

Tier 3 Preschool IDEA Monitoring Process Guide



Preschool
Special Education

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Department of
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TABLE OF CONTENTS

Introduction	3
Risk Assessment Description	6
State Support Team (SST) Involvement.....	6
Free Appropriate Public Education (FAPE) Violations	6
Sanctions	7
Document Uploads/Sharing Documents	7
Tier 3 Process Overview	7
Tier 3 Closure Process	14
Moving Forward with Continuous Improvement.....	14
Glossary	18
APPENDIX 1: Instructions For Uploading Documents to FileDrop	19
APPENDIX 2: Tier 3 PS Verification of Parent Notice.....	24
APPENDIX 3: Perception Surveys.....	26
Parent Survey.....	27
Staff Survey	29
Administrator Survey.....	31
Community Partner Survey	33
Contracted Agency Staff Survey.....	34
APPENDIX 4: PS IDEA Monitoring Questions	36
Section 1: Questions For District.....	38
Section 2: Questions for District When Contracting for Services.....	60
APPENDIX 5: Optional - Tier 3 PS IDEA Monitoring Questions Response Form	73
Section 1: Questions for District.....	75
Section 2: Questions for District When Contracting Services	85
APPENDIX 6: Tier 3 Improvement Plan Template.....	94
APPENDIX 7: PS Record Review Guide.....	97
APPENDIX 8: PS Record Review Comment Form	121

Tier 3 Preschool IDEA Monitoring Process Guide

Introduction

The Individuals with Disabilities Education Act (IDEA) requires all educational agencies that accept federal funding to maintain compliance with the provisions in the law. The Preschool Special Education team for the state of Ohio developed a comprehensive monitoring system for implementation of IDEA for preschool special education. Preschool is not compulsory, and preschool is not included in Ohio's definition of elementary school. However, IDEA still requires children 3 through 5 years of age to be identified and served for special education, and the district of residence is responsible for ensuring all activities.

There are many ways preschool services may be, and are being, delivered. Preschool has different systems and partners (Early Intervention-Part C, Head Start, Educational Service Centers, County Boards of Developmental Disabilities, community childcare's, non-public preschools), child find and evaluation processes, least restrictive environment starting point for continuum of options and learning environments (curricula, play-based instruction) that differ from school age systems. For these reasons, the Preschool Special Education team felt the need for a monitoring process specifically for preschool. Having a preschool special education focus maximizes the potential that districts have the age-appropriate, developmentally critical practices in place to ensure positive outcomes for children with disabilities in preschool.

The intent of the Preschool (PS) IDEA Monitoring process is to support all programs serving Ohio's youngest learners where a child with a disability is attending and reduce duplication of efforts of both districts and the state of Ohio. This process will combine information already available from Preschool Licensing, Step Up to Quality (SUTQ) and Early Childhood Education (ECE) Grant monitoring and the Education Management Information System (EMIS). Preschool Special Education (PSE) staff will use information already gathered from these sources when relevant. For example, any documentation and data submitted to the state of Ohio through EMIS, Ohio Educational Directory System (OEDS), SUTQ, Ohio Child Licensing and Quality System (OCLQS), Connected Ohio Records for Educators (CORE), etc. will be collected internally and will not be requested to be submitted by the district.

Preschool is the starting point for a district’s comprehensive education system and is a critical component of the district’s continuous improvement process. Research shows that preschool leads to positive long-term impacts on education attainment as preschoolers were more likely to graduate from high school and seek post-graduation training/education. Current systems are in place to address preschool programming compliance with Ohio laws and a Quality Rating System, however there are aspects of these monitoring systems that do not reach very specific federal and state preschool special education requirements and therefore must be monitored. Workload/Caseload, Staff Qualifications/Credentials and Professional Development of staff are part of IDEA areas of review that will focus on the review of information already provided by other systems and anything additional that would not be captured in these systems specific to preschool special education. Delivery of Services/Least Restrictive Environment, Child Outcomes, Part C to Part B Transition, Evaluation Team Report (ETR)/Individualized Education Program (IEP), Preschool Special Education Policies and Procedures are also areas of compliance monitoring cited in federal and state law.

