

OSEP MONTHLY TECHNICAL ASSISTANCE CALL

SPP/APR UPDATES

DMS 2.0 UPDATES

SEPTEMBER 23, 2021

Agenda

- ▶ Welcome
- ▶ MSIP Director Updates
- ▶ SPP/APR Update
- ▶ DMS 2.0 Update
 - Phase 1 Adjustments and Scheduling Phase 2
 - Protocol Reminders and Document Requests
 - Phase 2
 - Next Steps
- ▶ Questions

MSIP Director Update

- ▶ Email to all States was sent on Wednesday, September 22, 2021.
- ▶ Outlined in that email the DMS 2.0 Updates and Dates we will be further reviewing today, most notably that Cohort 1 visits will be completed from May 2022 through December 2023.
- ▶ Please find all Protocols and DMS 2.0 resources on our [website](https://sites.ed.gov/idea/grantees/#DMS,DMS-2) under Resources/Resources for Grantees/DMS 2.0: <https://sites.ed.gov/idea/grantees/#DMS,DMS-2>

SPP/APR Updates

- ▶ FFY 2020 SPP/APR Package Release
- ▶ October National TA call
- ▶ Follow up on Indicator B6c
 - *States are not required to establish a baseline or targets if the number of children receiving special education and related services in the home is less than 10, regardless of whether the State chooses to set one target that is inclusive of children ages 3, 4, and 5, or set individual targets for each age. In a reporting period during which the number of children receiving special education and related services in the home reaches 10 or greater, States are required to develop a baseline and targets, and report on them in the corresponding SPP/APR.*
 - *States may express their targets in a range (e.g., 75-85%).*

DMS Adjustments Reminders

- ▶ Scheduling of Visits and Phase 2
- ▶ Timeline adjustments and Phases
- ▶ DMS IT engagement across all protocol components to promote consistency across the Division and when working with States

Timelines: Scheduling Phase 2 Activity

- ▶ In October, OSEP will contact Cohort 1 States to schedule Phase 2 activities
- ▶ Our goal is to provide States with advance notice of their Phase 2 visit date to ensure a clear understanding of their monitoring visit timeline
- ▶ The Phase 2 visit date will trigger the timeline for Phase 1 activities; including the document requests and interviews

Timelines: Phases

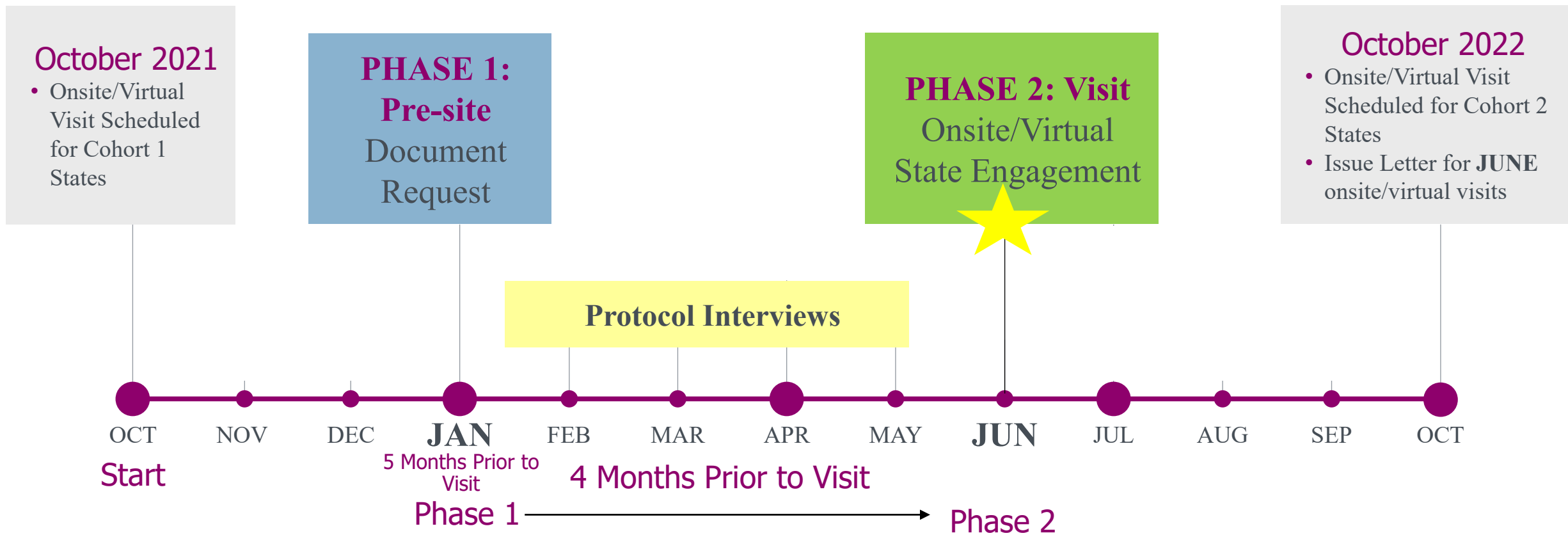
- ▶ OSEP will continue to use a phased approach
- ▶ Phases will no longer equal one year
- ▶ Phase 1:
 - Document requests will occur 5 months prior to Phase 2 visit
 - Interviews start 4 months prior to Phase 2 visit
- ▶ Phase 2: Visit through issuing of the monitoring report (no more than 4 months)
- ▶ Phase 3: Up to one year after the monitoring report is issued for closing out findings and to provide technical assistance



