

General Supervision and Focused Monitoring Overview

Purpose

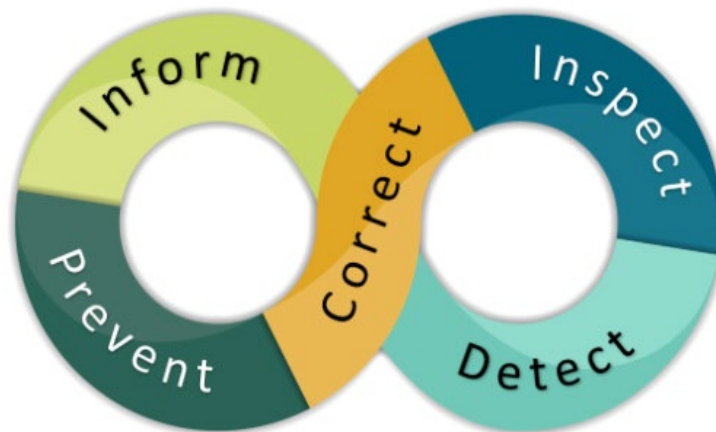
Iowa uses a results-based accountability approach to monitoring within its general supervision system of IDEA. This aligns with 34CFR 300.600(b) which requires the primary focus of state monitoring activities to focus on improving educational results and functional outcomes for all children with disabilities. Emphasis is placed on those requirements that are most closely related to improving educational outcomes.

General Supervision Overview

The vision of Iowa's general supervision is to provide leadership in system structures and processes (policies, procedures, practices), and facilitate the use of a statewide IDEA data system to (1) improve early intervention and educational results and functional outcomes for infants, toddlers, and learners with disabilities; (2) empower families and caregivers to enhance educational results and outcomes for infants, toddlers, and learners with disabilities; (3) ensure early intervention service programs, area education agencies, and local education agencies meet IDEA Part C and Part B requirements with emphasis on results and outcomes for infants, toddlers, and learners with disabilities; and (4) use complete, valid, and reliable data for reporting and decision-making.

Iowa's general supervision system is built around five general duties. The duty to:

1. *Inform* constituents of foundational knowledge and common understanding of state and federal policy, procedures, effective practices and access, collection and use of valid and reliable data;
2. *Prevent* noncompliance through the provision of infrastructure, technical assistance, policies, procedures and other methods;
3. *Detect* current status of early intervention and special education at the state, AEA and local level
4. *Inspect* detected risk at an intensity level commensurate with findings; and
5. *Correct* identified noncompliance and implement evidence-based practices matched to identified needs.



Focused Monitoring

As part of the state's general supervision system of IDEA, focused monitoring activities and processes are designed to dig deeper into concerns at the Area Education Agency (AEA) or Local Education Agency (LEA) level. Focused monitoring may occur when the Department identifies a need to investigate a pattern of noncompliance, poor performance on specific priority areas, or concerns identified through a triangulation of data. Focused monitoring occurs to determine the specific reasons for noncompliance and what corrective action may be necessary.

Triggers

Triggers are substantiated data elements that prompt the Department to initiate focused monitoring. They can come from multiple sources and may occur within or outside of a regularly scheduled review process. Examples include:

- Data Review
 - When annually reviewing data elements, the Department may identify data that need to be further investigated to determine if there is individual or systemic noncompliance.
 - Examples of data sources: SPP/APR, Implementation Support Rubric, ACHIEVE reports, etc.
- Credible Allegations
 - When Department staff are made aware of a concern regarding an IDEA policy, procedure, practice, or other requirement that raises one or more potential implementation or compliance issues, staff determine if the concern is a credible allegation and may conduct focused monitoring.
- Dispute Resolution
 - A preponderance of disputes or a systemic concern from a specific LEA or AEA may lead to focused monitoring.

Actions & Methods

1. Data and Documentation Review
 - The focused monitoring team reviews initial relevant data and documentation that is available to the Department. The data reviewed is chosen based on the area(s) of concern and whether the concern is believed to be individual and/or systemic non-compliance.
2. On-site Activities
 - Focused monitoring visits are conducted predominantly in-person, unless the LEA is a virtual school.
 - Interviews are conducted with a variety of stakeholders based on the identified concerns, and may include administrators, general education teachers, special education teachers, paraeducators, related service providers, LEA special education director, AEA special education director, AEA administrators, AEA staff, board members, staff from other agencies such as HHS or IVRS, learners, and families.
 - Observations may include building/facility tours, general education classrooms, special education classrooms, community worksites, and other environments as needed.
 - Review of additional documents/data as needed.
3. Post-Visit Activities
 - The focused monitoring team meets to discuss and analyze results of the visit. The team identifies strengths, recommendations, noncompliance citations, required corrective actions and timelines.
4. Issuance of Findings
 - The Department issues written notification of noncompliance (the final report) to the LEA/AEA, generally within three months of the State reaching a conclusion that the LEA/AEA has violated an IDEA requirement.
5. Corrective Action and Subsequent Verification

- After the LEA/AEA receives the issuance of findings, the focused monitoring team reviews evidence and verifies that individual and/or systemic noncompliance has been corrected. Subsequent verification is conducted.
6. Closing Letter
- Once all noncompliance is verified as corrected, the Department will issue a letter notifying the district that the corrective action plan is complete and the citations are closed.

Timeline*

Timeframe	Action
Weeks 1-4	Notification to agency of onsite visit Documentation and data review
Week 5	Onsite visit
Weeks 6-9	Determination of noncompliance and draft of final report
Weeks 10-11	Issuance of report, including any noncompliance and corrective action
During the year following report date	Verify completion of corrective action and subsequent verification
One year from date of report	Corrective action completed and issuance of closing letter

**Timeline may be adjusted based on extenuating circumstances; findings will be issued within three months of coming to a conclusion of noncompliance*