						Last Name:			
Updated July 2022			Key + is equivalent to meets - is equivalent to does not meet NA is equivalent to not applicable			Date of birth: (01/02/1988)			
						Age:			
						Disability:			



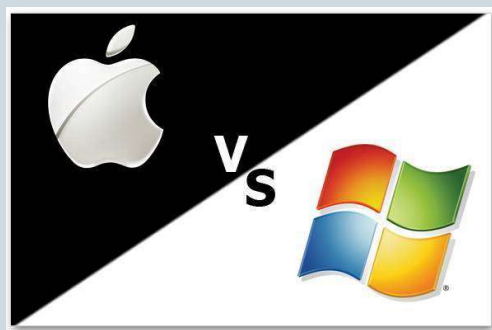
ON-SITE REVIEW EXCEL VERSION

33	IEP Process: Academic Performance									
34	Item/Citation	Criteria	Total Level of Compliance	+	-	NA				
IAP4	Academic annual progress of the child. MUSER IX.3.D(1)(a)	<p>Yes= the current academic goals show progress from the prior year's academic goals moving towards proficiency of grade level standards or the standards at which the child is performing.</p> <p>No= the current academic goals do not show progress from the prior year's academic goals moving towards proficiency of grade level standards or the standards at which the child is performing.</p> <p>NA= No academic needs identified; therefore, no academic goals are required. Or new goals were developed at the most recent IEP team meeting.</p>	50.00%	1	1	0		+	-	
35										



EXCEL OSR

- ▶ The following directions for using the Excel version of the OSR are provided using a **PC**. If you are using a **MAC**, some of the directions may differ.



OSR DIRECTIONS

► In the column to the right of the gray box fill in the child's information.

- 1) Responsible SAU
- 2) Date of Placement
- 2) First name
- 3) Last name
- 4) Date of Birth
- 5) Age
- 6) Disability

► Enter the dates using the format - 01/09/1998

Responsible SAU:		
Date of Placement: (01/02/1988)		
First Name:		
Last Name:		
Date of birth (01/02/1988)		
Age		
Disability		



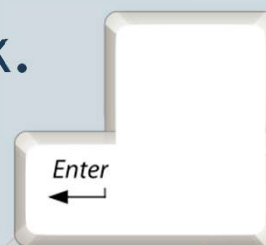
OSR DIRECTIONS

- ▶ Each cell is a drop down menu and the only accepted entries are “+”, “-”, and in some cases “NA”.
- ▶ If anything else is entered this message will pop up:



OSR DIRECTIONS

- ▶ You will see the data automatically populate in the boxes to the right of the criteria.
- ▶ You can move around the sheet with arrow keys or tab keys, but when entering data from the keyboard you **must** click the “enter” key after you enter “+” or “-” in the cell for it to input the data in the workbook.



OSR DIRECTIONS



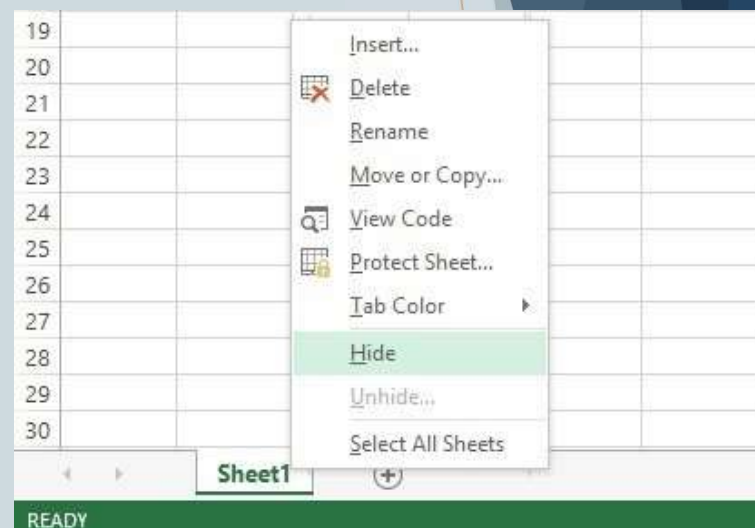
H	I	J
FILE REVIEW REPORT		
Responsible SAU:		
Date of Placement: (01/02/1988)		
First Name:	Student A	Student B
Last Name:		
Date of birth (01/02/1988)		
Age		
Disability		
	+	-
	+	-

- ▶ You can select one column to check the data on that child.
- ▶ Hover the cursor over the letter on the top gray bar that aligns with the child. When you see an arrow, click on the column and it will be highlighted.