In addition to the Preschool Special Education team, the State Support Team (SST) consultants will assist districts through the PS IDEA monitoring activities at each Tier and support districts to improve outcomes for each child with a focus on leadership, team development and inclusive instructional practices in the area of preschool special education. Whether a school district operates their own preschool program or partners with outside entities for programs and services, the Preschool Special Education team is committed to assuring that school districts understand their responsibilities for providing preschool special education services and in all cases the school district of residence is responsible for making available a Free Appropriate Public Education (FAPE) in the least restrictive environment for each individual preschool age child with a disability.

Table 1 Monitoring Tiers Chart

Monitoring Tiers Chart The chart below lists activities for each of the four tiers. The Tier highlighted in blue below represents the monitoring tier assigned to the district.			
TIER 1	TIER 2	TIER 3	TIER 4
Risk Assessment	Self-Review	Desk Review	Onsite Review
State Educational Agency (SEA) Completes Data Analysis Based on Risk Assessment	District Completes PS IDEA Monitoring Questions	District Completes PS IDEA Monitoring Questions	District Completes PS IDEA Monitoring Questions
--	--	District Completes Parent Notification	District Completes Parent Notification and Posts Parent Input Opportunity
--	--	District Conducts Perception Surveys	District Conducts Perception Surveys
SEA Identifies which District will participate in Tiers 2, 3 and 4 Reviews	District Submits Acknowledgement of Completion of Self-Review to Preschool Special Education team	--	District Submits Responses, Evidence, ETR and IEP Records
--	--	--	District Participates in Onsite Activities with SEA
--	--	--	District Completes Individual ETR and IEP Record Review Process
--	--	--	District Submits Corrective Action Plan
--	--	--	District Submits Evidence of Corrective Action Plan Completion
--	--	--	District Completes Systemic ETR and IEP Record Review Process
--	--	District Develops an Improvement Plan	District Develops an Improvement Plan
--	If requested by district, SST PSE Consultant Involvement	Required SST PSE Consultant Involvement	Required SST PSE Consultant Involvement

RISK ASSESSMENT DESCRIPTION

Prior to conducting any monitoring activities with districts (including community schools), the Preschool Special Education team for the state of Ohio will conduct a risk analysis for every district and community school that receives an Individuals with Disabilities Education Act (IDEA) Part B subrecipient grant award for early childhood special education and a Special Education Profile. The purpose of the analysis is to evaluate each district's risk of noncompliance with federal statutes, regulations, state laws and state rules. This analysis will also assist the Preschool Special Education team in determining which tier of the monitoring process the district will participate in and the level of support needed from the Preschool Special Education team as well as the regional state support teams.

The measures used in the analysis will be a combination of data collected for the Special Education Profile and data collected by the state of Ohio regarding the licensing of preschool programs and the Step Up To Quality rating and improvement system, which the Ohio Department of Children and Youth administers. Additional data points will include special education complaints, fiscal related items such as the Auditor of State findings, as well as consortium participation, special education complaints and waiver requests.

The Preschool Special Education team will use a rubric to score and determine each district's (including community school's) level of risk. The points earned by the district will create an overall score and ranking as either low, medium or high risk. For low risk, a district may be required to complete the self-assessment. For medium risk, a district may be required to complete the desk review, and for high risk, the onsite review.

STATE SUPPORT TEAM (SST) INVOLVEMENT

The SST Preschool Special Education (PSE) consultant will support the district by

- Attending an initial meeting
- Providing support to the district to answer the PS IDEA monitoring questions and support to identify evidence (the SST PSE consultant may be, but is not required to be, a member of the PS Leadership Team);
- Meeting regularly with the PSE leads and and/or district;
- Assisting with the development of the Improvement Plan; and
- If there is a FAPE violation, assisting the district to meeting requirements outlined in the FAPE notification letter.

FREE APPROPRIATE PUBLIC EDUCATION (FAPE) VIOLATIONS

If, at any time during the monitoring process, the Preschool Special Education review team becomes aware of a potential FAPE violation, the review team will notify the Department leadership. If a FAPE violation is verified, the Department will notify the district immediately. The district will have 15 school days to develop a plan to correct the violation. Should a FAPE violation occur, the Department and the SST will work closely with the district on the required actions.

