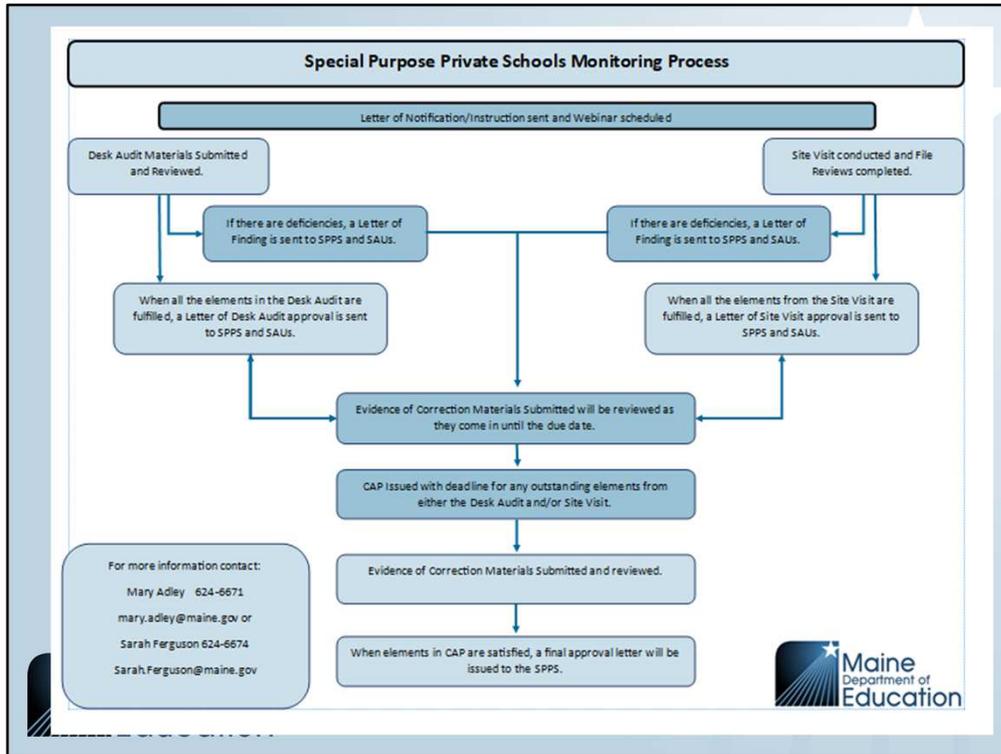


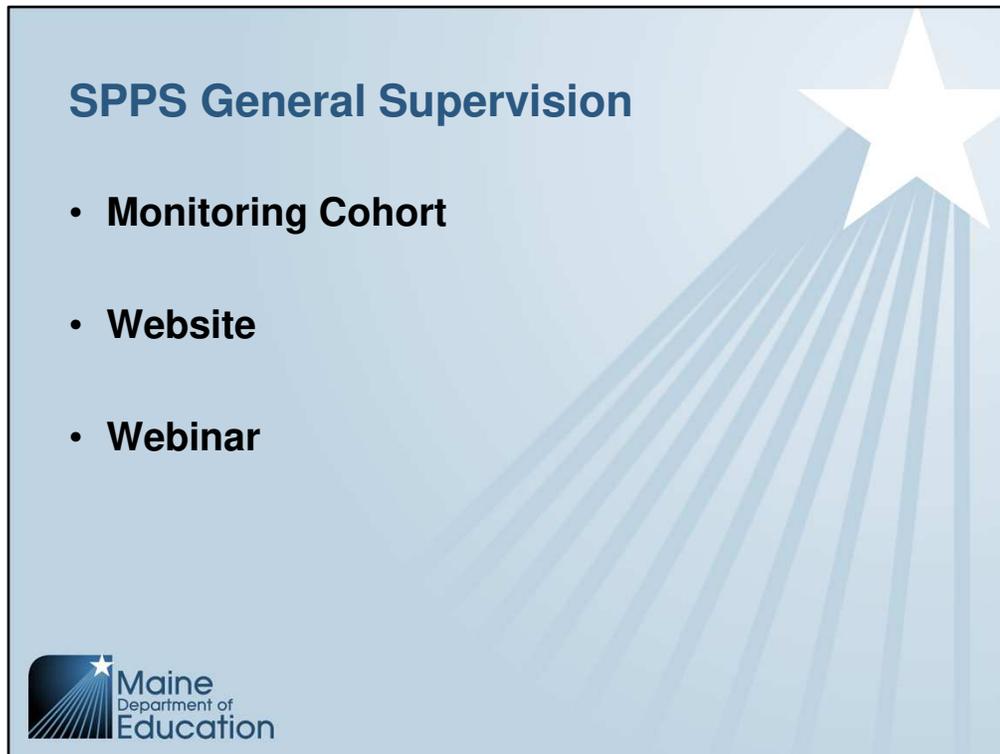
Remember to record the webinar.

Good morning, everyone! Today's session is designed to provide you with information regarding the general supervision and monitoring activities and timelines for special purpose private schools in the 2021-22 cohort, as well as an opportunity to ask questions.

Introduce presenters: self, Sarah, Jennifer – federal monitoring team, joining us briefly this morning. Barbara McGowen is unable to join us today, and Sarah will provide an overview of the fiscal information later in the presentation.



We have updated the General Supervision flowchart, to provide a visual depiction of the monitoring process for Special Purpose Private Schools. Review the flowchart – the specific elements of the desk audit and site visit will be reviewed during this webinar today.



Once every three years, each SPPS will be monitored to ensure continued program approval status. Each SPPS has been placed into a monitoring cohort for the purpose of monitoring special education activities in these schools. A table capturing 2020-2024 cohorts is on the DOE website.

We have amended some of the forms we use, which were emailed to the cohort last week - thanks, Sarah! Feel free to call or email the members of the SPPS Monitoring Team if you have questions. Our contact information is listed on the last slide of this presentation.

This webinar is being recorded and a link will be put on the DOE Special Services website so that you or your staff can access it at a later time.



