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SPED Supervisor's Conference Call

December 17, 2012

Monitoring and Support

Transitioning to a Desktop Monitoring Process



LEAs Identified for Cyclical Monitoring 2012-2013

- Clay
- Montgomery
- Overton
- Bledsoe
- Sequatchie
- Van Buren
- Davidson
- Lincoln
- Bradford SSD
- Humboldt City
- Lake
- Trenton SSD
- Chester
- Hardeman
- Tipton
- Clinton City
- Polk
- Bristol City
- Elizabethton City
- Hamblen County
- Kingsport City
- Loudon

IDEA Cyclical Monitoring has included

■ On-Site Monitoring

– Fiscal Management Review

- Interviews, physical inventory checks

– Procedural - Student Record Review

- Interviews, school visits



Fiscal Management Process



Fiscal Management Review

Desktop Components:

- Fiscal Monitoring / Assurance Letter
- Completed documents for review
- Monitor's review of documentation
- Phone interview / exit interview with monitor



Fiscal Management Review

Step 1:

The compliance monitor will set a date to begin monitoring. At least 3 weeks prior, the SPED supervisor will receive an email with the following attachments:

1. Fiscal Monitoring / Assurance Letter
2. Fiscal Monitoring Checklist

**Copies can also be found on WBMS site*



Fiscal Management Review

The Fiscal Monitoring / Assurance Letter has the following statements:

Assurances:

The items below reference areas to be reviewed during fiscal monitoring. By signing this document, you are attesting to your LEA's compliance with the following items:

- *The LEA submitted amendments, if necessary, as required by IDEA to their original budget.*
- *Budgets or budget amendments with items requiring prior approval were submitted prior to obligating those funds.*
- *If revisions were made that did not require amendments but did require prior approval, appropriate addenda was submitted prior to making changes. (EDGAR 80.30)*
- *No legal expenses have been paid from Federal SE funds. (OMB Circular A-87, Attachment B)*
- *Financial records and supporting documents are maintained for 3 years (or 5 years with carryover) or will be maintained until the resolution of any litigation, claim, negotiation, audit, or other action involving record.*

The fiscal monitoring / assurance letter will be signed and uploaded as a PDF to compliance monitor along with other required documents for the fiscal review.



Fiscal Management Review

The following list of referenced items is to be sent prior to the fiscal monitoring process to the assigned compliance monitor by the LEA special education supervisor.

- Signed fiscal monitoring assurance letter
- List of personnel by category and by budget (GP SPED, Part B, Preschool)
- Completed 1st page of fiscal checklist with personnel totals
- Special education school staff schedules
- How FTEs are calculated by category of positions
- Examples of completed certifications
- Examples of completed PARS (with documentation)
- LEA federal budget revenue/expenditure reports for both Part B and Preschool budgets (including any carryover budgets) from current year and most current month available
- High cost reimbursement funds—documentation of budgeted funds in GP SPED
- Equipment property records
- Last physical inventory of equipment
- Policies/procedures for each item in Section 2 with two samples of documentation of implementation
- List of private school contracts and total students for each who are receiving full educational services



Fiscal Management Review

Step 2:

The sped supervisor reviews the Fiscal Monitoring / Assurance Letter and gathers the documents for the review.

The LEA will send all required documents electronically to the compliance monitor by the scheduled date of review. *This includes a signed copy of the Fiscal Monitoring / Assurance Letter with the LEA's Director of Schools and Sped Supervisor signatures.*



Fiscal Management Review

Step 3:

After receiving the required documents and reviewing for findings, the monitor will contact the sped supervisor to schedule a phone interview. The interview will consist of a discussion utilizing the Fiscal Monitoring Checklist.



Fiscal Management Review

Step 4:

When all files are monitored the LEA will be notified of findings and given instructions for corrections.

A letter of closure will be sent when all fiscal monitoring is closed.



Procedural Monitoring

Student Record Review Process



Student Record Review

Step 1:

SPED supervisors will receive an email that will contain information for the Web – Based Monitoring System.

Students will be uploaded to this system approximately two to three weeks prior to the begin date for record review.



Web Based Monitoring System

<https://tn-wbms.org/wbms/>



Department of Education
Division of Special Education

Compliance Monitoring for Special Education

[TN DOE Home](#)

Welcome to the Web-Based Compliance Monitoring System



Login

*Login Name

*Password (Case Sensitive)

Login

Cancel

[I forgot my Login Name/Password](#)



Student Record Review

Step 2:

After receiving the list of students, the next step is for the LEA to include uploading student documents via Paperclip on EasyIEP.