DMS 2.0 Roadmap

2021-2022

Cohort 1 Example



Phase 1 will occur during the 5 months prior to the visit (one month for document request, 4 months for protocol interviews)

Phase 2 will occur from the onsite/virtual visit through the issuance of the monitoring report (120 days after visit)

Phase 3 will occur up to one year after the issuance of the monitoring report.

Reminder: Protocol Templates

- ▶ Each of the monitoring protocols have a common structure and format.
- ▶ They are designed to help OSEP gather the information we need for monitoring.
- ▶ The protocols are intended as OSEP's monitoring tool.
- ▶ May also be used, as State's option, to assess a State's own system.
- ▶ <https://sites.ed.gov/idea/grantees/#DMS,DMS-2>

Document Requests

- ▶ The “**Suggested Documents for Review**” section on the protocols will provide a list of documents OSEP will need to complete our review.
- ▶ Most documents will be related to policies and procedures during Phase 1. We are working to limit the volume of document requests to control the burden.
- ▶ For Phase 1, OSEP does not expect any documents with personally identifiable information (PII)
- ▶ In limited circumstances, we may request PII during Phase 2

Document Request SAMPLE (MON Protocol)

Suggested Documents to Review (not exhaustive):

PHASE 1

- *State's risk assessment*
- *State's written policies and procedures on monitoring*
- *State's documentation of procedures for identifying noncompliance, including at a minimum:*
 - *methods for determining whether noncompliance has occurred,*
 - *steps to identify noncompliance through the State's monitoring system,*
 - *timelines for making a written finding of noncompliance and notifying the affected public agency of that finding.*
- *Examples of State monitoring protocols*

PHASE 2

- *Sample monitoring reports*
- *Notification letter for any local educational agencies (LEAs)/ early intervention service (EIS) providers with identified noncompliance*
- *Schedule of follow-up activities*
- *Examples of enforcement actions used by the State*

Document Request SAMPLE (IMP Protocol)

Suggested Documents to Review (not exhaustive):

PHASE 1

- *Guidance documents provided by the State and/or made available to the public*
- *State's written policies and procedures on monitoring*
- *Documentation of correction procedures, including at a minimum:*
 - *methods for determining correction of noncompliance,*
 - *documentation of correction,*
 - *sanctions for outstanding areas of noncompliance not corrected within one year of the State's identification of the noncompliance*
 - *Incentives used to improve local educational agency (LEA)/early intervention service (EIS) provider compliance and results*
- *Procedures used to identify and assess improved results*

PHASE 2

- *Samples representing process of correction from select LEAs/EIS providers, including:*
 - *Monitoring letter or report*
 - *Corrective action requirements*
 - *Schedule of follow-up activities*
 - *Documentation of correction (both child-specific and systemic)*
 - *Close-out letters*
- *Close-out notification letters for LEAs/EIS providers with identified noncompliance and proof of correction*
- *Corrective action plans for LEAs/EIS providers*
- *Samples from select LEAs/EIS providers documenting improvement efforts, including*
 - *Root cause analysis*
 - *Improvement plans*
 - *Evaluation of results of improvement plans*

Relevant Years for Document Requests

- ▶ Phase 1: Policies and procedures for relevant protocols in effect at time of request.
 - If State is in transition, work with your monitoring team on what you should provide
- ▶ Phase 2: Generally ,we will be asking for document samples supporting implementation of an area for three years, current year and two prior years, but there will be variation based on request
 - For example, we will be asking for documentation of the implementation of your monitoring procedures, including programs monitored, protocols used, monitoring findings and documentation of correction
 - Because we want to follow the process from identification to correction, we may need to go back three years

DMS 2.0 Protocol Updates

- ▶ Next three sets of protocols to be released:
 - Data and SPP/APR (Posted!)
 - Dispute Resolution
 - Technical Assistance and Professional Development
- ▶ Feedback sessions will be held with States by our OSEP funded TA partners, on these protocols, in September
- ▶ Goal to post by October 1

DMS 2.0 Protocols

<https://sites.ed.gov/idea/grantees/#DMS,DMS-2>

Resources for Grantees

Home » Resources for Grantees

The U.S. Department of Education's Office of Special Education Programs (OSEP) provides leadership and financial support to assist states, local districts, institutions of higher education, and families.

The Individuals with Disabilities Education Act (IDEA) authorizes formula grants to states and discretionary grants to higher-education institutions and other nonprofit organizations to support research, demonstrations, technical assistance and dissemination, technology and personnel development, and parent-training and information centers.

Visit our [IDEA Statute/Regulations](#) and [Policy Support](#) pages for more specific, searchable IDEA law and policy information.