SPPS General Supervision Process

- Letter of Notification and Instruction
- Site Visit (September 2021 – February 2022)
- Desk Audit – submissions due 1/28/22
- Letter of Finding
- Corrective Action Plan (CAP) - 6/24/2022
- Evidence of Correction - 12/02/2022
- Approval
- Fiscal Monitoring

We would like to briefly review the events in the general supervision monitoring process, before talking about each component in more depth. We will conduct site visits in the Fall and Winter this year and the desk audit submissions are due 1/28/2022, so the list of events we review is not necessarily in the order that they will occur for your SPPS.

Last month, we sent out **Letters of Notification/Instruction** that you should have already received. The purpose of the notification is to inform the Special Purpose Private School of its inclusion in the current cohort of General Supervision Monitoring during the 2021-22 school year. The LOI contains directions regarding the procedures for document submission for the desk audit portion of the review. The LOI also includes a table of the applicable program approval criteria and the documentation to be submitted in support of those criteria, which we will review with you today. We sent notification about this webinar to all of the SAUs that each SPPS has identified as currently having students enrolled from. We appreciate those districts that have been able to take the time to join us today.

Sarah will work with each agency to identify preferred times for the site visits for each location in their organization and has begun scheduling them. At each site visit, the MDOE has historically reviewed student files, interviewed staff and students, toured the facility and conducted an exit interview to debrief the site visit portion of the review. The site visits will be modified again this year due to the pandemic, and we will work with each agency to identify the components that will continue to be conducted in person, and those activities that may be conducted virtually. November 1st scan file reviews.

After the site visit and the desk audit, the Department issues letters of finding. The activities that occur during the site visit, including classroom observations and interviews are meant to be proactive and support SPPS as they refine the desk audit components such as adequacy of services, continuum of services, education environment and plan of instruction. Recommendations made during the site visit that are adequately addressed prior to the subsequent desk audit will result in no finding for that desk audit component.

Each SPPS will receive two separate letters of finding – one upon completion of (approximately two to four weeks after) the site visit and the other one by the end of March 2022 for the desk audit component of your review. The letters will be issued to any SPPS where there were findings of concern within the program that might affect approval status. The SPPS will have a period of time between the letter of finding and **(6/24/2022)** to resolve any identified areas requiring resolution or revision. SPPS corrective activity is for future work rather than fixing past errors. If training is required to address multiple findings in the file review, please send only one letter of assurance that identifies all trainings for all the findings (for example, OOU5, REA8, and IEP4). Also, for IEPs, please send IEPs developed after the findings were issued, which can be annual reviews, amendments, or drafts (if not yet approved and issued by the SAU). It is expected that five (or three for transition corrective activity) students' IEPs will show evidence for all of the identified areas requiring correction on the IEP – a total of 5 IEPs to demonstrate all necessary correction. Please send only the sections of IEPs requested. If any of the concerns identified in the letters of finding remain outstanding **as of 6/24/2022**, the Department will issue a Corrective Action Plan (CAP) to address those findings. If any of the concerns identified in the letters of finding remain outstanding **as of 6/24/2022**, the Department will issue a Corrective Action Plan (CAP) to address those findings. If all matters are resolved before the due date, the Department will issue an approval letter.

Note – only the portions of the IEP relevant to the SPPS monitoring will be evaluated on the IEPs that are selected for the file review. **Please only scan the sections of the IEP that are requested for evidence review.**

Isolated deficiencies discovered during the file review that impact the provision of FAPE will be reported to the Federal monitoring team who will work with the applicable SAU to address corrective activity, (for example, neglecting to reduce the total SDI time by the amount of time the student receives related services at the frequency determined by the IEP Team, which could result in compensatory education awarded through Due Process).

The SPPS will provide evidence to address the elements identified in the CAP by **12/02/2022**. Once the evidence for the CAP has been submitted and approved, DOE will issue an approval letter. You do NOT need to wait until the due date to submit evidence for either the LOF or the CAP. Please submit your evidence all at the same time rather than one piece at a time.

The DOE Special Services Fiscal Team is joining my team in the SPPS general supervision review process. The information pertinent to this portion of the review will be presented on Barbara McGowen behalf later in the presentation.