SANCTIONS

Failure to participate in any of the required Preschool IDEA monitoring activities as directed by the Preschool Special Education team for the state of Ohio, pursuant to its general supervisory authority under Part B of the IDEA may result in the following:

- The district's access to funds being reduced or terminated and/or
- The district's level of risk being elevated the following year as a result of not completing all required Preschool Tier 3 Monitoring activities

For more information see [Ohio's System of General Supervision](#).

DOCUMENT UPLOADS/SHARING DOCUMENTS

To protect personally identifiable information, districts must never email documents that contain personally identifiable information (PII). "Personal information" according to [Ohio law](#) means any information that describes anything about a person, indicates actions done by or to a person or indicates a person possesses certain personal characteristics and that contains and can be retrieved from a system by a name, identifying number, symbol or other identifier assigned to a person. Personally identifiable information is information that would lead an individual to identify a particular student or individual. Common types of personally identifiable information you may come across include but are not limited to: Statewide Student Identifiers (SSIDs), student names, addresses, dates of birth, Social Security numbers, disability status and other medical information. The application of [Family Educational Rights and Privacy Act](#) and [Ohio law](#) also should be considered prior to the release of such information.

Submit required documents with personally identifiable information to FileDrop ([See Appendix 1 Instructions for Uploading Documents to FileDrop](#)). Documents submitted through this site do not need to be redacted.

TIER 3 PROCESS OVERVIEW

As part of the Preschool Individuals with Disabilities Education Act (IDEA) Tier 3 Desk Review, districts will complete all required monitoring activities for Preschool IDEA review for compliance with federal and state regulations. The desk review activities are meant to focus on identifying specific preschool special education practices and examine the compliance of preschool special education program delivery. This work will identify which specific practices are having an impact and identify where advances can be made to deliver more refined services that lead to increased positive student outcomes.

The Tier 3 Desk Review process includes the following required steps:

1. Attending the Initial Meeting
2. Creating a Preschool Leadership Team
3. Completing Parent Notification
4. Conducting Perception Surveys
5. Completing PS IDEA Monitoring Questions
6. Submitting Perception Survey Analysis

7. Submitting Improvement Plan

Step 1: Attending the Initial Meeting

After the district receives notification that it has been selected, the PSE lead will communicate with the district's superintendent to schedule an initial meeting. The purpose of the initial meeting is for the PSE team to provide an overview of the Tier 3 Desk Review process and required activities and to answer any of the district's questions. It is required that the district's leadership (for example, superintendent, special education director and preschool administrator) participate in this meeting. Further, it is important that the primary administrator that works with preschool special education be in attendance.

Step 2: Creating a Preschool Leadership Team

The district must appoint a district lead. This individual is district administrative staff with authority to direct resources that affect change even if the district contracts any or all of its preschool special education programming. The district lead will maintain the responsibility as the point of contact for communication with the Preschool Special Education team for the state of Ohio. In addition, the district lead must serve on the district's PS leadership team as the district administrative staff with authority to direct resources that affect change, coordinate selection of individuals for the preschool leadership team and coordinate monitoring activities with the district's preschool leadership team.

The district lead will select individuals for the preschool leadership team. The preschool leadership team will be responsible for:

- Reviewing and discussing the PS IDEA monitoring questions and
- Making decisions about district compliance based on the criteria.

The preschool leadership team should include multiple individuals that have knowledge of the preschool program.

Required members: The following position titles may vary from district to district, and it is possible for staff to maintain multiple roles. The preschool leadership team members must fulfill the following roles:

- Preschool Special Education Supervisor (individual(s) responsible for ensuring preschool special education compliance/oversight)
- Preschool Director/Coordinator (individual(s) responsible for ensuring preschool licensing and SUTQ compliance/oversight)
- Preschool Intervention Specialist
- Preschool Related Services Provider(s)
- School Psychologist
- Data Management Staff (EMIS Coordinator)

Non-Required roles may include:

- Additional Administration (superintendent, treasurer or other central office staff, building principals and human resources representative(s))
- SST PSE Consultant
- Representative(s) from any contracted agency (if applicable) – also expanded on below

Districts may also utilize staff from contracted entities to serve on the preschool leadership team. At minimum, at least one district administrative staff with authority to direct resources that affect change must serve on the team.