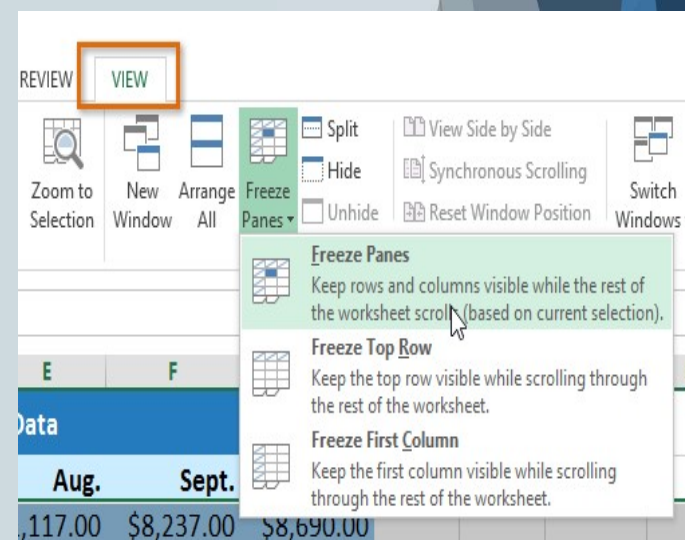
OSR DIRECTIONS

- ▶ You can hide rows and columns.
 - ▶ Hover the cursor over the first column or row you want hidden and move to the last column or row you want hidden.
 - ▶ Right click and select “hide” on the menu.
- ▶ You can unhide the same way.



OSR DIRECTIONS

- ▶ You can “freeze panes” to keep the Child Name column visible and allow the subsequent columns with the child’s information to scroll.
 - ▶ Click on column “I” (the first child’s information column)
 - ▶ Click on “view” in menu bar
 - ▶ Click on “freeze panes”
- ▶ You can unfreeze panes with the same process.



Let's Walk Through the OSR



Any Questions??



Letters of Findings (LOF) and Corrective Action Plans (CAP)

- ▶ Letters of Findings (2):
 - ▶ 1. Site Visit: Following Site Visit Debrief
 - ▶ 2. Desk Audit: Sent to SPPS 1/26/24

There will be two separate LOF. This is a summary of all findings of items that were monitored:

1. during the on-site visit and
2. during the desk audit.



Letters of Findings (LOF) and Corrective Action Plans (CAP)

Site Visit LOF - 2 parts:

- ▶ Part 1 - Narrative - Captures the information from the site visit debrief
- ▶ Part 2 - Grids - Created by Excel from the site visit file review OSR
- ▶ There may be corrective activities requested in both parts.



Letters of Findings (LOF) and Corrective Action Plans (CAP)

Corrective Evidence is welcomed as early as completed. Correction is an interactive process with support and assistance to resolve identified deficiencies timely, preventing a need to issue a CAP. Early submissions are encouraged, and reviews will be timely. Feedback will be sent, and subsequent submissions reviewed with feedback sent.

- ▶ **Corrective Action Plan (CAP) 5/10/24**
- ▶ **Evidence of Correction 9/15/24**
- ▶ **Approval 11/15/24**



SUBMITTING DOCUMENTS Initial and Subsequent Evidence

- ▶ Evidence may be submitted by email (preferred, as PDF attachments) to: sppsgss.doe@maine.gov
 - ▶ Sometimes there are technology difficulties with large attachments. Please send in as few emails as technology will allow.
- ▶ Evidence may be sent in the mail to:

Department of Education
State Agency Programs Team
23 State House Station
Augusta, ME 04333-0023



Any Questions??



Fiscal Monitoring

- ▶ Audited Financial Statements for FY23
- ▶ Copies of any Management Agreements with Parent Company
- ▶ Written methodology - allocation of Parent Company Overhead
- ▶ Schedule of Depreciation (if any)
- ▶ Breakdown of Interest Expense to Asset
- ▶ List of all Personnel from “Staff Pay Sheet” (Name, Title, Annual Salary)
- ▶ Schedule of MaineCare Revenue



Fiscal Monitoring Activities

- ▶ Desk Audit
- ▶ Site Visit
- ▶ Letter of Findings (LOF)
- ▶ Opportunity to respond in writing to findings
 - Due 30 days from receipt of LOF.



Important Reminders:

- ▶ Only send the pertinent section of the IEP.
- ▶ Label each submissions with pertinent OSR code(s)
- ▶ One IEP can be sent and labeled with more than one code
- ▶ One letter of assurance or one draft letter to SAUs can be applied to more than one element



SAP Team Contact Information

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Final Slide - Any Questions??

