


Concepts of General Supervision

Accountability for Implementation & Improved Results



Part C


The BIG 8 of General Supervision

(and Continuous Improvement)

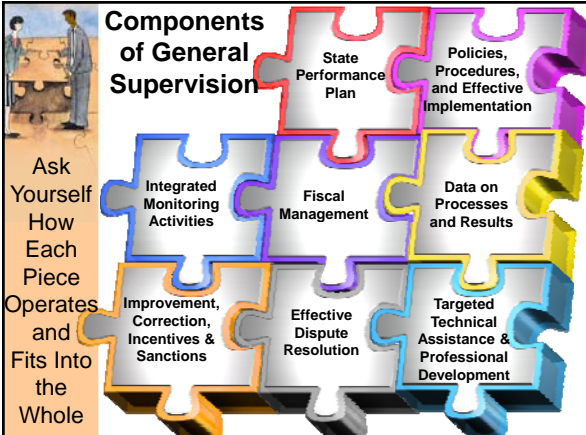
1. What are the minimum **Components** for General Supervision ?
2. How do the Components form a state **System** ?
3. What are the annual **Processes** operating within the system ?

Difference between Concepts & a Model

Each state develops Its Own Model of General Supervision based on what's required and desired

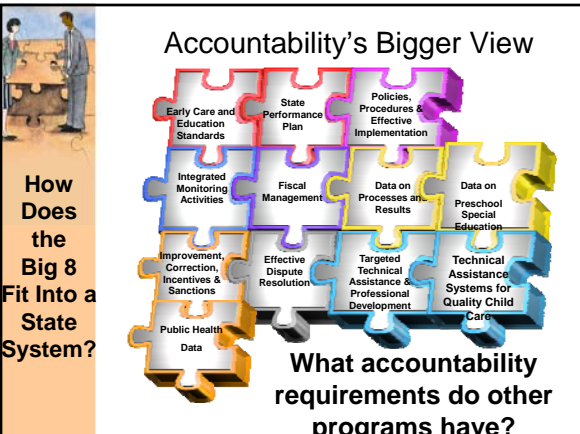


Components of General Supervision



Ask Yourself How Each Piece Operates and Fits Into the Whole

Accountability's Bigger View




How Does the Big 8 Fit Into a State System?

What accountability requirements do other programs have?



Requirements:

- State Performance Plan
- ☐ 76.720 and 80.40 - **Annual performance reports**
- ☐ 20 USC 1416(b) and 1442 **State Performance Plan**
- ☐ 20 USC 1416(b) and 1442 **Measurable and rigorous targets and reporting**
- ☐ 20 USC 1416(a) and 1442 - **Monitoring and Enforcement**





State Performance Plan

- Stakeholders should be actively involved in all aspects of the SPP.
- The development and implementation of the SPP leads to improved results.
- Reporting is critical to ensuring accountability to the public.
- The SPP is the blueprint for systems change.



Policies, Procedures & Effective Implementation

- ❑ 76.700 and 20 USC 1434 Policies and procedures aligned with IDEA
- ❑ 20 USC 1432(4) Qualified personnel
- ❑ 20 USC 1435(a) Single line of authority
- ❑ 20 USC 1435(a)(1) MOU, interagency agreements
- ❑ 20 USC 1432(4)(G) Policies regarding natural environments



Policies, Procedures & Effective Implementation

- Aligned with IDEA
- Implemented by local programs
- Include methods to detect noncompliance and ensure correction
- Encourage program improvement through improvement planning and incentives
- Include current interagency agreements and memoranda of understanding (MOU) when required to ensure implementation of IDEA
- Have mechanisms to determine effectiveness of agreements and MOUs



Effective Dispute Resolutions

- ❑ 20 USC 1439 Procedural safeguards
- ❑ 20 USC 1439(a)(1) Dispute resolution mechanisms implemented
- ❑ 20 USC 1439 Hearing officers and mediators trained
- ❑ 20 USC 1439(a)(6) Parents understand their rights

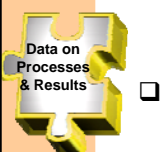
Effective Dispute Resolutions


- Are timely
- Track issues
- Inform on-site and off-site monitoring activities
- Periodically evaluate effectiveness of resolutions
- Determine parents and families understand their rights, especially in cases where there are few or no complaints, hearings, or other resolutions

Data on Processes & Results



- ❑ 20 USC 1435(a)(14) system for compiling data
- ❑ 20 USC 1418 and 1442 Required data are collected and reported to the Secretary and the public
- ❑ 20 USC 1416 and 1442 SPP/APR data are valid and reliable
- ❑ 20 USC 1416 and 1442 SPP/APR targets and reporting







Data on Processes & Results

- Collection and verification
 - 618
 - Dispute resolution
 - Previous monitoring reports
 - other
- Examination and analyses
 - Areas of state concern
 - Clusters of related indicators
- Reporting
 - Annual Performance Report (State)
 - Local Performance compare to State Targets
- Status determination
- Improvement
 - Data are used to plan and revise activities