Example: The district does not operate its own special education program and contracts with the Educational Service Center (ESC). The district may choose to have the ESC staff serve as members of the preschool leadership team but would need to include at least the District Preschool Special Education Supervisor who is the district lead.

In addition, districts may also need to rely on staff outside of the preschool leadership team to provide more information.

Step 3: Completing Parent Notification

It is required that parents are notified when a district is selected for PS IDEA Monitoring. The district must develop its own Parent Notification. The notification must include:

- The Tier in which the district is being monitored,
- Who the point of contact is within the district and
- How the point of contact within the district can be reached with questions or concerns

The district must *either* mail or email the Parent Notification of Review to all parents of preschool students with disabilities. Other methods can be used such as a district newsletter, social media or other forms of parent communication. The district must also post the notification and/or link on their website.

The district should send the notification out after the initial meeting has occurred. A copy of the notification along with the Verification of Parent Notice ([See Appendix 2 for Verification of Parent Notice](#)) must be submitted to the Preschool Special Education team through FileDrop within two weeks from the initial meeting.

Step 4: Conducting Perception Surveys

Perception Survey Process: The district sends out perception surveys to the appropriate groups listed below by accessing the surveys ([See Appendix 3 for Perception Surveys](#)). The district then collects and analyzes data from the perception surveys (parents, staff, administrators, associate districts, if applicable, community partners).

The district will send perception surveys to the following groups:

- **Parents:** This survey is for parents/families of preschool children with disabilities receiving special education services. Parents will help guide efforts to improve preschool services and results for children with disabilities and their families.
- **Staff Survey:** This survey is for teachers, related service providers, paraprofessionals and aides. The survey will examine compliance with federal and state laws and regulations applicable to the education of children with disabilities.
- **Administrator Survey:** This survey is for administrators of preschool children with disabilities receiving special education services. The survey examines compliance with federal and state laws and regulations applicable to the education of children with disabilities.
- **Community Partner Survey:** This survey is for entities who serve as community partners with the district to support preschool children with disabilities receiving special education services (such as community preschool programs, Head Start programs, mental health agencies).
- **Contracted Agency Staff Survey:** This survey is for entities (such as Educational Service Centers, County Boards of Developmental Disabilities, related service provider agencies, mental health agencies) who the district pays to provide contracted services to support preschool children with disabilities. Both administrators and service providers should complete the survey. This survey will help guide efforts to improve preschool services and results for children with disabilities and their families.

Perception Survey Directions:

- Districts send surveys after parent notification and early into the monitoring process as to allow for sufficient response time and time for collection and analysis by the district.
- Refer to Step 5 regarding the summary of results to be submitted to the Preschool Special Education team.

Step 5: Completing PS IDEA Monitoring Questions

The preschool leadership team will review and discuss the PS IDEA Monitoring Questions. (See [Appendix 4 for PS IDEA Monitoring Questions](#))

As part of this process, the team will review district policies, procedures, practices and documents to determine compliance with state and federal regulations based on the criteria.

The PS IDEA Monitoring Questions are divided into two sections.

Section 1: District Questions of the PS IDEA Monitoring Questions

Section 2: Questions for Districts, When Contracting for Services

The preschool leadership team will answer all Section 1: District Questions of the PS IDEA Monitoring Questions. Districts will answer the Section 1 questions only as they apply to their district operated preschool special education programs and/or district employed staff.

If the district contracts with other agencies for preschool special education services, the preschool leadership team will also need to answer Section 2: Questions for Districts, When Contracting for Services.

Example: The district operates its own preschool classrooms and contracts with the ESC to provide itinerant services. The preschool leadership team will answer the Section 1 PS Monitoring Questions for their own program and staff, then the team will answer the Section 2 PS Monitoring Questions to address the contract with the ESC for the itinerant services.