General Supervision Process

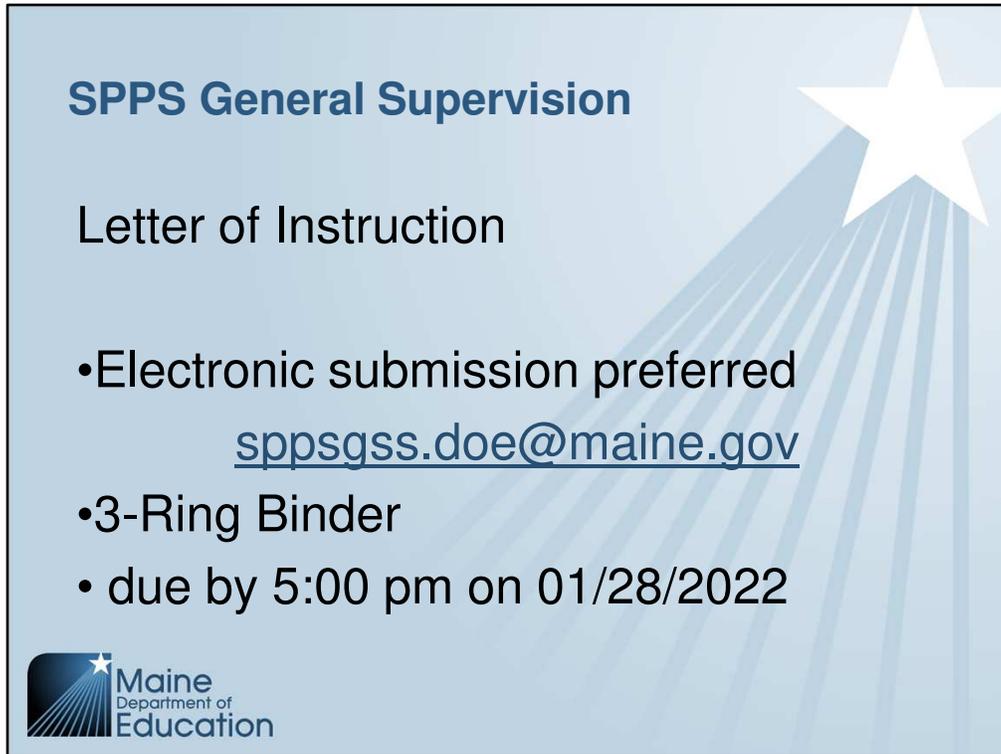
Letter of Instruction - 8/3/2021

DESK AUDIT

- Program approval documents
- Student File Review Monitoring Tool

The letter of instruction and the letter of notification was combined and sent out to SPPS Directors on **8/3/2021**. This letter describes the two components of the general supervision process in which documentation is submitted to the special services team in a desk audit. The first element, program approval documents, contains all the criteria found in the “Program Approval” section in MUSER, along with some additional program requirements. For the second part, SPPS’s will review the student files that they maintain on a certain number of children and complete the On-Site Review Monitoring Tool (OSR Tool) to document whether the records reviewed contain all the required materials. This tool has been developed and revised to be consistent with the tool that is used by the Federal (Public School) Monitoring Team.

Submission of the desk audit materials is due by January 28, 2022. Because we may be doing our visit to many SPPSs in this year’s cohort before this date, we will ask you to review files that we have not already reviewed, if possible (recognizing that the size of your program may affect your ability to do this). After we have completed the site visit and reviewed the desk audit materials, we may issue a letter of finding asking for additional materials or information. Each SPPS will use the OSR Tool to review 20% of their student files (a minimum of 10) (or, if the total number of enrolled students is less than 20, 50 % of the files should be reviewed in the self-audit). DOE will use the same tool to review an additional 10 (or the remaining 50%) of student files during the site visit. This may be adjusted for programs with fewer than 10 students, so the files reviewed by DOE and the files reviewed in the self-audit may overlap for SPPS with low enrollment.



SPPS General Supervision

Letter of Instruction

- Electronic submission preferred
sppsgss.doe@maine.gov
- 3-Ring Binder
- due by 5:00 pm on 01/28/2022



The logo for the Maine Department of Education, featuring a stylized sunburst or starburst graphic to the left of the text "Maine Department of Education".

The Letter of Instruction includes a table containing the approval criteria along with a description of the materials associated with each of the criteria, which you will submit for your desk audit.

For the desk audit, you will submit specific pieces of information, which we will discuss in detail in a few minutes. **We prefer electronic submissions.** Please provide all desk audit materials by scanning evidence for each element into separate clearly labeled PDF attachments to sppsgss.doe@maine.gov. One email is preferred, however sometimes email setting prohibits a large file size. Some SPPS have submitted folders through Google Docs or OneNote.

If you send the materials in print form or hard copy, you will need a 3-ring binder or organizer with 12 tabs. Each tab will coincide with a section of the table found on the letter of instruction. When the binder comes to the MDOE, each tab should contain the materials supporting that criterion. The materials may be emailed, mailed or hand delivered to our office; and are due by 5 pm on January 28, 2022.

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 (such as mission of the program or plan of instruction). Elements that relate to specific schools/programs (such as qualification of staff) can be sent in separate emails, using the organizational format outlined in the table on the Letter of Instruction (with separate attachments or tabs for each category).



Criteria	
General Description of Program and Admission requirements 20-A MRSA § 7204(4)(A) & MUSER XII.2.A(1)(a)-(k)	1
Educational Environment MUSER XII.2.A(1)(a)	2
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)	3
Professional Supervision 20-A MRSA § 7204(4)(F) & MUSER XII. 1.A.(1)f	4
Plan of Instruction 20-A MRSA § 7204(4)(C) & MUSER XII.2.A(1)(a)	5
Adequacy of related services 20-A MRSA § 7204(4)(E) & MUSER XII.2.A(1)(e)	6
Teacher/Student ratio 20-A MRSA § 7204(4)(G) & MUSER XII.2.A(1)(g)	7
Continuum of special education services MUSER X.2(B) & MUSER XII.2.A(1)(h)	8
Graduation credit agreement MUSER XII.2.A(1)(i)	9
Notification and Reporting of Serious Events MUSER XII.2.A(1)(n)	10
Rule Governing Physical Restraint and Seclusion policy Me. Dept. of Ed. Reg. Chapter 53	11
Self-Audit	12

This image depicts the 12 sections of SPPS school approval criteria table, included in your letter of instruction, that you will be utilizing to construct your desk audit materials. Let's begin reviewing the items on the table.

DESK AUDIT BINDER – 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 Admission requirements



The first section includes admission requirements and general description of the program. This approval element can be found in Title 20-A Section 7204 and MUSER 12.2.A(1)(a). (Section 12, paragraph 2)

(Read slide)

DESK AUDIT BINDER – 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 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.



Educational Environment. This approval element can be found in Title 20-A, section 7204 and MUSER 12.2.A(1)(o) (Section 12, paragraph 2).

Describe how your SPPS provides a school environment to students that is safe, healthy, and appropriate. (Read slide)

DESK AUDIT BINDER – SECTION 2 Cont.

Educational Environment

- 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 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;



More Education Environment elements of Health and Medical Services - (Read slide)

DESK AUDIT BINDER – SECTION 2 Cont.

Educational Environment

- c) Innovative activities/programming
- d) Positive behavioral supports
- e) Safety protocols as necessary

 Maine
Department of
Education

Education Environment continued - (Read slide)

This is a chance for you to “show off” what you do at your school for your students and with your students that meets these criteria.

Be sure to include MTSS for both academic and behavioral supports.

DESK AUDIT BINDER – SECTION 3

Qualification of staff added to program after submission of this year's school approval application

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

Documentation which includes:

- a) Instruction assignments of Education Technicians and Special Education Teachers employed;
- b) Appropriate schedule of supervision of Education Technicians;

And

Use Personnel Certification to list all education staff that have been contracted after this year's school approval application was sent to the Department. Provide:

- a) Position held
- b) Applicable license number



Qualification of staff added to your program after your annual submission of school approval application. This approval element can be found in Title 20-A, section 7204 and MUSER 12.2.A(1)(b). (Section 12, paragraph 2)

Reporting staff qualifications is also a requirement for general school approval, so we will be able to access that information for anyone that was employed by your school and reported on the annual general school approval application submission to Pamela Ford-Taylor.

