

## Concepts of General Supervision

Accountability for Implementation & Improved Results

## 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

State Performance Plan	Policies, Procedures, and Effective Implementation	
Integrated Monitoring Activities	Fiscal Management	Data on Processes and Results
Improvement, Correction, Incentives & Sanctions	Effective Dispute Resolution	Targeted Technical Assistance & Professional Development

## Accountability's Big View


How Does the Big 8 Fit Into a State System?

What accountability requirements for other programs have?

State Plan for NCLB	State Performance Plan	Policies, Procedures & Effective Implementation	Data on NCLB Student Performance & AYP
Integrated Monitoring Activities	Fiscal Management	Data on Processes and Results	Reading First Technical Assistance & Professional Development
Improvement, Correction, Incentives & Sanctions	Effective Dispute Resolution	Targeted Technical Assistance & Professional Development	
Improvement, Correction for NCLB			


## Requirements:

- 76.720 and 80.40 Annual performance reports
- 300.157 Performance goals and indicators
- 300.601 State performance plan
- 300.600 (c) and (d) Monitoring and enforcement
- 300.602 Targets and reporting




### 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.




### Requirements: Policies, Procedures & Effective Implementation

- 1232d(b)(1) Program administered in accordance with rules
- 1232e(b)(1) LEA administers program in accordance with rules
- 76.700 Compliance with statutes
- 300.100 State policies and procedures (State plan)
- 300.154 Methods of ensuring services
- 300.200-300.201 LEA policies and procedures





### Policies, Procedures & Effective Implementation

- Aligned with IDEA
- Implemented by local programs
- Include methods to detect noncompliance and ensure correction of noncompliance
- 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





### Requirements: Effective Dispute Resolution

- 300.150 Procedural safeguards
- 300.151-300.153 Complaint procedures
- 300.500 Procedural safeguards
- 300.504 Procedural safeguards notice


### Effective Dispute Resolutions


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

### Requirements: Data on Processes & Results



- 1232d(b)(4) Evaluate effectiveness
- 1232e(b) LEAs report to the SEA, board, Secretary
- 300.601(b) Data collection
- 300.602 Targets and reporting
- 300.640 Annual report of children served







### 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)
  - LEA Performance compare to State Targets
- Status determination
- Improvement
  - Data are used to plan and revise activities



### Requirements: Integrated Monitoring Activities

- 1232d(b)(3)(A) Proper methods of monitoring
- 300.120 Monitoring LRE
- 300.149 SEA responsibility for general supervision
- 300.600 State monitoring



### 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

- 1232d(b)(3)(B), (C), (D) Provide TA, promising practices and disseminate information
- 1232e(b)(8) LEA has effective dissemination to teachers and administrators
- 300.119 TA on LRE
- 300.156 Personnel qualifications


### 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

- 1232d(b)(3)(A) and (E) Proper methods – correction and enforcement
- 80.12 Special conditions
- 80.43 Enforcement
- 300.222 LEA compliance
- 300.600 State monitoring and enforcement
- 300.603-300.604 Determinations and enforcement actions
- 300.608 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


Improvement & Correction, Incentives & Sanctions



### Requirements: Fiscal Management

- ❑ 300.704 and 705 Distribution of funds
- ❑ 300.209 Treatment of charter schools
- ❑ 300.133 Private schools proportionate share
- ❑ 300.163 and 300.203-300.205 Maintenance of effort
- ❑ 300.162 and 300.202 Excess cost/supplement not supplant
- ❑ 300.226 Early intervening services 15%
- ❑ OMB Circular A-133 – Single Audits


Fiscal Management



### 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

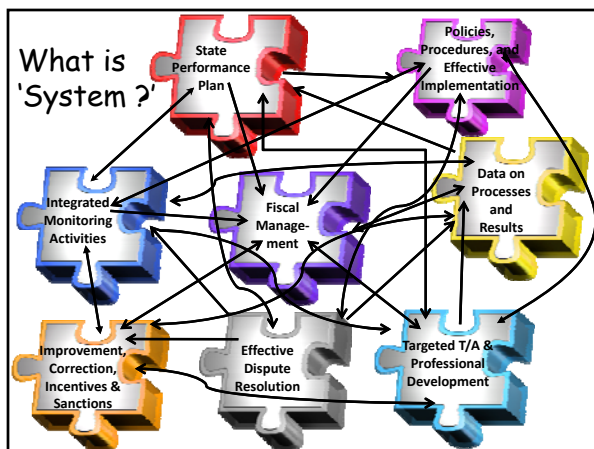
Fiscal Management

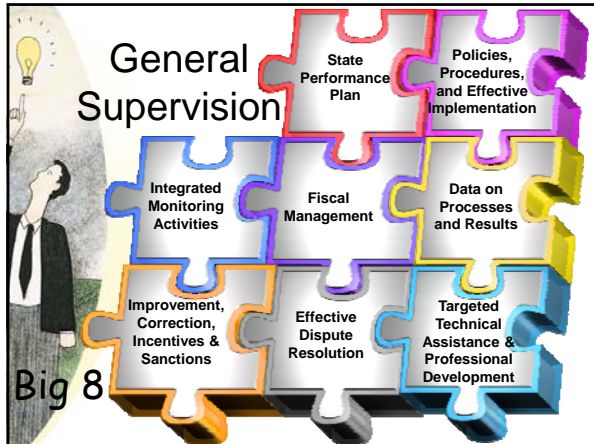


### Describing a 'System' of General Supervision

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?





**For More Information**

- [www.ed.gov](http://www.ed.gov)
- [www.monitoringcenter.lsuhs.edu](http://www.monitoringcenter.lsuhs.edu)
- [www.rfcnetwork.org](http://www.rfcnetwork.org)

**It's about Better Results**