

# OSEP MONTHLY TECHNICAL ASSISTANCE CALL

**2021 PROTOCOL TEMPLATE & ENGAGE OSEP SITE**

MAY 27, 2021

# Agenda

- ▶ Welcome & OSEP Director Update
- ▶ Allocation Updates
- ▶ Protocol Template
  - Overview
  - Suggested Documents to review
  - Overarching Questions
    - General Information
    - Possible Follow-up Questions
    - Areas (or Issues) of Concern
- ▶ Engage OSEP Site
- ▶ Questions



# Allocations Update

## ► Finalization of Allocations

- Revised Allocation tables for Parts B and C will be sent out in the next few days.
- Allocations tables will include total amounts for both IDEA FFY 2021 funds and ARP/ IDEA funds and separate columns for regular FFY 2021 IDEA and ARP Act/IDEA funds for each State.
  - Part C Programs will see a slight increase in the FFY 2021 regular formula grant column and a slight decrease in the ARP IDEA funds due to shifts made for the amount reserved for the State Incentive Grant/Extended Option. The overall total combined amount each State receives will be the same.
- American Rescue Plan (ARP) Act/IDEA funds will go out under separate GAN, and there will be a different CFDA alpha

# Part C Allocations

- ▶ Because the ARP/IDEA funds will be on a separate GAN and shifts in the formula grant amounts, **all Part C States will need to submit to OSERS.CAPP@ed.gov:**
  - **A revised Section III (Use of Funds) for the FFY 2021 IDEA funds**
  - **An additional Section III (Use of Funds) for the ARP Act/IDEA funds**
- ▶ States **do not** need to obtain a new signature for revised Section III.
- ▶ States that are applying for the State Incentive Grant (SIG) for the Extended Part C Option should work with their State Leads on any additional Section III requirements
- ▶ OSEP will send an email to Part C States next week with instructions regarding the revised Section III forms. **Do not resend forms until you receive the revised allocations.**

# Part B Allocations

- ▶ ARP Act **does not** increase the amount of funds Part B States may reserve for State level activities.
- ▶ Part B States **do not** need to send in a revised Interactive Spreadsheet

# Period of Availability

- ▶ ARP/IDEA funds will have same Period of Availability as regular IDEA FFY 2021 funds:
  - All funds must be obligated by September 30, 2023.
- ▶ Under Uniform Guidance, liquidation period is now 120 days, instead of 90 days for States after obligation period ends.
  - All funds must be liquidated by January 28, 2024
- ▶ FFY 2019 IDEA funds must be obligated by September 30, 2021
  - Cares Act flexibility allowing waivers for SEAs for FFY 2018 IDEA funds, does not apply to FFY 2019 IDEA funds.

# PROTOCOL TEMPLATES



# 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.



# Overview (1)

- ▶ The State educational agency (SEA) is responsible for implementing Part B of the IDEA and the State lead agency (SLA) is responsible for implementing Part C of the IDEA in the State.
- ▶ Both the SEA and SLA respectively must exercise general supervision over the programs and activities used to implement IDEA requirements in the State (regardless of whether Federal IDEA funds are provided to such programs and activities). [20 U.S.C. Sections 1416\(a\)\(3\), 1435\(a\)\(10\), 1437\(a\)\(1\) and 1442](#) and [34 C.F.R. §§ 303.120\(a\) and 303.700\(b\)](#) for IDEA Part C. [20 U.S.C. Sections 1412\(a\)\(11\) and 1416\(a\)\(3\)](#) and [34 C.F.R. §§ 300.149 and 300.600](#) for IDEA Part B.



# Overview (2)

- ▶ OSEP's monitoring protocols identify a framework of applicable IDEA statutory and regulatory requirements.
  - They are neither intended as questionnaires nor as forms for States to complete.
  - OSEP's monitoring is based on State-specific circumstances
  - Conversations will be guided by the information provided by the State and information that is publicly available
  - OSEP will use the information it gathers to determine how States are implementing IDEA requirements and where there may be a need for additional technical assistance or other support

# Monitoring Phases

- ▶ **Year I: Pre-site work:** In the year prior to the scheduled monitoring visit, the OSEP State Lead, in consultation with team members, will begin working with the State to prepare for the visit. This will include:
  - OSEP completion of component-specific protocols (each component is one of the eight puzzle pieces of DMS 2.0 monitoring);
  - Review of publicly available information by the State Lead; and
  - Targeted interviews with State staff on the protocols.
- ▶ **Year II: On-Site/Virtual work:** Based on information collected during the pre-site work OSEP will develop an agenda for the on-site visit focusing on the issues that require further exploration, deeper looks or additional discussions.
- ▶ **Year III: Follow-up:** In the year following the on-site visit, the OSEP State Lead will work with the State to ensure correction of any remaining outstanding findings, provide technical assistance and support, and discuss progress in improving identified results areas.

# Suggested Documents to Review

- ▶ This section will include documents that will assist OSEP in completing our protocols, 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

# Overarching Question

- ▶ Each protocol will include information about the overarching question we are seeking to understand at the top of the protocol and include the [DMS 2.0 Framework Definition](#)
- ▶ **Question:** Overarching area and question related to the monitoring component.

# General Information

- ▶ **General Information:** A listing of statements about what the State would need to effectively answer the question.
- ▶ This section will include links to the pertinent regulations and will outline general expectations and information within a particular component area.

# Possible Follow-up Questions

- ▶ **Possible Follow-up Questions:** Questions designed to more closely examine areas addressed by the General Information. The questions included in this section will be examples of what may be asked; OSEP may ask additional questions that are not listed to ensure understanding of a particular component.

# Areas (or Issues) for Follow-up

## ► Areas (or issues) for Follow-up:

- Issues which could:
  - 1) result in findings of noncompliance if verified, or areas of concern that may not rise to the level of a finding of noncompliance but require follow-up;
  - 2) lead to a finding of noncompliance if the State does not have a process or procedure to meet the Basic Requirement; or
  - 3) be areas that suggest the need for technical assistance or further discussion.



# Stakeholder Engagement/Feedback

- ▶ The TA Centers (DaSY, ECTA, IDC and NCSI) planned several virtual opportunities for invited Part B SEA Directors, Part C Coordinators, and State staff to gather input on two draft protocols for DMS 2.0: Integrated Monitoring and Sustaining Compliance and Improvement.
- ▶ IDC and NCSI from Part B SEA Directors and staff at three focus sessions held on April 23, April 29, and April 30, 2021. All States were invited to participate and representatives from 40 states attended meetings, inclusive of State directors of special education and staff.
- ▶ ECTA and DaSY Part C focus groups were held during previously scheduled TA convenings. Sessions were conducted on April 23, 2021, with States participating in the DMS Cohort 1 monthly call and on April 30, 2021 with States participating in a Working Series on monitoring systems
- ▶ OSEP anticipates working with the TA Centers to offer future opportunities to provide input on additional protocols.



# Engage OSEP Site

- ▶ <https://osepideasthatwork.org/resources-grantees/program-areas/monitoring-and-state-improvement-planning-msip>



OSEP National TA Calls  
and Related Resources



Information and  
Resources for Grantees



Engage OSEP Site  
Information



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