So, we ask that you only provide information for individuals that have been hired after you submitted your documentation to the DOE for your annual general school approval. The names and license or certification numbers of those individuals should be reported so the SPPS monitoring team can verify respective staff certification and license statuses.

You may design your own way of reporting this information or you may use the MDOE Certification of School Personnel form that you may have already and will receive electronically after this presentation.

DESK AUDIT BINDER – SECTION 4

Professional Supervision

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

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 - include supervision logs for 2021 (January to November)



This approval element can be found in Title 20-A, section 7204 and MUSER 12.2.A(1)(f) (Section 12, paragraph 2) MUSER language: Professional supervision - At least one full time staff member shall be designated as the educational administrator for the program. Such person shall be assigned to supervise the provision of special education services in the school and ensure that the services specified in each child's IEP are delivered.

Each SPPS must employ an on-site supervisory person who has either a special education administrator 030 or an assistant director of special education 035 certification, a special education consultant certification 079 (FYI, which is being eliminated but if you have one will be grandfathered and continued as long as it doesn't lapse), or may have a Special Educator 282 or a teacher of children with severe impairment 286 certification with a Master's degree in special education and 1 year administrative experience. Please note that if you use an 079, 282 or 286 as your on-site supervisor, MUSER states that he/she must have at least 5 hours per month of supervision by a special education administrator 030 or an assistant director of special education 035. Please include supervision logs for 2021 (January to November) in this tab, if the latter model of supervision is being used at your SPPS.

DESK AUDIT BINDER – SECTION 5

Plan of Instruction

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

In alignment with the Maine Learning Results, plan of instruction to include:

- a) a copy of scope and sequence **or** link to website for each of 8 general education curriculum content areas **and** for specially designed intervention curriculum for ELA and Math;
- b) Description of assessments – individual, district and statewide; and
- c) School calendar with at least 175 days and an average of 25 hours per week of instructional time for every two-week period



Plan of Instruction. This approval element can be found in Title 20-A, section 7204 and MUSER 12.2.A(1)(c). (Section 12, paragraph 2)

This approval element asks for the curriculum that you are using in your school. Is it a curriculum adopted from one of your referring SAUs or do you use your own curriculum? Please submit documentation of the curriculum that you use (including general curricula for all eight content areas and intervention curricula to close ELA and Math achievement gaps) and demonstrate that it is in alignment with the Maine Learning Results and Common Core State Standards. We also ask for a description of the assessments you are using in your program. MUSER II.4 defines assessment as follows: For children 3 to 20 (soon to be 22), assessment under part B means the ongoing procedures used by appropriately qualified personnel to measure the educational and functional achievement of students as related to their IFSP or IEP goals and on state and district wide tests which are aligned with Maine’s Learning Results. In this section, we want to see how your school is measuring educational and functional achievement and what assessments are being used with the curriculum to measure progress and to demonstrate student proficiency. You should also describe in this section how your school is providing access to the general education curriculum and to extra curricular activities for your students. What processes do you have in place for this to occur? Please do not send your entire curriculum. Outlines, curricula maps, links to your online curricula are appropriate.

DESK AUDIT BINDER – SECTION 6

Adequacy of Support Services

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

- a) Grids for 5 months 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
- b) List of all related service providers
- c) Hours employed or contracted
- d) Applicable license number
- e) Evidence of individualized treatment, using valid and reliable measures to obtain baseline data – Please identify tools used to inform service plan development and amendments.



Adequacy of Support Services. This approval element can be found in Title 20-A, section 7204 and MUSER 12.2.A(1)(e). (Section 12, paragraph 2)

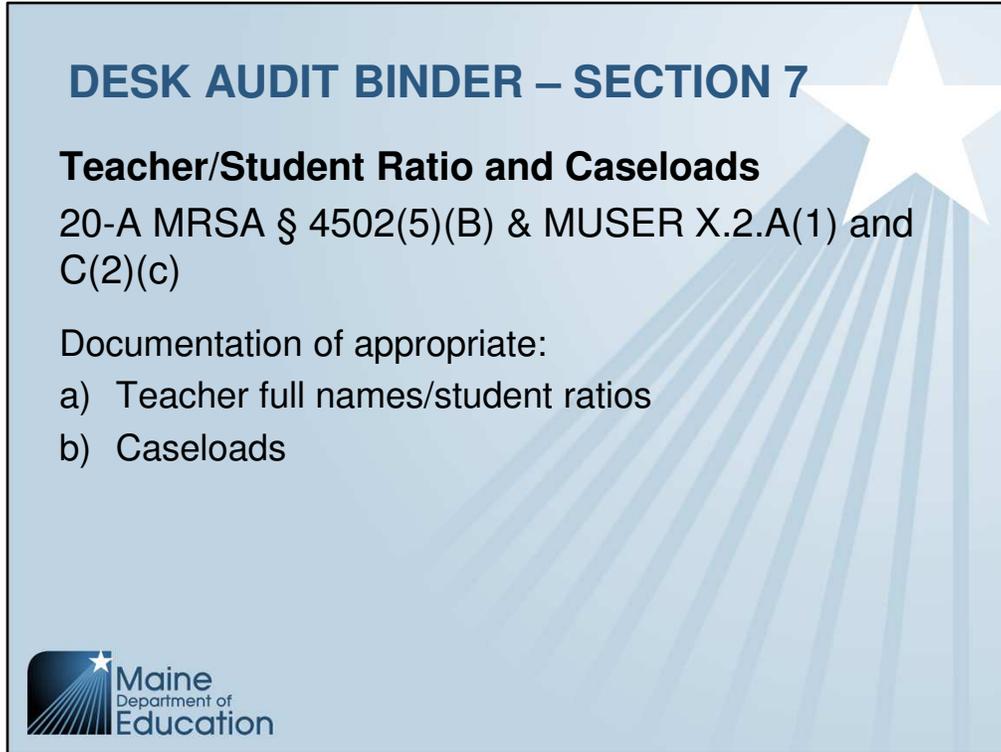
(Read slide)

The related service grids are provided in Word format and as an Excel spreadsheet. The Excel spreadsheet is formatted to calculate the data that you enter. These forms were sent electronically last week. You should fill in the key at the bottom of the form to include any reasons that the student may not receive services. If “other” is used as a category, it needs to be defined in order to determine whether the missed services need to be made up.