The PS IDEA Monitoring Questions are organized by the following topic areas:

- Workload/Caseload (Section 1 and 2)
- Staff Qualifications/Credentials (Section 1 and 2)
- Professional Development (Section 1 and 2)
- Delivery of Services/Least Restrictive Environment (Section 1 and 2)
- Child Outcomes (Section 1 and 2)
- Part C to Part B Transition (Section 1 only)
- Evaluation Team Report (ETR)/Individualized Education Program (IEP) (Section 1 and 2)
- Preschool Special Education Policies and Procedures (Section 1 only)
- Communication Plan (Section 2 only)

Within each topic area, each question is broken down as follows:

- *Item Number*: Unique identifier for each question
- *Regulation*: Rule and/or law that describes the requirement
- *PS Monitoring Question*: The question that needs to be answered by the district's preschool leadership team.
- *Compliant*: Lists the possible answer choices of Yes, No or Not Applicable (NA)
- *Criteria*: Lists the criteria that must be addressed in order to answer Yes, No or NA to the question.
- *Potential Sources of Documentation*: Provides examples of what evidence can be used.

The preschool leadership team may utilize the Optional - Tier 3 PS IDEA Monitoring Questions Response Form ([See Appendix 5 for the Optional – Tier 3 Questions Response Form](#)) to record their determinations of compliance and relevant notes. The district will **not** submit the optional response form or evidence documents to the Preschool Special Education team for the state of Ohio as part of the Tier 3 Desk Review process.

Step 6: Submitting Perception Survey Analysis

The district is required to submit a summary of all perception surveys (parents, staff, administrators, associate districts, if applicable, community partners) along with the Improvement Plan.

The Summary must include aggregated data.

- Data should include:
 - Number of surveys sent out and received by each group
 - Number of Agree, Disagree, Don't Know, NA for each survey item for each group
- What information did the surveys elicit for the district?

The district will upload the Perception Survey Summary to the Preschool Special Education team through FileDrop.

The district should follow the directions in the Improvement Plan section (Step 6) for how to include Perception Survey results in the Improvement Plan.

Step 7: Submitting Improvement Plan

The district is required to submit an Improvement Plan by the date provided by the PSE Team. The district will work with the SST PSE Consultant to develop the Improvement Plan. As part of the district's Continuous Improvement, the district would be expected to implement the Improvement Plan after the required Tier 3 monitoring activities have concluded.

(See Appendix 6 for the Tier 3 Improvement Plan Template).

The Improvement Plan will need to indicate how the district intends to:

- Address individual PS IDEA monitoring questions identified by the district for improvement,
- Include concerns noted in the district's summary of results from all perception surveys.
- Indicate alignment to PS SUTQ improvement plans, the district's One Plan, and/or the school's One Plan.

The areas within the Improvement Plan template that the district will complete are:

- **Topic Area of Improvement:** Enter the monitoring question topic area that will be addressed.
- **Summary of Evidence Leading to Improvement:** List the district's source(s) of evidence (such as, student records, IEP verification, perception survey(s), monitoring questions). Based on these sources of evidence, summarize the data/information to indicate the current status of the district. The information in this section should give a rationale for why the goal is necessary and provide a foundation for the planned improvement goal and activities that will address the topic area.

- Example:
 - *PS IDEA Monitoring Question ETR/IEP section, staff perception surveys, student records.*
 - *District found areas for improvement regarding staff understanding the evaluation process.*
- **Goal:** Describe the goal in measurable terms. The goal must address the Topic Area of Improvement and address the information listed in the Summary of Evidence Leading to Improvement section.
- **Activity:** Describe the activity that will be completed to achieve the goal. Indicate only one activity per box. If there is more than one activity for the goal, add a new row, and number each activity consecutively in relation to the goal. For example, the first activity for goal 1 would be 1.1, the second activity would be 1.2 and so on. For goal 2 the numbering would be 2.1, 2.2, 2.3.
- **Evidence of Completion:** List the documentation that the district will use to demonstrate that this activity was completed (for example, agendas, sign-in sheets, procedures manual).
- **Evidence of Improvement (Impact):** Describe the data or documentation that will show the district has made improvement in the targeted area.
- **Implementation Timeline:** State when each action step will begin and end. (Improvement Plan activities are not expected to be completed prior to the closure of the Tier 3 PS IDEA monitoring process.)
- **Resources Needed:** List the resources needed to accomplish the goal's activities (for example, SST personnel, educational agency administrative personnel, state approved training modules, time for teacher training or team meetings).
- **Alignment to Other District Improvement Plans**
 - **SUTQ Improvement Plans:** Describe how this PS IDEA monitoring Improvement Plan aligns with the SUTQ Improvement Plan(s).
 - **One Plan:** Describe how this PS IDEA monitoring Improvement Plan aligns with the district's and/or school's One Plan.

