

## **CHAPTER 2: GENERAL SUPERVISION**

REVISION DATES: 07/01/2021, 12/14/2018

EFFECTIVE DATES: 04/01/2022, 07/01/2019

INTENDED USER(S): All ADES/AzEIP personnel, AzEIP Service Providing Agencies including all employees, contractors, subcontractors, and volunteers.

REFERENCES/AUTHORITY: 20 U.S.C. §1435(a)(10)(A); 34 C.F.R. §§303.11, 12, 120, 700, 704, 720 and 721, 20 U.S.C. §1416; 34 C.F.R. §§303.701 and 702, 20 U.S.C. §1431, et seq.; 34 C.F.R. §303.301, 20 U.S.C. §§1415(e); 1435(a); 1436(e); 1439; and 34 C.F.R. §303.430, 20 U.S.C. § 1435(a)(14); 34 C.F.R. §§ 303.124, 720 -724, 20 U.S.C. §§1416, 1417, 1418, and 1442; 34 C.F.R. §§303.700(a) (4) and 303.702, 20 U.S.C. §§1416, 1417, 1418, and 1442; 34 C.F.R. §303.700, 20 U.S.C. §§ 1416(a); 1435(a) (10) (A); and 1442; 34 C.F.R. §303.700, 20 U.S.C. §1434(a) (10) (A); 34 CFR §303.118; 34 C.F.R. §501, 20 U.S.C. §§1416(a) (1)(C), 1435(a)(10), and 1442, 20 U.S.C. §§1432, 1435, 1437 – 1438, and 1440 – 1441; 34 C.F.R.303.500

### **2.1 Integrated Monitoring Activities (IMA)**

- 2.1.1 ADES/AzEIP reviews and verifies each EIP's data annually. This data includes but is not limited to:
  - A. self-report data from a specified period
  - B. electronic data from a specified period
  - C. Child and Family Outcome data
  - D. dispute resolution.
- 2.1.2 In preparation for monitoring of electronic data, ADES/AzEIP runs preliminary data reports and provides the results to the EIPs.
- 2.1.3 EIPs have the opportunity to ensure their data are complete and correct.
- 2.1.4 ADES/AzEIP runs a final report for the purpose of monitoring to identify noncompliance.
- 2.1.5 ADES/AzEIP selects EIPs annually for a self-report cycle. The self-report cycle is based on multiple factors, including:
  - A. when the EIP was last monitored
  - B. most recent review of electronic data and dispute resolution data
  - C. correction of noncompliance; geographic location
  - D. program size to ensure each area of the state and varying program sizes are included.
- 2.1.6 EIPs complete self-reports on a three-year cycle, or more frequently, if required by ADES/AzEIP.
- 2.1.7 ADES/AzEIP confirms receipt of all required self-report documentation and notifies programs of the files selected for verification.

- 2.1.8 EIPs must submit data for verification to ADES/AzEIP within the requested timeline.
- 2.1.9 ADES/AzEIP reviews and verifies data submitted by EIP for timeliness, completeness, and accuracy.
- 2.1.10 Based on review and analysis of all data sources, ADES/AzEIP issues written notification to each EIP of findings, required corrective action, whether the EIP was selected for an onsite visit, and the EIP's local determination.
- 2.1.11 Selection of EIPs for onsite visits is based on multiple factors including, but not limited to:
- A. the extent and level of the EIP's programmatic and fiscal compliance and noncompliance
  - B. program practices
  - C. date of the last onsite visit
  - D. local determinations.
- 2.1.12 Each EIP receives an onsite visit on a three-year cycle.
- 2.1.13 The focus of the onsite visit is to review existing data and gather additional data needed to determine the root cause(s) of the noncompliance and appropriate strategies to correct the noncompliance.
- 2.1.14 Based on the extent and level of the EIP's noncompliance and the identified root causes, each EIP is required to implement corrective actions to ensure correction of noncompliance as soon as possible, but no later than one (1) year from the date of the written notification issued by ADES/AzEIP.
- 2.1.15 Corrective Action Plans (CAPs) must include benchmarks, appropriate activities, and timelines to address the root cause(s) of the noncompliance. All CAPs must be approved by ADES/AzEIP.
- 2.1.16 EIPs must submit documentation of child-specific correction and subsequent correction for each area of noncompliance.
- 2.1.17 EIPs must review all data to identify strengths and areas in need of improvement and internal preventative action planning.
- 2.1.18 The following data sources must be periodically reviewed and analyzed:
- A. child specific data from the ADES data system(s)
  - B. family complaints or grievances
  - C. program performance relative to State Performance Plan (SPP)/APR indicators
  - D. CAPs.