If you choose not to use the DOE form, please send a copy of your form to sppsgss.doe@maine.gov by October 29th, so that we can review it and provide feedback if necessary, prior to the desk audit submission. We want to ensure the necessary components for monitoring are included in a streamlined format to prevent duplication of work for your service providers. Your form needs to incorporate what related services are required/documented on each student’s IEP, as well as services that were delivered, services that were missed, reasons for missed services, and tracking to demonstrate that missed services were made up or a plan developed to make up missed services when know in advance for situations such as maternity or paternity leave of a service provider.

We would like to have the data submitted for each related service provider, including all employed and contracted providers and providers from partner SAUS utilized to serve the

students at your SPPS; for five months including one month from the spring or summer of 2021 if your SPPS provided ESY and four months from September – December 2021 included in your program approval submission materials.



DESK AUDIT BINDER – SECTION 7

Teacher/Student Ratio and Caseloads

20-A MRSA § 4502(5)(B) & MUSER X.2.A(1) and C(2)(c)

Documentation of appropriate:

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

 Maine
Department of
Education

Teacher/Student Ratio and Caseloads. This approval element can be found in Title 20-A, section 4502 and MUSER 10.2.A.1 and C.2(c). (Section 10, paragraph 2)

(Read slide)

Note that the teacher/student ratio only applies to self-contained classrooms. All other classrooms are subject to the public-school teacher/student ratio stated in Title 20-A MRSA § 4502(5)(B). For the record, all classrooms at SPPS are self-contained classrooms, because SPPS only serve students with disabilities.

DESK AUDIT BINDER – 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)

Describe:

- a) 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
- b) 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 each SPPS.

Template:

Student, Home district,



Maine
Department of
Education

#1 LRE opportunity details, date

#2 LRE opportunity details, date

Continuum of special education services. This approval element can be found in MUSER 12.2.A(1)(h) (Section 12, paragraph 2)

For this approval element, explain how the services you provide to your students assist them in moving along the educational continuum toward a Lesser Restrictive Environment. The range of educational settings included in the continuum of LRE is outlined in MUSER 10.2 (B) (Section 10, paragraph 2).

(Read slide)

DESK AUDIT BINDER – SECTION 8 Cont.

Continuum of special education services

- c) Specific discharge data for all students discharged or graduated for the past 2 years: student initials, DOB, MEDMS #, admission date, grade, name of school the student transferred to, and the date discharged or graduated.



(Read slide)

DESK AUDIT BINDER – SECTION 9

Graduation work/diploma agreement MUSER XII.2.A(1)(i)

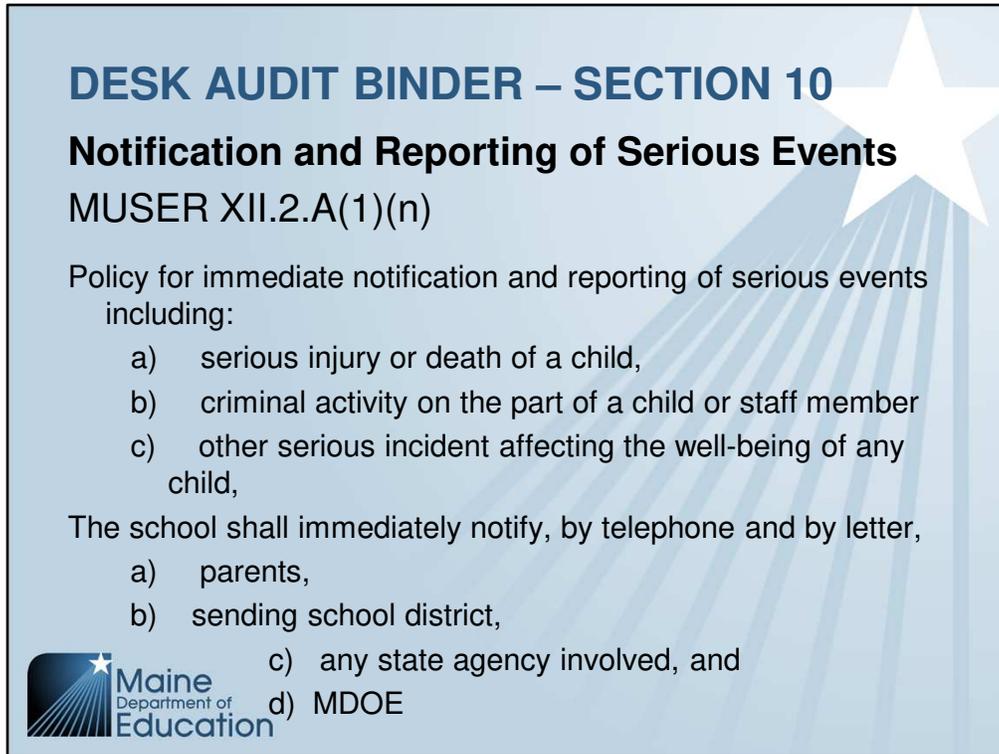
- a) Copies of annual graduation work/credit agreements with sending schools/schools of residence signed by SAU high school principal.
- b) Evidence of the documentation of data tracking and reporting for:
 - i. graduation work/credit agreements and
 - ii. graduation requirements (courses, community service, etc.) outlined by SAU



Graduation diploma agreement. This approval element can be found in MUSER 12.2.A(1)(i) (Section 12, paragraph 2). The 21-22 form was sent out in May and included in the paperwork Sarah sent last week. (Read slide)

A new work/diploma agreement needs to be signed each year, for all students in grades 9-12.

State law prohibits other staff positions such as the Special Education Director or Superintendent from signing the graduation diploma agreement because high school diplomas can only be conferred by the building principal.



