

**MAINE DEPARTMENT
OF EDUCATION**

SPPS General Supervision

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



**Presented by: The OSSIE State Agency Programs Team
June 20, 2024**





SPPS General Supervision

Monitoring Cohort

Website:

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

Webinar

SPPS General Supervision Timeline

- **Site Visit Summer/Fall 2024**
- **Letter of Notification and Instruction**
- **Desk Audit – submissions due
12/27/2024**
- **Letters of Findings:**
 1. **Desk audit 1/31/2025**
 2. **Site Visit- sent shortly after
debrief**
- **Corrective Action Plan (CAP) 5/9/2025**
- **Evidence of Correction 9/19/25**
- **CAP Closes/Approval 11/14/2025**
- **Fiscal Monitoring: ongoing**



Special Purpose Private Schools Monitoring Process

Letter of Notification /Instruction sent, and Webinar scheduled

Desk Audit Materials Submitted and Reviewed

A Letter of Finding is sent to SPPS and SAUs.

When all the elements in the Desk Audit are fulfilled, a Letter of Desk Audit approval is sent to SPPS and SAUs.

Site Visit conducted and File Reviews completed

A Letter of Finding is sent to SPPS and SAUs.

When all the elements in the Site Visit are fulfilled, a Letter of Site Visit approval is sent to SPPS and SAUs.

Evidence of Correction Materials submitted will be reviewed as they come in until the due date.

CAP issued with due date for any outstanding elements from either the Desk Audit and/or the Site Visit

Evidence of Correction Materials submitted and reviewed

When elements in CAP are satisfied, a final approval letter will be issued to the SPPSP

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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 Details

- 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.
- 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.
- 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/scanner. For agencies with multiple sites, we request all files be at one site and we will work together to determine which site.

Traveling throughout Maine for monitoring, the SAP Team arrives to begin the day by 8:30 am. Within the day, we will need time to do the following, some of which occur simultaneously:

- **Administration Interview** (ideally at the beginning of the 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 entire class periods – from 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 parental consent) separately.
- **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.



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 Special Ed Director (s) from referring SAUS, and any combination of these scenarios.

We are flexible and happy to provide you and your team feedback and observations to the audience your agency determines!

**Any
Questions?**



Desk Audit

Submission Guidelines

You may submit your materials one of two ways:

- Email (preferred)
sppsgss.doe@maine.gov
- 3-Ring Binder sent to the office

Remember materials need to be received by the end of business day 12/27/2024 – no matter how sent



	Criteria
1	General Description of Program and Admission requirements
2	Educational Environment
3	Qualification of staff added to program after submission of current year's school approval application
4	Professional Supervision
5	Plan of Instruction
6	Adequacy of related services
7	Teacher/Student ratio
8	Continuum of special education services
9	Graduation credit agreement-For High Schools, grades 9-12 only, all other NA
10	Notification and Reporting of Changes to the Application and of Serious Events
11	Rule Governing Physical Restraint and Seclusion policy
12	Self- Audit & FERPA

DESK AUDIT

Section I



General Description of Program and Admission Requirements

20-A MRSA § 7204(4) & MUSER XII.2.A(1)(a)(l)(k)

Administrative Policy Manual AND Parent Handbook, with documented dates of approval by your Board of Directors, with substantial and appropriate policies and procedures regarding:

- General description of program
- Mission of program
- Disability groups served
- Grade levels served
- Capacity to address referral behaviors/concerns
- Transfer and 30-day IEP meetings
- Admission requirements

Educational Environment

20-A MRSA § 7204 (4) & 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:
 - i. 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



ii. 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;

Section 2 Continued





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 (for program elements with increased risk during activities/courses such as kitchens, heavy machinery, auto shops, carpentry, rock wall climbing etc.

Qualification of Staff

20-A MRSA § 7204(4)(B), MUSER XII.2.A(1)(b),
MUSER X. 2.A.(6), Maine Department of Education Regulations Chapter 115

- a) *SPECIAL EDUCATION SERVICES PROVIDER CERTIFICATION FORM (This form applies to Desk Audit sections 3, 6, and 7. Please send once in section 7)*
- b) Schedule of appropriate supervision of Education Technicians as outlined in MUSER X. 2.A.(6) and Chap 115;

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 defines educator caseload and case management numbers.