After the Improvement Plan has been developed, the following people need to complete the signature section:

- **Preschool District Lead:** List the required information for the person who has been designated as the district lead for the PS IDEA Monitoring process. This should be the same person who has acted as the lead on the PS Leadership Team. An electronic signature may be used.
- **Superintendent:** List the required information. An electronic signature may be used.
- **State Support Team Preschool Special Education Consultant:** The SST PSE Consultant that has been working with the district will need to complete this section. List the required information. An electronic signature may be used.

Upload Improvement Plan:

After the signature section of the Improvement Plan is completed, the district will upload the signed and completed Improvement Plan to the Preschool Special Education team through FileDrop. Please do not send a scanned copy of the document. The PSE team will use the interactive form to sign.

Upon review of the Improvement Plan by the PSE team, the PSE lead will notify the district if any revisions to the Improvement Plan are needed.

TIER 3 CLOSURE PROCESS

The assigned Preschool Special Education consultant will notify the district, via email, upon review of the Improvement Plan. The district will be sent a closure letter signifying the Tier 3 Desk-Review process has been completed. Although the process has been completed, the preschool special education team encourages the district to think how the data derived from completing the PS IDEA Monitoring Questions and supporting evidence can be used to drive continuous improvement and maximize outcomes for preschool children with disabilities.

MOVING FORWARD WITH CONTINUOUS IMPROVEMENT

During this Tier 3 desk review process, districts analyzed and determined if their preschool special education programs and services were compliant with federal and state regulations in order to improve outcomes for young children with disabilities. Answering the PS IDEA Monitoring Questions, examining other data sources and developing and implementing a plan are all part of a continuous improvement cycle. It is recommended that districts continue the preschool special education continuous improvement work that they have begun.



Use of Ohio’s five-step improvement process lays the foundation for sustainable change. Supporting implementation consists of setting up the collaborative teams and processes districts and schools need to identify, research, plan, implement and monitor, and examine their improvement efforts. It also includes the communication and engagement, decision-making and resource management that thread through the process.

The five-step improvement process includes a team working collaboratively to complete each of the steps. By completing the Tier 3 PS IDEA Monitoring process, the district has addressed steps 1 to 3.

Step 1: Data Collection and Identification of Critical Needs

Complete the PS IDEA Monitoring Questions and review data collected through desk review process. Possibly review other data sources. Identify root causes and critical needs to ensure a clear focus that informs the development of the Improvement Plan.

Step 2: Research and Select Evidence-Based Strategies

Research and select evidence-based strategies that address the prioritized, critical needs.

Step 3: Plan for Implementation

Develop an Improvement Plan that addresses the critical needs and includes specific, measurable, attainable, realistic and timely (SMART) goals and progress monitoring processes to track adult implementation and child performance. This Improvement Plan should be included within or aligned to the district's/school's One Plan and SUTQ Improvement Plan(s).

Step 4: Implement and Monitor

Implement the Improvement Plan (that is aligned with the One Plan and SUTQ Improvement Plans). Monitor plan implementation of adult practices and their impact on child outcomes.

Step 5: Examine, Reflect and Adjust

Determine if the implemented strategies from the Improvement Plan had the expected outcomes and impacts. Plan next steps making sure to align the district's/school's One Plan and SUTQ Improvement Plan(s) with any further preschool special education improvement work as necessary.

[Ohio Department of Education and Workforce, 2024]

For more information on supporting implementation through the use of the five-step Ohio Improvement Process:

- Access [Supporting Implementation](#) for more information and/or
- Contact the regional SST consultant

Tier 3 Checklist of Required Activities:

- Attend the Initial Meeting
- Appoint district lead who must be district staff.
- Create a preschool leadership team that includes at minimum all required roles.
- Send Contact Information for PS IDEA Monitoring to the Preschool Special Education team
- Send parent notification.
- Send perception surveys to groups.
- All members of the preschool leadership team meet to discuss and complete the PS IDEA Monitoring Questions using PS IDEA Monitoring Questions Response Form and collect Evidence.
- Complete and submit Perception Survey Analysis to Preschool Special Education team.
- Complete Improvement Plan and submit for approval to the Preschool Special Education team.