DESK AUDIT BINDER – SECTION 10

Notification and Reporting of Serious Events

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

Policy 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,

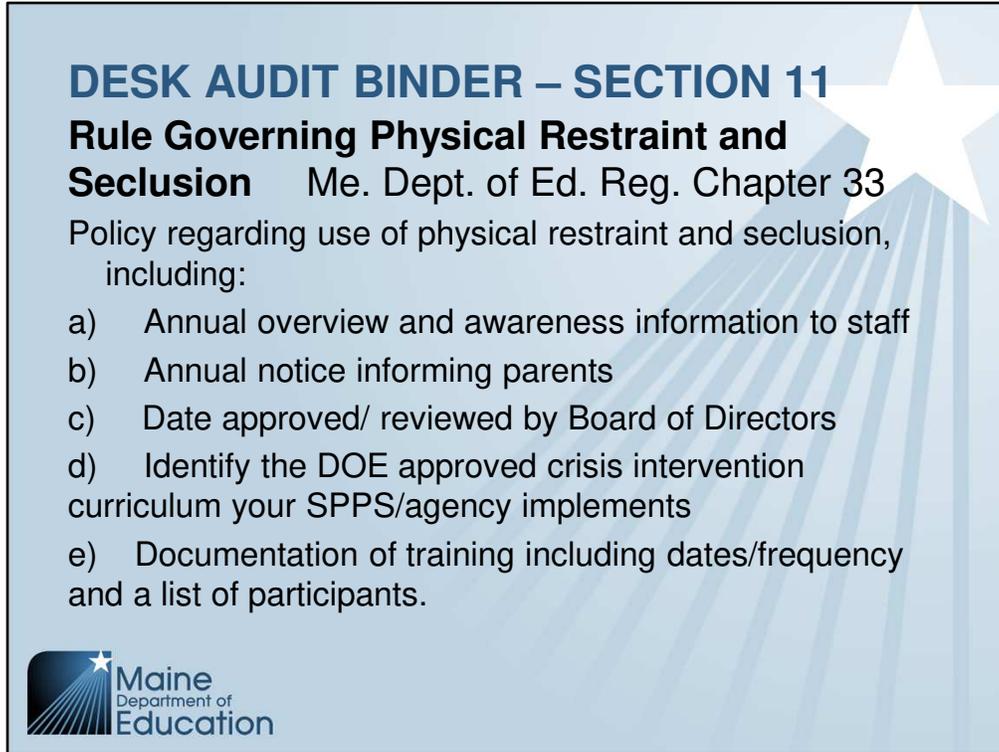
- a) parents,
- b) sending school district,
- c) any state agency involved, and
- d) MDOE



Notification and Reporting of Serious Events. This approval element can be found in MUSER 12.2.A(1)(n) (Section 12, paragraph 2). It should be noted that this is a distinctly different policy of notification legally required, such as mandated reporting.

(Read slide)

Please note that MUSER specifies that the notifications in these situations must occur both by telephone and by letter.



DESK AUDIT BINDER – SECTION 11
Rule Governing Physical Restraint and Seclusion Me. Dept. of Ed. Reg. Chapter 33
Policy regarding use of physical restraint and seclusion, including:

- a) Annual overview and awareness information to staff
- b) Annual notice informing parents
- c) Date approved/ reviewed by Board of Directors
- d) Identify the DOE approved crisis intervention curriculum your SPPS/agency implements
- e) Documentation of training including dates/frequency and a list of participants.



Rule governing physical restraint and seclusion. This approval element can be found in Maine Department of Education Rules, Chapter 33.

(Read slide) New legislation takes effect on October 18, 2021. Stay tuned. Bear Shea is working with the Office of Special Services, and we will host an upcoming webinar to provide an overview of PL 2021 Chapter 453 – An Act to Keep All Maine Students Safe by Restricting the Use of Seclusion and Restraints in Schools.

Chapter 33 notes that each covered entity must provide annual overview and awareness information to staff and provide annual notice informing parents of the Chapter 33 rule and the SPPS policy and procedures related to the use of restraint and seclusion, including the local complaint process.



DESK AUDIT BINDER – 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 Goals
 - ISR1 – IEP Statement of the special education and related services

The 2021-22 DOE training schedules have been added to the DOE calendar and can be accessed at <https://www.maine.gov/doe/calendar> .

The On-Site Review Monitoring Tool is a comprehensive tool provided in both a Word format and an Excel format. The Word version is a guidance document which includes criteria and corrective activities for each item being reviewed. You will use the Excel version to complete your self-audit. The self-audit is the final component of the desk audit.

We recognize that the sending school is responsible for the IEP, and for approval of the IEPs developed and implemented at SPPS's. The IEP writing trainings and B-13 trainings for writing Transition Plans conducted by the DOE public school monitoring team are open to SPPS staff. The 2021-22 DOE training schedules have been added to the DOE calendar and can be accessed at <https://www.maine.gov/doe/calendar>.

DEFINING SELF-ASSESSMENT

- You will use the self-assessment form to review 20% (but not less than 10) of your student files (IEPS from the 2020-21 school year). 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



You will use the self-assessment form to review 20% (but not less than 10) of your student files (IEPS from the 2020-21 school year). 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 disabilities, ages, ethnic groups, case managers, SAUs referring to your program, and State Agency Client or State Ward status.

DEFINING SELF-ASSESSMENT

In addition, there should be at least one student file of a 2021 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.



In addition, there should be at least one student file of a 2021 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. The Summary of Performance form is used to:

- Provide information and recommendations designed to assist the student after graduating or aging out.
- The Summary of Performance (SOP) must be completed during the final year of a student's high school education using the most current information available regarding the student's performance.
- The SOP should be written in a way that is useful to the student. It may be accompanied by documents useful in assisting the student with the transition from high school to a higher education, training, or employment setting.
- Statements should be positive and supportive of the child's post-secondary goals. This summary is an opportunity to describe ways in which the student positively impacted the high school environment.
- The summary should be written with the student's input and with student inclusive practice, with a goal of acquiring and using self-advocacy. Review of this document with the student is suggested. Refer to the Procedural Manual pages 82-86 (available on the MDOE website) for more specific information and sample language to use on each section of the form.

The Special Services team will use this same On-Site Review Monitoring tool to check an additional 10% of student files that we select, or the remaining 50%, at our on-site visit. We

are looking for evidence that the student files in your program contain all the items required for an out-of-district placement.