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

Professional Supervision

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

Provide documentation of supervisory model/positions:
of full time, on site, educational administrator(s):

Educational administrator requirements:

- Certification as a Special Education Administrator (030) or (035)
 - Certification as Special Education Consultant (079)
 - Certification as Teacher of Students with Disabilities (282), or Teacher of Severely Impaired Students (286), with both a minimum of a master's degree in special education or a related field plus one year of paid administrative experience
- a) Educational administrator's name and copy of certification. If 282 or 286, provide certification that shows advanced degree.
- b) If the Educational Administrator holds 079, 282, or 286, provide monthly documented supervision of at least 5 hours a month by a contracted Special Education Administrator, 030 or 035, with a copy of the 030 or 035 certificate, for January through November 2024

DESK AUDIT

Section 4



Plan of Instruction

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

In alignment with the Maine Learning Results:

- a) Plan of instruction/ curricular materials, without duplicating the most recent Standards Based Report materials sent summer 2023, to include copy of scope and sequence or link to website for:
 - i. 9 general education curriculum content areas of MLR with access to extra-curricular activities and
 - ii. specially designed intervention materials for ELA and Math
- b) Description of SPPS specific formative and summative assessments – individual, district and statewide
- c) SPPS specific samples of standards-based student issued reporting methods such as: report cards, portfolios, rubrics, etc.
- d) School calendar with at least 175 days
- e) Individual classroom schedules showing a minimum average of 25 hours per week of instructional time for every two-week period.

Adequacy of Support Services

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

- a) SPECIAL EDUCATION AND RELATED SERVICES PROVIDER CERTIFICATION / LICENSE FORM (provided)
- b) Grid of 5 months (2 months spring/summer and Sept – Nov) related service hours provided to all students (by employed and contracted providers) enrolled, coded for reasons for missed services and make- up dates. See sample grids/ templates provided. If your agency chooses not to use the DOE form, please send a copy of your form to spsgss.doe@maine.gov by October 27,2024.
- a) Evidence of individualized treatment, using valid and reliable measures to obtain baseline data and progress monitoring; list of tools and evaluations used to inform service plans.

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 defines educator caseload and case management numbers.						
Person Filling out:				Date:		
First Name	Last Name	Position Held	Hours Employed: (either Full Time or Part Time)	School Name	FOR ALL RELATED SERVICE PROVIDERS AND ONLY EDUCATIONAL STAFF EMPLOYED AFTER 7/1: Certification/License Number AND Expiration Date	FOR ONLY SPECIAL EDUCATION TEACHERS: Teacher/Student ratio
						FOR ONLY ED TECHS: Name of Supervising Teacher

DESK AUDIT Section 6

**Any
Questions?**



Teacher/Student Ratio and Caseloads

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

SPECIAL EDUCATION AND RELATED SERVICES PROVIDER CERTIFICATION / LICENSE FORM

- Child Ratios for self-contained services :

Ages 5-9 6:1 (5)

Ages 10-14 8:1 (5)

Ages 15-20 10:1 (5)

DESK AUDIT Section 7

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 defines educator caseload and case management numbers.



Person Filling out:

Date:

First Name

Last Name

Position Held

Hours Employed:
(either Full Time
or Part Time)

School Name

FOR ALL RELATED
SERVICE PROVIDERS AND
ONLY EDUCATIONAL STAFF
EMPLOYED AFTER 7/1:
Certification/License
Number AND
Expiration Date

FOR ONLY SPECIAL
EDUCATION TEACHERS:
Teacher/Student ratio

FOR ONLY ED TECHS:
Name of Supervising
Teacher

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)

Provide your SPPS Continuum of Special Education Services documentation:

- a) Detailed description of the transition supports provided for students in the census at intake, during length of stay and during transition to other school settings, including community partner supports (such as voc. rehab) utilized during their enrollment at your SPPS and put in place in the community (such as a job coach) and at the receiving SAU or SPPS.
- a) For 5 or more students, list specific examples of individualized less restrictive opportunities throughout SPPS enrollment (gradual release of supports, access to general curriculum, access to extracurricular activities, etc.) at SPPS, at public school, and in the community; supporting movement on the LRE educational continuum outlined in MUSER. Provide unique information for 5 students from each SPPS site in your agency.