SPED supervisors will have the ability to turn this function on at the student level.



Student Record Review: Paperclip

To upload documents for a student:

Go to Documents tab, then scroll down to the top of generated documents.

Click on

Upload External Document(s)

At the screen prompt:

- Click on browse
- Choose the document to upload
- Rename or title the document accordingly
- Click on Upload Files

Permitted file extensions are: **PDF, DOC, XLS, TXT, RTF, PPT, TIF, JPG, PNG, XLSX, PPTX, and DOCX**
No file may be greater than **2.00 MB** in size.

File	Name (if not provided the file name will be used)
<input type="text"/> <input type="button" value="Browse..."/>	<input type="text"/>
<input type="text"/> <input type="button" value="Browse..."/>	<input type="text"/>
<input type="text"/> <input type="button" value="Browse..."/>	<input type="text"/>
<input type="text"/> <input type="button" value="Browse..."/>	<input type="text"/>
<input type="text"/> <input type="button" value="Browse..."/>	<input type="text"/>



Paperclip

The uploaded document will appear in the list of generated documents.

You may want to specify that this is a Paperclip document when you title the document.

Districts may already be utilizing EasyFax. If so, the documents are barcoded and will have a corresponding title.



Student Record Review : Required Documents

Eligibility Report
Eligibility / Assessment Packet (supporting documentation for eligibility)
Parent Input – Questionnaire (may be in assessment packet)
Prior Written Notice (Initial Evaluation)
Parent Notice and consent for Initial
Initial IEP Signature Page
Prior Written Notice for Initial Placement
Reevaluation Summary Pages Sections I-V *if applicable
Prior Written Notice for Reevaluation
Invitation to Meeting of Parent
TCAP Alt (Signature Page)
MAAS (Signature Page)
Homebound Documentation *30 Day Placement Reviews
Current IEP Signature Page
Student Invitation to Meeting (*if applicable)
Parental Consent for Transition Agencies
Informed Parent Consent (Signature Page)
FBA or BIP as necessary



Student Record Review

Step 3:

Using the Student Record Review Protocol on WBMS, monitors will review the students file through generated documents on EasyIEP, as well as, the external documents that have been uploaded using Paperclip.

Student Record Review

Step 4:

WBMS will send emails to the special education supervisor updates during the review process concerning findings and review status.

If the review results in no findings of noncompliance, the LEA's monitoring is closed.

After the review, If findings are present, the LEA will begin individual student corrections and conduct district level training as needed.



Student Record Review

1st Prong:

After corrections have been made by the school district, the DSE Compliance Consultant verifies the following:

- Corrective actions addressing individual (ICAs) and district (DCAs) noncompliance
- The district provides evidence of corrective actions for findings of noncompliance.



Student Record Review

2nd Prong:

When the monitor verify noncompliance corrections, he/she will request review files updated in areas of noncompliance since the District's Training. These will be viewed through EasyIEP.

- Prong 2 file verifications continue until the district is 100% Compliant—after which the cyclical on-site records monitoring is officially closed.
- All corrections will be verified by the Office of Special Education as soon as possible but, by law, must be made no later than 365 days from the district's *Date of Notification*.



Student Record Review

2nd Prong:

When the monitor verify noncompliance corrections, he/she will request review files updated in areas of noncompliance since the District's Training. These will be viewed through EasyIEP.

- Prong 2 file verifications continue until the district is 100% Compliant—after which the cyclical on-site records monitoring is officially closed.
- All corrections will be verified by the Office of Special Education as soon as possible but, by law, must be made no later than 365 days from the district's *Date of Notification*.



Student Record Review

Letter of Closure:

The Office of Special Education will send the IDEA Part B Monitoring Closure Letter to the district within thirty (30) days after verification of all corrections.



Future of IDEA Monitoring



Section 616 of the 2004 amendments to IDEA states “The primary focus of Federal and State monitoring activities described in paragraph (1) shall be on –

(A) improving educational results and functional outcomes for all children with disabilities

(B) ensuring that States meet the program requirements under this part, with a particular emphasis on those requirements that are most closely related to improving educational results for children with disabilities



Monitoring and Support

Performance Based Monitoring

- Based on district assessment data
- Monitoring will include developing plans for improvement
- Technical assistance given to support plans



Monitoring and Support

Procedural / Compliance Monitoring Student Record Reviews

- LEAs will no longer be on a cycle
- LEA may be chosen based on:
 - Administrative complaints
 - Random reviews



Monitoring and Support

Fiscal Management Review

- LEAs will no longer be on a cycle
- Districts chosen based on previous findings or at-risk determinations



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