There are 21 items on this tool being reviewed, some of which will apply to all student files (such as record of access sign in sheets and out of unit 30-Day Reviews); and others which apply only to specific populations (such as the transition items for high school students and particular evaluation reports – for example, a speech and language or occupational therapy evaluation, present in the file). Another example is academic needs for a student performing at or near grade level in ELA and Math (whereas functional needs/performance would be expected for all students in an out-of-unit placement as their LRE).

The file review monitoring tool looks at 3 aspects relating to transition plans. So, we want to note that for children in grade 9 or beyond, the student's IEP should include a post-secondary transition plan that is updated at least annually, including periodic transition assessments each year. These transition plans should be the primary focus driving the remainder of the IEP for high school students and are part of the student record. Development of the transition plans are the responsibility of the sending SAU, but we ask that the SPPS's review IEPs to ensure that they contain current transition plans, when applicable.

I'm going to turn the presentation over to Sarah now, to go over the On-Site Review Tool, review the calendar of activities, the process of submitting evidence, and the site visit and fiscal monitoring expectations with you.

ON-SITE REVIEW WORD VERSION

IEP Process: Academic Performance			
	Item/Citation	Criteria	Corrective Activities
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>	<p><i>Corrective activity:</i> Provide training on how the child's progress is measured annually through goal alignment and identified skill deficits.</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 IEPs and WNs, including at least one of reviewed files. Focus: Annual academic progress.



Instructions:

This is from the On-Site Review Monitoring Tool - Word version

This tool lists the Item/Citations for which the 21-22 special education files will be monitored.

This tool includes the corrective activities for each Item/Citation should the SPPS demonstrate noncompliance. **Do not submit corrective activities at this time.**

This tool is for your reference only.

ON-SITE REVIEW EXCEL VERSION

- OSR-E for reporting your results
– Excel version

	A	B	C	D	E	F	G	H	I	J
1	20-21 SPPS MONITORING - FILE REVIEW REPORT									
2	SPPS:							Responsible SAU:		
3	Review Team member(s):							Date of Placement: (01/02/1988)		
4	Review Date:							First Name:		Student A
5	Enrollment:							Last Name:		Student B
6	Updated June 2021			Key + is equivalent to meets - is equivalent to does not meet NA is equivalent to not applicable				Date of birth (01/02/1988)		
7								Age		
8								Disability		▼



On-Site Review Monitoring Tool - Excel version. This form was provided in advance, and I encourage you to open the form as I review it, so you can practice using the form during this presentation and have an opportunity to ask questions as we go through how to use the form.

ON-SITE REVIEW EXCEL VERSION

IEP Process: Academic Performance						
Item/Citation	Criteria	Total Level of Compliance	+	-	NA	
IAP3 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	+ -



This is an example of an item in the Electronic Monitoring Tool - EMT. The total level of compliance calculates automatically, a “+” indicates the “yes” criteria and a “-” indicates the “no” criteria, some items will have the option of “NA”, not applicable.

EXCEL OSR

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



*Read slide

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			



It may be helpful to open up a form to demonstrate after the presentation, to model a visual outline of the process – slides 25 through 30.

Recording the Date of Placement is important for the following items in the EMT: *OOU5 - Evidence that an IEP meeting was convened to review the IEP 30 days after placement* and *IAP4 – Academic annual progress of the child*. Please have the date of placement readily available for the on-site review of files.

The date of placement is the date the IEP team determined that the student starts in the program. (Sometimes this differs from the actual first day of school for the student due to illness or snow days.)

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:



If the box pops up, select cancel and enter an appropriate selection.

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.



If you prefer not to use the drop down selection in the cell, this is for manual input of “+”, “-” or “NA”. If you do not hit the enter key and instead use an arrow key or mouse to move or click to a different cell, Excel will think you are selecting the data in that cell that you moved to for data entry. If you hit enter after moving, you will get the pop up box in the last slide. If you haven’t hit enter you will need to hit the ESC key to get out of the selection mode.

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		
	+	-
	+	-

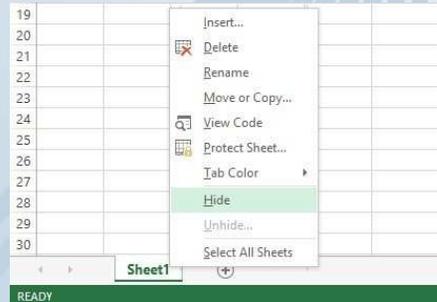
- You can select one column to check the data on that child.
 - Hover the cursor over the letter on the top gray bar that aligns with the child. When you see an arrow, click on the column and it will be highlighted.



*Read slide.

OSR DIRECTIONS

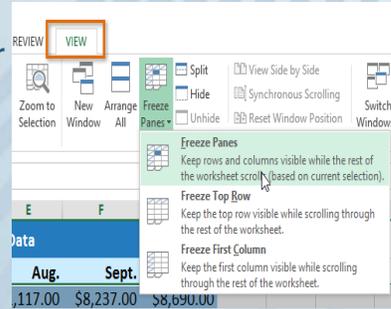
- You can hide rows and columns.
 - Hover the cursor over the first column or row you want hidden and move to the last column or row you want hidden.
 - Right click and select “hide” on the menu.
- You can unhide the same way.



(read slide)

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.



(read slide)

