**SPPS Monitoring 2021 – 2022 Desk Audit Instructions**

For the desk audit, you will submit specific pieces of information, which are listed in the table below. ***We prefer electronic submissions***. Please provide all desk audit materials in one e-mail, scanning evidence for each element into separate clearly labeled PDF attachments to sppsgss.doe@maine.gov

For agencies/organizations with more than one site, please provide a single submission for the agency/organization containing the elements that are common across the programs. Elements that relate to specific schools/programs can be sent in separate emails, using the organizational format outlined in the previous paragraph.

The documents described below must be received at DOE by the end of the business day on **January 29, 2021.**

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| **Criteria** | **2021-2022 Desk Audit Instructions** | **Evidence** |
| 1General Description of Program and Admission requirements 20-A MRSA § 7204(4)(A)MUSER XII.2.A(1)(a)(l)(k) | Provide a general description and mission of the program, the disability groups served, grade levels served admission requirements and. | Administrative Policy Manual **and** Parent Handbook, with substantial and appropriate policies and procedures regarding: 1. General description of program
2. Mission of program
3. Disability groups served
4. Grade levels served
5. Capacity to address referral behaviors/concerns
6. Transfer and 30-day IEP meetings

Admission requirements |
| 2Educational EnvironmentMUSER XII.2.A(i)(o) | Provide a description of your agency/ organization’s capacity to provide a safe, healthy and appropriate educational environment. | Description of the capacity to provide:1. A safe, healthy, and appropriate educational environment
2. Please provide Board approved, dated policies and procedures to specifically reference 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 provides medication to students.
	* 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 serving 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 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.
3. Innovative activities/programming
4. Positive behavioral supports

Safety protocols as necessary |
| 3Qualification of staff added to program after submission of school approval application20-A MRSA § 7204(4)(B)MUSER XII.2.A(1)(b) | Provide a list of all special education staff added since the most recent school approval application was sent to the Department. Use the Personnel Certification form to provide social security numbers, position held and applicable licensure of these staff members. | Schedule which includes:1. Instruction assignments of Education Technicians and Special Education Teachers employed
2. Appropriate supervision of Education Technicians

**And**Use Personnel Certification for to list of all education staff that have been contracted ***after*** the school approval application was sent to the Department. Provide:1. Position held

Applicable license number |
| 4Professional Supervision20-A MRSA § 7204(4)(F)MUSER XII. 1.A.(1)f | Provide the qualifications of personnel in supervisory positions, including certification as Special Education Administrator 030 or 035, Special Education Consultant 079, or Special Educator certificate 282 or 286 (plus master’s degree in special education or related field and one-year administrative experience) with additional supervision. | Documentation of 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 |
| 5Plan of Instruction20-A MRSA § 7204(4)(C)MUSER XII.2.A(1)(c) | Provide a framework/map of curriculum\* that is in alignment with the proficiency standards of the system of the Maine Learning Results, a description of assessments, access to general curriculum, a description of reporting on student proficiency and access to extracurricular activities.\*Provide a framework/map of or link to the curriculum, rather than the entire curriculum.  | 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 8 general education curriculum content areas for **and** specially designed intervention curriculum:
2. Description of assessments – individual, district and statewide

School calendar with at least 175 days and an average of 25 hours per week of instructional time for every two-week period. |
| 6Adequacy of related services20-A MRSA § 7204(4)(E)MUSER XII.2.A(1)(e) | Provide a grid listing related service hours required (determined by the IEP team) and related service hours provided to all students enrolled. List all related service providers, hours employed, social security numbers and applicable licensure. | 1. Grid of 5 months related service hours provided to all students enrolled, coded for reasons for missed services and make- up dates
2. List of all related service providers
3. Hours employed
4. Applicable license number
5. Evidence of individualized treatment, using valid and reliable measures to obtain baseline data – (Please clarify tools they use to inform their service plans.)
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| 7Teacher/Student ratio20-A MRSA § 7204(4)(G)MUSER XII.2.A(1)(g) | Provide documentation of appropriate teacher/student ratios and caseloads. | Documentation of appropriate: 1. Teacher full names/student ratios

Caseloads |
| 8Continuum of special education servicesMUSER X.2(B)MUSER XII.2.A(1)(h) | List types/ranges of special education services, providing evidence of supporting movement on the educational continuum. | Describe:1. The transition supports provided for students in the census at intake, during length of stay and during transition to other school settings, including supports (such as voc rehab) put in place at the SAU or new SPPS
2. Specific examples of LRE opportunities (access to general curriculum, access to extracurricular activities) at public school and in the community, supporting movement on the educational continuum 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

Specific discharge data for students transitioned back to public school for the past 2 years: student name, DOB, disability, admission date, date discharged, grade level, name of public school program |
| 9Graduation credit agreementMUSER XII.2.A(1)(i) | Provide copies of the 2020-21 signed diploma agreements (signed by the Principal of the school conferring the diploma) with all sending schools/ schools of residence. | 1. Copies of annual graduation credit agreements with sending schools/schools of residence signed by SAU high school principal.
2. Evidence of the documentation of data tracking and reporting for:

a) graduation credit agreements and b) course/graduation requirements outlined by SAU |
| 10Notification and Reporting of Serious EventsMUSER XII.2.A(1)(n) | Provide your agency/ organization policy for immediate notification, (including notification to MDOE) and reporting of serious events including serious injury or death of a child, criminal activity on the part of a child or staff member, or other serious incident affecting the well-being of any child. | Policy for immediate notification and reporting of serious events including:1. serious injury or death of a child,
2. criminal activity on the part of a child or staff member
3. other serious incident affecting the well-being of any child,

The school shall immediately notify, by telephone and by letter,1. parents,
2. sending school district,
3. any state agency involved

MDOE |
| 11Rule Governing Physical Restraint and Seclusion policyMe. Dept. of Ed. Reg. Chapter 33 | Provide your agency/ organization policy regarding the use of physical restraint and seclusion in alignment with DOE Rule Chapter 33, and approved by your Board of Directors. | Policy regarding use of physical restraint and seclusion, including 1. Annual overview and awareness information to staff
2. Annual notice informing parents
3. Date approved/ reviewed by Board of Directors
4. Name of DOE approved crisis intervention curriculum

Documentation of training including dates/frequency and a list of participants. |
| 12Self-Audit  | Use the electronic student record review form (uploaded for you to download at the upcoming webinar) to review and report 20% of student records (minimum of 10 records) with representation across sending SAUs, ethnic groups, disabilities, grades and state agency client or state ward status (as applicable). If the school population is 20 or less, 50% of student records shall be reviewed. |  |