Integrated Monitoring Activities

- ❑ 20 USC 1435(a)(10) **Single line of authority for general supervision**
- ❑ 20 USC 1416 and 1442 **Data are reviewed to determine monitoring activities**
- ❑ 20 USC 1416(a) & 1442 **Monitoring triggers corrective actions, technical assistance and/or enforcement**
- ❑ 20 USC 1441(e)(2) **ICC advises the State regarding appropriate services**



Integrated Monitoring Activities

- Stakeholders are involved.
- Protocols focus on specific hypotheses for the selected area.
- Teams include family members.
- Investigation is related to noncompliance and program improvement.
- Multiple methods and multiple data sources exist to monitor every program, every year.
- All monitoring activities include continuous examination of performance for compliance and results.
- Written reports specify necessary evidence of correction and of improvement.
- Internal and external technical assistance and professional development support improvement and correction.






Requirements: Targeted TA and Professional Dev

- ❑ 20 USC 1435(a)(2) Services are based on scientifically-based research
- ❑ 20 USC 1435(a)(8) CSPD that includes training on:
 - implementing innovative strategies
 - provider qualifications
 - coordinating transition services
- ❑ 20 USC 1435(a)(9) Qualified personnel


Targeted Technical Assistance & Professional Development


- Are directly connected to the SPP and improvement activities
- Are provided to correct noncompliance and improve results
- Use principles of adult learning and standards for professional development
- Measure the effectiveness of implementation
- Incorporate various agencies in development and dissemination
- Distribute promising practices and evidence based practices to local programs

Requirements: Improvement, Correction, Incentives, & Sanctions



- ❑ 20 USC 1416(a) & 1442 **Monitoring and enforcement**
- ❑ 20 USC 1416(d) and (e) **Determinations, technical assistance, and enforcement actions**
- ❑ 80.12 **Special conditions**
- ❑ 80.43 **Enforcement**







Improvement, Correction, Incentives & Sanctions

- Includes explicit State authority to enforce regulations, policies, and procedures
- Uses technical assistance to ensure correction of noncompliance
- Includes improvement planning to meet state and local targets
- Has means for corrective action planning and follow up tracking of correction and improvement
- Includes a range of formalized strategies and/or sanctions for enforcement with written timelines
- Determines the status of local programs annually



Requirements: Fiscal Management

- 20 USC 1437(a)(5) **Use of funds**
- 20 USC 1435(a)(11) **Arrangements with service providers**
- 20 USC 1435(a)(10) **Establishing fiscal responsibility**
- 20 USC 1440(a) **Payor of last resort**
- 20 USC 1437 **Internal controls**
- OMB Circular A-133 - **Single Audits**

Fiscal Management

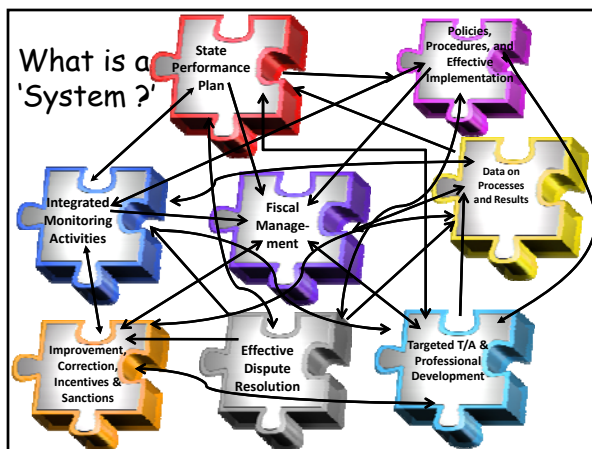

- States distribute funds in accordance with Federal requirements.
- Funds are used in accordance with federal and state requirements.
- States provide oversight on the use of funds.
- Funds are aligned to Problem Areas in the SPP/APR

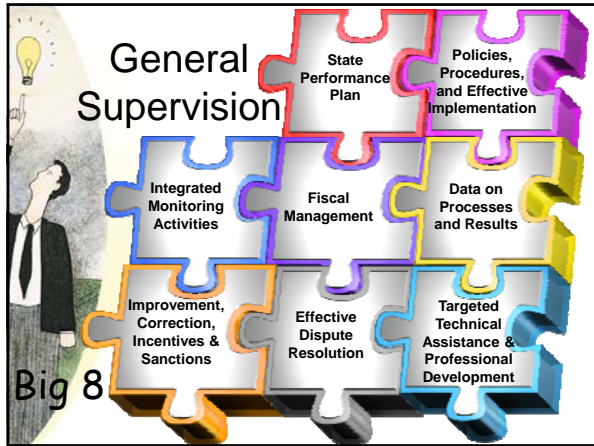
Describing a 'System' of General Supervision

Problems in Description (beginning List)

- ✓ Equating General Supervision as only On-Site Monitoring
- ✓ Viewing Administration as a collection of Separate and Isolated Functions
- ✓ Defining Accountability as an Event rather than a 'state' and Process
- ✓ others?

It's about Better Results



For More Information

- www.ed.gov
- www.monitoringcenter.lsuhs.edu
- www.rfcnetwork.org
- Nectac???

It's about Better Results