Template:

Student, Home district,

#1 LRE opportunity details and timeline/dates

#2 LRE opportunity details and timeline/dates

#3 LRE opportunity details and timeline/dates

DESK AUDIT Section 8

DESK AUDIT

Section 8 Continued

Continuum of special education services

c) Specific discharge data for the past 2 years including:

- Student Name
- DOB
- Disability
- Admission date, date discharged, grade level
- Name of receiving school / program
- Graduation data, if applicable.



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.
- a) Evidence of the documentation of data tracking and reports for:
 - graduation work/credit agreements **and**
 - graduation requirements (courses, community service, etc.) outline by SAU

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

Notification and Reporting of Changes to the Application and of Serious Events

MUSER XII.2.A(1)n

MUSER XII.2.D

MUSER XII.2.D. Revision to Application.

Any changes to the application, including but not limited to change in personnel, facilities, staffing patterns, or population served, requires the submission and approval of amendments to the relevant portions of the application.



DESK AUDIT Section 10 - MUSER XII.2.A(1)n

MUSER XII.2.D

- a) Attach your policy for notification and reporting to the Department of issues that would impact the approval status of your school/program as specified in the SPPS Initial Application Part XIII including:**
- i. Any substantial changes in the school's program (s)**
 - i. Any changes in the certification and/or the credentials of its staff**
 - ii. Any action taken by a federal, state or local agency that might jeopardize the school's approval with the Department, or any legal proceeding brought against the school or its employee (s) arising out of circumstances related to the care or education of any of its students regardless of their state of residency.**
 - i. Any new, or revisions to existing, policies that replace or revise policies described or provided with this application**
 - i. Any changes to the program/facility that impact the overall health or safety of students , or the ability to deliver services**

DESK AUDIT Section 10 - MUSER XII.2.A(1)n MUSER XII.2.D

vi. Immediate notification and reporting of serious events, including serious injury or death of a student, criminal activity on the part of the student or staff member, or other serious incident affecting the well-being of any student the approved special purpose private school shall immediately notify, by telephone and by letter, the parents, the sending school district(s), any state agency involved in child care or program placement, and the Department of Education.

vii. Any changes in services or staff, including temporary staff shortages, that alter previously approved staff: child ratios and/or affect the ability to deliver services to students per their IEPs

viii. Change in the Program Director

b) Update Application for Initial Approval: Special Purpose Private School with any changes

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 after June 16th, 2023, 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

DESK AUDIT Section 11

Questions?



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



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 10, all student files will be reviewed for this element, as well as for the file review during the site visit.
- Please make efforts to provide a representative sample across Self-assessment (OSR) and include a variety of:
 - Disabilities
 - Ages (including transition plans)
 - Ethnicities
 - Case Managers
 - SAUs within the SPPS
 - State Agency Client/State Ward status

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.