State Formula Grants

[Overview](#) [SPP/APR](#) [Grants](#) [DMS](#) [Fiscal](#)

Differentiated Monitoring and Support

OSEP provides [differentiated monitoring and support](#) to states as part of its results driven accountability system.

Under the results driven accountability system, OSEP's differentiated monitoring and support focuses on both compliance and improving results for children with disabilities.

OSEP differentiates its approach for each state based on the state's unique strengths, progress, challenges, and needs.

DMS 2.0

- [DMS 2.0 Framework with Evidence and Intended Outcomes](#) (PDF)
- [Fiscal Part C SLOR Introduction](#) (PDF)
- [Fiscal Part C SLOR Protocol](#) (Word)
- [Fiscal Part B Subrecipient Monitoring Protocol](#) (PDF)
- [Parts B and C — Integrated Monitoring Protocol](#) (Word)
- [Part B and C — Sustaining Compliance and Improvement Protocol](#) (Word)
- [Part B and C — Data and SPP/APR Protocol](#) (Word)

[Expand All](#)

[DMS Reports](#)

[Prior Monitoring Systems](#)

[DMS 2.0](#)

- [DMS 2.0 Framework with Evidence and Intended Outcomes](#) (PDF)
- [Fiscal Part C SLOR Introduction](#) (PDF)
- [Fiscal Part C SLOR Protocol](#) (Word)
- [Fiscal Part B Subrecipient Monitoring Protocol](#) (PDF)
- [Parts B and C — Integrated Monitoring Protocol](#) (Word)
- [Part B and C — Sustaining Compliance and Improvement Protocol](#) (Word)
- [Part B and C — Data and SPP/APR Protocol](#) (Word)



Phase 2 Monitoring Introduction

- ▶ Phase 2 Monitoring will likely be hybrid of on-site and virtual activities, depending upon health conditions and needs of State.
- ▶ Phase 2 agenda will be customized to
 - Examine implementation of policies and procedures for components from Phase 1
 - Address concerns identified in Phase 1
 - Delve deep into additional areas determined on a State-by State basis.

Phase 2 All States

- Implementation of monitoring procedures, inclusive of programmatic and fiscal monitoring
- Implementation of dispute resolution, including examination of logs and files
- Stakeholder component
- Local component

Phase 2 Differentiated Elements

- ▶ Follow up on areas flagged during Phase I (B &C)
- ▶ Specific APR indicators, both compliance and results (B &C)
- ▶ Additional fiscal elements as determined by risk assessment (B &C)
- ▶ Evaluations and Child Find (B and C)
- ▶ Significant Disproportionality (B)
- ▶ Discipline, including early childhood (B)

Sample DMS Phase 2 Agenda

► May 2022

- Week One: Two Virtual Days
 - Stakeholder engagement activities
 - Fiscal Team follow-up and review
 - APR Indicators C1, C3, C7, C8A, C8B, C8C
- Week Four: Three Onsite Days
 - Integrated Monitoring follow-up and review
 - Sustaining Compliance follow-up and review
 - Dispute Resolution follow-up and review
 - Evaluation and Child Find
 - COVID and pandemic response follow-up and review

Sample DMS Phase 2 Schedule

<u>Virtual Visit</u>	
Thursday 8:00a.m. – 12:30p.m.	Fiscal Team Follow-up
Thursday 1:30 – 3:00 p.m.	APR Indicators C1, C3
Thursday 3:00 – 5:00 p.m.	APR Indicators C7, C8A, C8B, C8C
Friday 8:00a.m. – 12:30p.m.	Fiscal Debrief APR/Data Debrief
Friday 5:30 p.m. – 7:00 p.m.	Stakeholder Engagement Activity
<u>Onsite Visit</u>	
Monday 8:00a.m. – 12:30p.m.	Integrated Monitoring
Monday 1:30 – 3:00 p.m.	Sustaining Compliance and Improvement
Tuesday 8:00a.m. – 10:00 a.m.	Integrated Monitoring Sustaining Compliance and Improvement Debrief
Tuesday 10:30 – 12:30 p.m.	COVID and Pandemic Follow-up
Tuesday 1:00 – 5:00 p.m.	Dispute Resolution
Wednesday 8:30 a.m. – 11:30p.m.	Dispute Resolution Debrief
Wednesday 1:30 – 5:00 p.m.	Evaluation and Child Find

Next Steps

- ▶ Cohort 1: Phase 2 (onsite/virtual) Scheduling call October 2021
 - Schedule for Phase 2 will determine:
 - Date of document request
 - Dates of Phase 1 interviews
- ▶ Cohort 2: Official notification letters September 2021 visit dates will be set in October 2022
- ▶ Cohort 3: Official notification letters September 2022



OSEP

OFFICE OF SPECIAL EDUCATION PROGRAMS
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES
U.S. DEPARTMENT OF EDUCATION

Home: www.ed.gov/osers/osep

Blog: <https://sites.ed.gov/osers>

Twitter: https://twitter.com/ED_Sped_Rehab

YouTube: www.youtube.com/c/OSERS