Optional Monitoring Activities

The following activities are not required for Tier 3 Preschool IDEA Monitoring. Districts may choose to utilize these optional activities to further analyze its preschool special education program.

- **Parent Input Process – Optional**

The district may opt to gather additional parental input regarding the district’s preschool special education services from parents/guardians of preschool students with disabilities. Methods to gather parental input may include:

1. Parent forum
2. Parent mentor workshop
3. Development of parent advisory groups

- **ETR/IEP Record Review Process – Optional**

The district may opt to use an Internal Monitoring Team, group of district staff or an individual to review a sample number of preschool records for IEP and ETR compliance. The district can use the PS Record Review Tool.

(See Appendix 7 and 8 for the PS Record Review Guide and PS Record Review Comment Form)

GLOSSARY

Below are descriptions of the terms used within the PS IDEA monitoring system.

District: School District of Residence. The child's school district of residence is responsible, in all instances, for ensuring that the requirements for making a free appropriate public education (FAPE) available are met for every eligible child in its jurisdiction, regardless of whether services are provided by another school district, other educational agency, juvenile justice facility, or other facility, agency, department, or other entity unless Chapter 3323. of the Revised Code, or a rule adopted by the state board of education specifies that another school district, other educational agency, or other agency, department or entity is responsible for ensuring compliance with Part B of IDEA. (3301-51-01(A)(2)(a)).

Community School: Community school means a public school, created in accordance with Chapter 3314. of the Revised Code. Community schools shall be considered school districts. (3301-51-01 (A)(11)).

District Lead: Is the district's point of contact for the PS IDEA monitoring process; must be a member of PS Leadership team. This individual is a district administrative staff with authority to direct resources that affect change even if the district contracts any or all of its preschool special education programming.

Evidence-Based Research: Defined in IDEA as "research that involves the application of rigorous, systematic and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs."

Finding of Noncompliance: A finding is defined as a written notification from the state to an educational agency that contains the state's conclusion that the educational agency is in noncompliance, and that includes the citation of the regulation and a description of the quantitative and/or qualitative data supporting the state's conclusion of noncompliance with the regulation.

Individual Correction: At Tier 4, indicates Record Review items which are deemed not compliant within the individual preschool student records (ETR and IEP) reviewed by PSE. The district has **60 school days** from the date of the summary report to correct all identified findings of noncompliance for individual students whose records were selected and reviewed by the Preschool Special Education team for the state of Ohio during the review unless noted otherwise in the Summary Report.

One Needs Assessment and One Plan: The One Needs Assessment and One Plan are designed to allow the district to identify all their needs in a single location to drive effective planning and funding applications. It is a systemic consolidated district planning tool for all district operations, strategically aligned to funding and resources and focused on improving outcomes for all students.

Parent: A biological or adoptive parent of a child but not a foster parent of a child. A guardian generally authorized to act as the child's parent, or authorized to make educational decisions for the child, but not the state if the child is a ward of the state. An individual acting in the place of a biological or adoptive parent, including a grandparent, stepparent, or other relative, with whom the child lives, or an individual who is legally responsible for the child's welfare. A surrogate parent who has been appointed in accordance with rule 3301-51-05 of the Administrative Code. (3301-51-01 (A) (48) (a-e)).

PS Staff: Anyone who oversees and/or works with preschool children with disabilities whether employed directly by the district or contracted through a purchased service agreement.

Root Cause: A root cause is the deepest underlying cause, or causes, of performance needs.

Service Provider: Anyone providing services directly or indirectly to a child such as: Preschool Special Education Supervisor, Preschool Intervention Specialist, Speech Language Pathologist, Occupational Therapist and/or Physical Therapist.


Systemic Correction: At Tier 4, indicates a PS IDEA Monitoring topic area that was deemed noncompliant and must be addressed in the district's Corrective Action Plan. The district must complete the activities within their Corrective Action Plan within one year from the delivery of the Summary Report.