Let's Walk Through the OSR



ON-SITE REVIEW EXCEL VERSION

OSR-E for reporting your results: Excel version

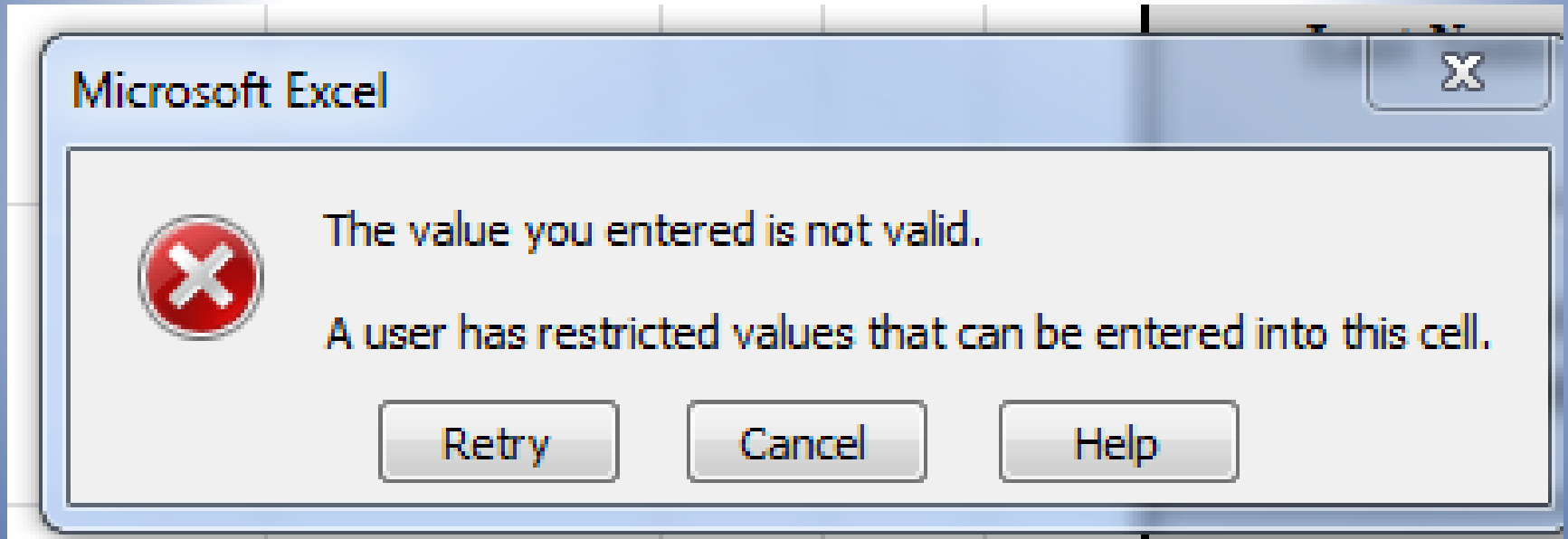
22-23 SPSS MONITORING - FILE REVIEW REPORT									
SPPS:					Responsible SAU:				
Review Team member(s):					IEP Determined Date of Enrollment: (01/02/1988)				
Review Date:					First Name:		Student A	Student B	
Enrollment:					Last Name:				
Updated July 2022		Key + is equivalent to meets - is equivalent 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									

OSR DIRECTIONS cont.

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



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

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

Enter the date in this format:
01/01/2001

OSR DIRECTIONS

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



OSR DIRECTIONS continued

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 hit the “enter” key after you enter + or - in the cell for it to input the data in the workbook.**



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OSR DIRECTIONS cont.....

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.

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		
	+	-
	+	-

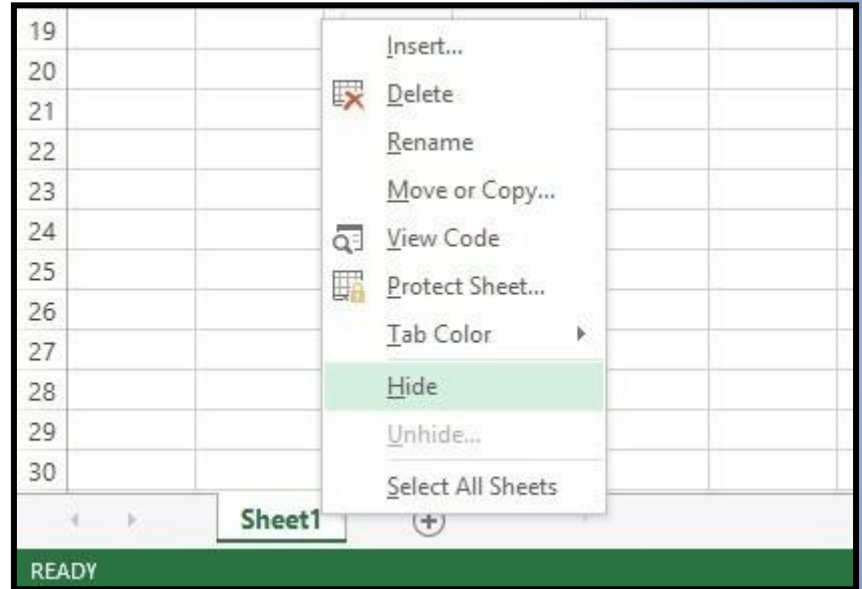
OSR DIRECTIONS cont.....

You can hide rows and columns.

