On-Site Programmatic Monitoring

The on-site monitoring process includes:
- PEA locating [documents to be used for the monitoring activities](#) online.
- PSM specialist to contact PEA with additional guidance and discuss agenda.
    - Discuss PEA-contracted work hours
    - The PEA and the PSM specialist will review and finalize the agenda for the on-site programmatic monitoring prior to the start of the on-site programmatic monitoring.
- PEA selects a team to participate in the monitoring activities. The maximum number of PEA team participants will be provided by the PSM specialist and will be based on the PSM team size available.
- PEA will provide a secure room, **with wi-fi access**, large enough for the on-site monitoring team to conduct the programmatic monitoring activities.
- PEA will utilize the Monitoring Selection Matrix and the Student File List to ensure student file representativeness. PEA will submit the Student File List to the PSM specialist at a designated time prior to the monitoring.
- PEA and PSM teams complete a review of PEA documentation to include a representative selection of student files, policies, and procedures, child find processes, etc.
    - Student files must be printed as hard copies for security reasons, for the ability to establish trends, and to ensure a collaborative training opportunity. Reviewing files within software programs is a liability for both ADE/ESS and the PEA.
    - Student File List should be available at the time of the monitoring to track files reviewed.
    - PEA will need to ensure access to original source documentation for home language such as Home Language Survey (HLS).
    - PEA will need to ensure access to original source documentation for any qualified professional requirements associated with specific student files.
    - PEA will need to ensure that all PEA team members have access to the current copy of the [Guide Steps](#).
    - A current copy of the SPED 72 report should be available to all PEA team members, either electronic or hard copy.
    - Access to current progress reports should be available to all team members.
    - The PEA and PSM teams will complete classroom observations.
- PEA and PSM team collect data for Indicators 11 (Child Find—Initial Evaluations), 12 (Part C to Part B Transition/Preschool Transition), and 13 (Secondary Transition).
- PSM team inputs data and generates a draft Summary of Findings (SOF).
- PEA and PSM team review the draft SOF report.
- PEA and PSM teams determine the PEA's overall implementation of systems (End of Section Calls) in the areas of Child Find, Evaluation/Reevaluation, Individualized Education Program, and Procedural Safeguards/Parental Participation.

The PEA and PSM teams develop a Corrective Action Plan (CAP), as applicable.

- The PEA and PSM specialist will schedule multiple follow-up visits/desk reviews (minimum of 3) during the corrective action year.
- PSM sends written notification of findings (WNOF) no later than 30 days from the completion of the Summary of Findings discussion.
- The PEA has one calendar year from the WNOF to correct all individual instances of noncompliance. The PSM specialist verifies correction in accordance with the OSEP QA 23-01.
- The PSM specialist reviews a representative selection of subsequent files to ensure systemic correction and sustainability over the course of the corrective action year in accordance with OSEP QA 23-01.

➢ The PSM specialist will review documents to evidence the completion of CAP activities. In order to evidence CAP activities the PEA may be required to produce evidence of training(s) provided, training materials, agendas, etc.

➢ The PEA completes the Supplemental CAP activities (compliance-related outcome focus areas rubrics and action plans) as determined by the outcome of the documentation review. Supplemental CAP activities apply to Indicators 11, 12, and 13.

➢ The PEA submits a completed and/or updated outcome focus area action plan. Updated/complete outcome focus area action planthe should include activities completed through the course of the corrective action year.

Instructions for On-Site Calls and Summary Documentation

IDEA § 300.149, IDEA §§ 300.600–602, A.A.C. § 7-2-401, OSEP QA 23-01

For all on-site file review forms and worksheets, the PEA and PSM team will use the calls of "**I**" for **In Compliance**, "**O**" for **Out of Compliance**, and "**U**" for those items that are **Unreported** or do not apply. See Student Form Explained for additional information on how to complete the student form.

The steps for developing the final reports are listed below:
A compliance call is made for each line item reviewed using the Guide Steps. Enter an *I, O,* or *U* on the corresponding line for each item on the form.

1. Once the forms and worksheets have been completed, the data is entered into the ADE/ESS monitoring application by PSM specialists. The application automatically calculates the compliance level of each line item by summarizing the data that was collected from all sources and transfers the data into the draft Summary of Findings (SOF).

2. Together, the PEA and PSM team members review each of the four sections (Child Find, Evaluation/Reevaluation, IEP, and Procedural Safeguards/Parental Participation) in the draft Summary of Findings (SOF) report.

3. Based on the review of all data, the team determines the overall implementation of systems of the PEA for each of the four sections. There are four options for each section: Substantial Evidence of Effective Systems, Inconsistent Evidence of Effective Systems, Minimal Evidence of Effective Systems, or No Evidence of Effective Systems. (See End of Section Calls for additional information)

4. The PEA and PSM teams reach an agreement on the areas of PEA strengths and concerns based on all data gathered. The strengths and concerns related to the special education program will be documented in the Written Notification of Findings (WNOF) letter sent to the PEA after the programmatic monitoring. The level of performance for the four sections in the draft SOF will also be noted in this letter.

5. The ADE/ESS monitoring application will generate a Corrective Action Plan (CAP) framework, where applicable. The PEA team, in collaboration with the PSM specialist, will develop a CAP that is unique to the PEA and that clearly outlines the activities and requirements necessary for the correction of noncompliance and the attainment of sustainability of systems. Discussion for the CAP should clearly identify the systemic root cause leading to the noncompliance, solutions for the PEA to correct the systems issue(s) that led to the noncompliance, and internal verification that the PEA can implement to ensure the sustainability of systems.

On-Site Programmatic Monitoring File Selection

ADE/ESS will use a statistical calculator to determine the total number of student files to be selected. This total number will then be used in a representativeness tool to ensure a representative selection of student files.

Note: Total files reviewed may increase based on the number of eligible students/representativeness. File selection should include students who have been exited from special education and/or students initially evaluated and found to be not eligible.

Select representative student files based on the PEA student population. **This selection should include the following, as applicable:**

- Each school site, when possible
- Initial evaluations (Indicator 11)
- All disability categories
- All service delivery models within the PEA
- English learners (ELs)
- Students who are 16 years of age or older (Indicator 13)
- Students in dropout recovery programs
- Out-of-district placements (private day school and residential placement)
- Students phased out of special education services
- Students who have been suspended, have been expelled, or have moved to an IAES for longer than 10 days
- Students initially evaluated and found to be not eligible (Indicator 11)
- Preschool students, including those referred from early intervention (Indicator 12)

For transportation-only districts, additional documentation can be found online.

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