

An on-site compliance review is a comprehensive review of all special education and related services provided by the Local Educational Agency (LEA). This review will include a review of student records, a review of administrative records, staff interviews, parent interviews, tracking of students, and other activities based on identified need. This type of monitoring also consists of a financial component which includes a review of the LEAs Part II Finance Application and any expenditure reports (claims) submitted by the LEA for appropriateness under Part B of Individuals with Disabilities Education Act (IDEA). In addition, documentation of LEA requirements for children with disabilities enrolled by their parents in private schools will also be reviewed if any non-profit private schools are located in the district.

Pre-Monitoring Activities

- 1) The OSDE-SES will call the LEA to assure that the selected LEA is in session on the date of the scheduled on-site monitoring visit.
- 2) Mail to the Superintendent and CC: Special Education Director of the LEA the following documents two weeks prior to the on-site monitoring visit:

Notification Letter

Administrative Records Checklist

The Administrative Records Checklist should be completed prior to the visit. OSDE-SES staff will extend a personal telephone call to the LEA on the day in which the letter and packet is to be mailed announcing the visit. At that time, the OSDE-SES staff will notify the LEA of the visit, provide the details regarding the visit, and answer any questions the LEA may have about the visit. Items to mention during the call are as follows:

- Times
- Date(s)
- Number of people on the monitoring team
- Work area
- Introduction Meeting/ Closing Meeting
- Discuss procedures to be conducted on-site:
 - Parent Interviews
 - Personnel Interviews
 - Administrator Interviews
 - Student Tracking
 - Student File Reviews
 - Administrative Records Reviews
 - Review of Part B Financial Records
 - Review of Private School Documentation, if necessary
 - Possible need for LEA staff to assist the Oklahoma State Department of Education, Special Education Services (OSDE-SES) with directions, to pull files, etc.

- 3) Develop an on-site monitoring plan and identify specific student files to review, this must include at least 5% of the total number of Child Count if possible, or at least five files. The OSDE-SES will review information on the LEA for Written Formal Complaints filed and/or other concerns received by the OSDE.

- 4) Review the Part II Finance Application and any expenditure reports (claims) submitted by the LEA. For all expenses claimed that do not include salaries, benefits or contracted services a member of the monitoring team will request copies of invoices/purchase orders from the LEA. The OSDE-SES will review the invoices/purchase orders from the LEA for appropriateness under IDEA. If found to be in noncompliance, the LEA will receive a citation on the LEA monitoring report and further action may be required.
- 5) Give travel information to the member(s) of the monitoring team so that they may correctly address it on their itineraries. Provide the following information:
 - Departure time
 - Driving arrangements
 - Hotel arrangements
 - Any other arrangements regarding travel plans
- 6) Organize and obtain all needed forms and documents to be used during the on-site monitoring visit. This may consist of, but is not limited to:
 - Personnel/Administrator/Teacher Surveys
 - Student Tracking Sheets
 - Student File Checklists
 - Financial Monitoring Checklist
 - Parent Contact Sheet
 - Parent Letters to leave with LEA
 - File Authentication Statement

On-Site

- 1) Arrive at an agreed upon time the first day of the scheduled visit.
- 2) At the initial meeting, introduce the team members and discuss the plans for the day with the LEA and arrange a tentative time for an exit meeting with the Superintendent.
- 3) Set up the work area. Make assignments of who will be tracking which students in order to do file reviews. Explain the monitoring plan for the day. Determine if the students to be tracked are present. Obtain information on the student's schedule for tracking purposes.
- 4) Review student files, track students, interview LEA staff, and keep a list of the students' parents. ***The "Parent Letter" is to be mailed to parents of students whose records were reviewed. Each coordinator should have a personalized copy of this letter which contains their contact information.**
- 5) Obtain administrative records as requested on the *Administrative Records Checklist* sent prior to the on-site visit.
- 6) Discuss topics for the exit meeting with the monitoring team members. Identify strengths, concerns, and technical assistance to be provided.

- 7) Hold a brief exit meeting with the monitoring team, Superintendent and additional staff as requested by the Superintendent. Explain that this discussion is only a precursor to the final report, which will include more detail. Explain that the report will be mailed to them within 15 days of the date of the on-site visit.

Following the On-Site

- 1) Obtain student file checklists from each monitoring team member. There should be two copies of the student checklist; one copy for the LEA's permanent folder, and one copy to be mailed to the LEA.
- 2) Develop a *Citation List* from documentation obtained while on-site and through interviews.
- 3) Conduct parent interviews, asking ALL questions on the Parent Interview form. Efforts to contact and interview parents must be documented. After three efforts are documented, due diligence has been fulfilled.
- 4) Develop the report and include any recommended or required actions. Required actions may include the development of an improvement plan or corrective action plan.
- 5) After approval from the Assistant State Superintendent, the OSDE-SES staff will mail the original copy of the report, cover letter (from the Lead Coordinator), citation sheets, and student file checklists to the Superintendent of the LEA. The Special Education Director/Contact and the Regional Accreditation Officer (RAO) will receive copies of the report and cover letter. The mailings to the Special Education Director/Contact and RAO will occur on the same date of the mailing for the Superintendent.
- 6) Keep a copy of the LEAs final report and citation list in a working folder. (All original forms should be kept in the permanent file. All original documents should be kept in the permanent folder.) If documentation is needed in the working folder this should be "copies" of original documentation only.