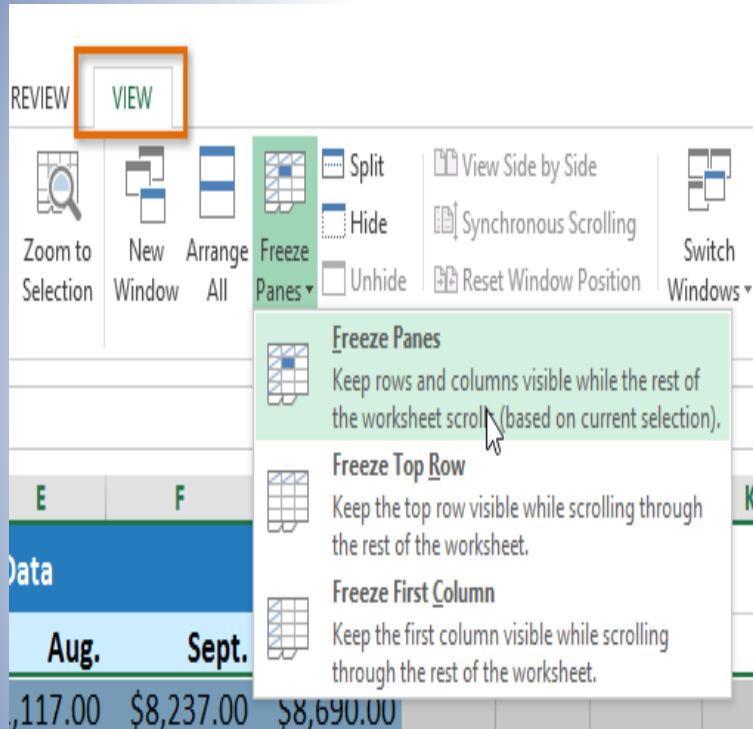
Hover the cursor over the first column or row you want hidden and move to the last column or row you want hidden.

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 the menu bar

Click on “freeze panes”

You can unfreeze panes with the same process.

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

There will be two separate Letters of Findings.

1. **Site Visit:** In two parts – a narrative and the file review Evidence of Correction Grid, sent to SPPS following Site Visit Debrief
2. **Desk Audit:** Sent to SPPS around 1/31/25

This is a summary of all findings of items that were monitored:

During the Site Visit

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

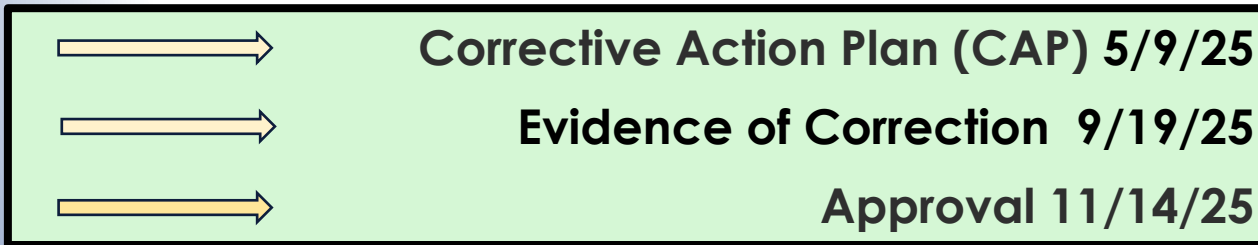
Part 2 – Grid: Created by Excel from the site visit file review OSR

There may be corrective activities requested for 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 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.**



SUBMITTING DOCUMENTS Initial and Subsequent Evidence

Evidence can be submitted by email (preferred, as attachments) to: **sppsgss.doe@maine.gov**

Sometimes there are tech difficulties with large attachments. Please send in as few emails as technology will allow.

Evidence can be sent in the mail to:

**Department of Education
Office of Special Services & Inclusive Education
State Agency Programs Team
23 State House Station
Augusta, ME 04333-0023**

Fiscal Monitoring

Audited Financial Statements FY 24
Schedule of MaineCare Revenue
Written methodology-allocation of Parent Company Overhead
Copies of any Management Agreements with Parent Company
Breakdown of Interest Expense to Asset
Schedule of Depreciation (if any)
List of all Personnel from “Staff Pay Sheet” Name, Title, Annual Salary

Fiscal Monitoring Timeline



Desk Audit

Site Visit

Letter of Finding (LOF)

Opportunity to respond in writing to finding

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

**Any
Questions?**



SAP Team Contact Information

- Mary Adley, State Agency Programs Coordinator
 - Mary.Adley@maine.gov or 624-6671
- Leora Byras, Education Specialist
 - Leora.Byras@maine.gov or 624-6618
- Gaye Erskine, Office Specialist
 - Gaye.Erskine@maine.gov or 624-6628
- Sarah Ferguson, Education Specialist
 - Sarah.Ferguson@maine.gov or 592-6498
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