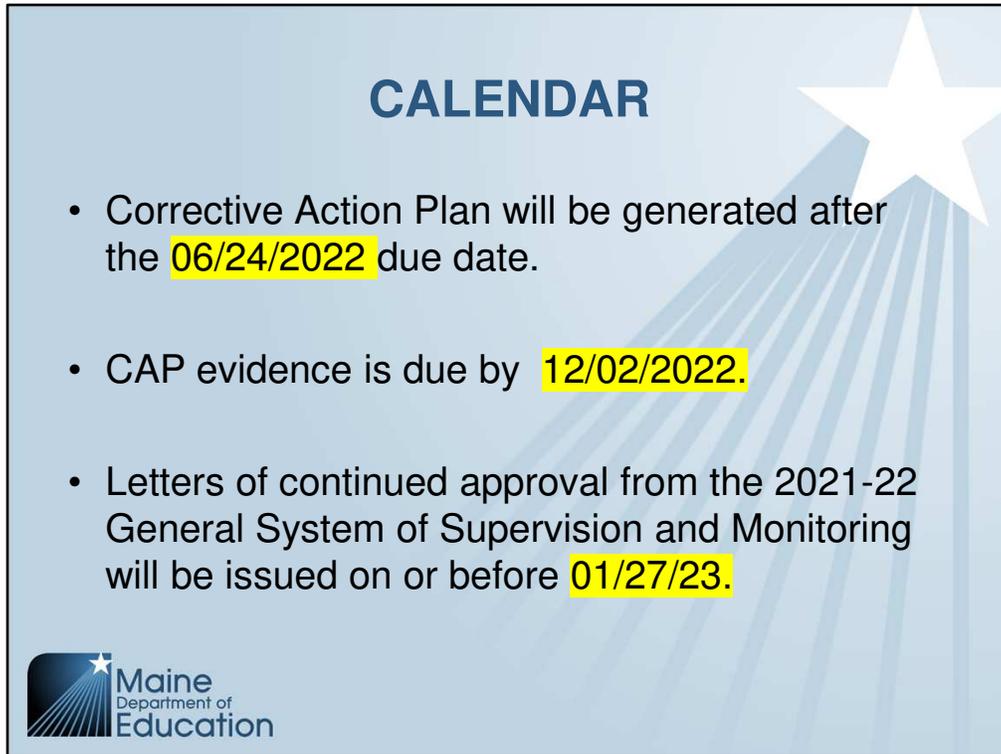
Please feel free to call Sarah if you have any questions or concerns about using the OSR excel sheet.

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

- 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.
- A Letter of Findings with Corrective Action will be sent to the SPPS within three weeks of site visits and in March 2022 for desk audits.
- Corrective Evidence is welcomed as early as completed. Correction is an interactive process with efforts to resolve deficiencies without issuing a CAP. Early submissions are encouraged, and reviews will be timely. Feedback will be sent, and subsequent submissions reviewed with feedback sent.



As we talked about at the beginning of the presentation, after the site visit and the desk audit, the Department issues a letter of finding. Letters of Finding will be issued to any SPPS where there were findings of concern within the program that might affect approval status. Read slide. SOF and LOF will continue to be sent to both SPPS and SAUs. It should be noted that SOF are informational for the SAU and no corrective activity will be required to the SPPS Monitoring team. If isolated deficiencies are noted they will be reported to the Federal Monitoring team, and the Federal Monitoring team will connect directly with the SAUs requiring corrective activity.



CALENDAR

- Corrective Action Plan will be generated after the **06/24/2022** due date.
- CAP evidence is due by **12/02/2022.**
- Letters of continued approval from the 2021-22 General System of Supervision and Monitoring will be issued on or before **01/27/23.**

 Maine
Department of
Education

Corrective Action Plans (CAPs) will be generated for SPPS's who have findings elements outstanding after the 6/24/2022 due date. The SPPS will have until 12/02/22 to resolve corrective activities identified in the CAP. DOE will review the evidence submitted and provide either an approval letter or feedback about any additional clarification regarding the evidence/element (s). Approval could be impacted up to and including revocation for any schools that have not successfully resolved all of the identified areas needing to be addressed in the CAP, by 12/02/2022.

As soon as all the identified areas are resolved, the Department will issue an approval letter. You will not have to wait until the Final CAP close date to receive the approval letter. Letters of continued approval from the 2021-22 General System of Supervision and Monitoring will be issued on or before 01/27/23.

SUBMISSION OF EVIDENCE

- Please clearly label with EMT notation (ex. IAP4).
- Evidence can be submitted by email (preferred) or postal mail.
- Please NO faxes.



Read slide

SUBMITTING DOCUMENTS

- Evidence can be submitted by email (preferred, as PDF attachments) to: sppsgss.doe@maine.gov
- Evidence can be sent in the mail to:

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



(Read slide).

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, the MDOE asks that the director's assistant or program coordinator be available during the times the director is unavailable.
- Make sure there is a confidential workspace for the special services team to review student records. There should be access to a copier.
- 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 an IEP that he/she wrote. Teachers will be able to get feedback and ask questions about required forms, IEPs or any thing related to special education.



Sarah - I will contact your agency to identify preferred times for the site visits for each location in your organization and have begun scheduling them with some of you. Again, the MDOE has historically reviewed student files, interviewed staff and students, toured the facility and conducted an exit interview to debrief the site visit portion of the review. The site visits will be modified again this year due to the pandemic, and we will work with each agency to identify the components that will continue to be conducted in person, and those activities that may be conducted virtually.

Prior to the site visit, each SPPS will receive a site visit letter from the MDOE confirming the date and reviewing the expectations for the site visit.

(Read slide).

- Typically we arrive at 8:30 am. Within the day, we will need time to do the following
 - Administration Interview (ideally at the beginning of our visit);
 - 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 classes during the site visit.
 - Review student files;
 - Conduct Interviews (2 teachers, 2 ed techs, 2 related service providers and at least 1 student);
 - Have a working lunch. We would love to have people join us to have general discussions, not necessarily related to the review.
- The review team is flexible and willing to accommodate a school's particular needs around scheduling.
- Site visit debriefs may be conducted however the school chooses. We have had debriefs with just the SPPS director, the entire SPPS (applicable) staff, with the Special Ed Director(s) from sending schools, and any combination of these scenarios. We are flexible and are happy to provide you (and your team) feedback and observations in any format that you prefer.



Read slide **Consent for student interview was included in the materials sent prior to this webinar. Completed consent forms should be placed in the students' files.**

Fiscal Monitoring

- Audited Financial Statements for FY21
- 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



A portion of the cohort will be fiscally monitored. Barbara McGowen will contact them.

Fiscal Monitoring Timeline

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





Contact Information

Sarah Ferguson
Sarah.Ferguson@maine.gov or 624-6674

Mary Adley
Mary.Adley@maine.gov or 624-6671

Jennifer Gleason
Jennifer.Gleason@maine.gov or 624-6640

Barbara McGowen
Barbara.A.McGowen@maine.gov or 624-6645

Questions?



Please feel free to reach out to Sarah, Mary, Jennifer, or Barbara with any questions or clarification. Read contact information.