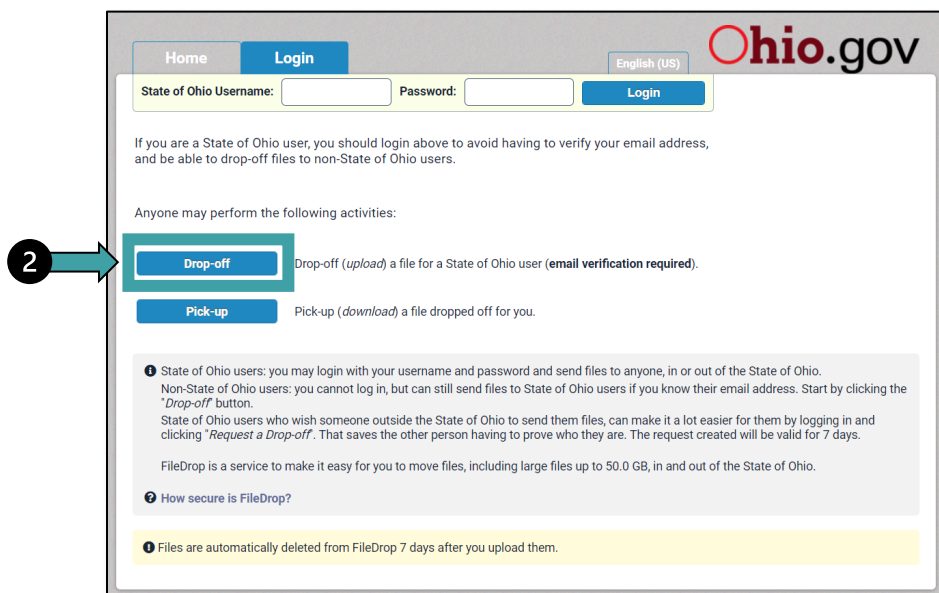


APPENDIX 1:

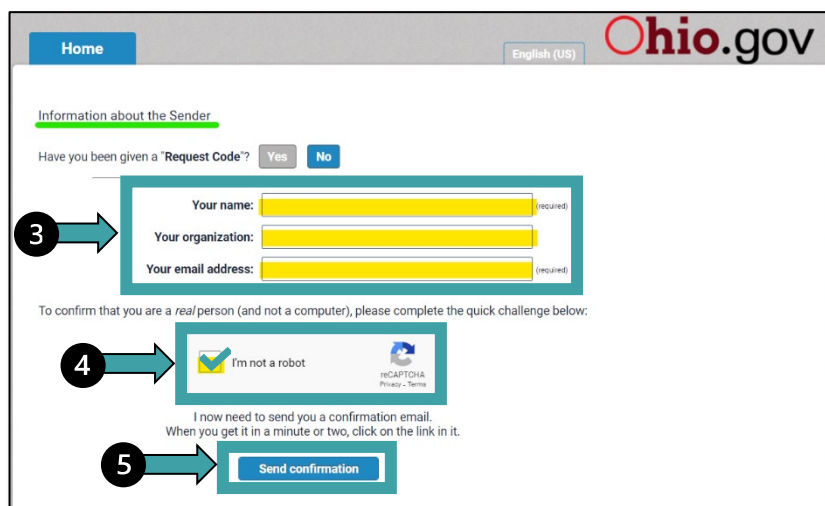
Instructions For Uploading Documents to FileDrop

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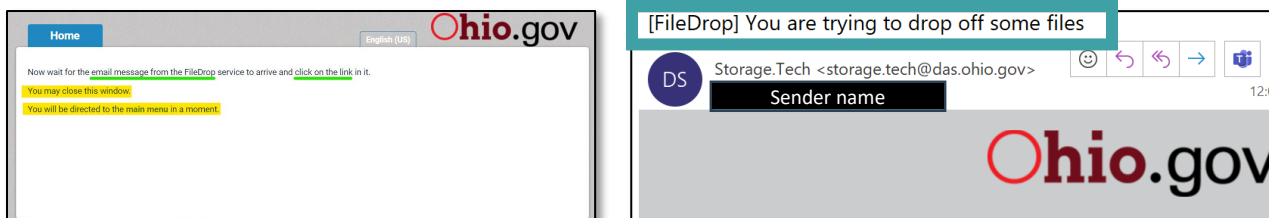
1. Visit **website:** <https://filedrop.cloudfs.ohio.gov/>
2. Click **Drop-off button**  to drop-off (upload) file(s).



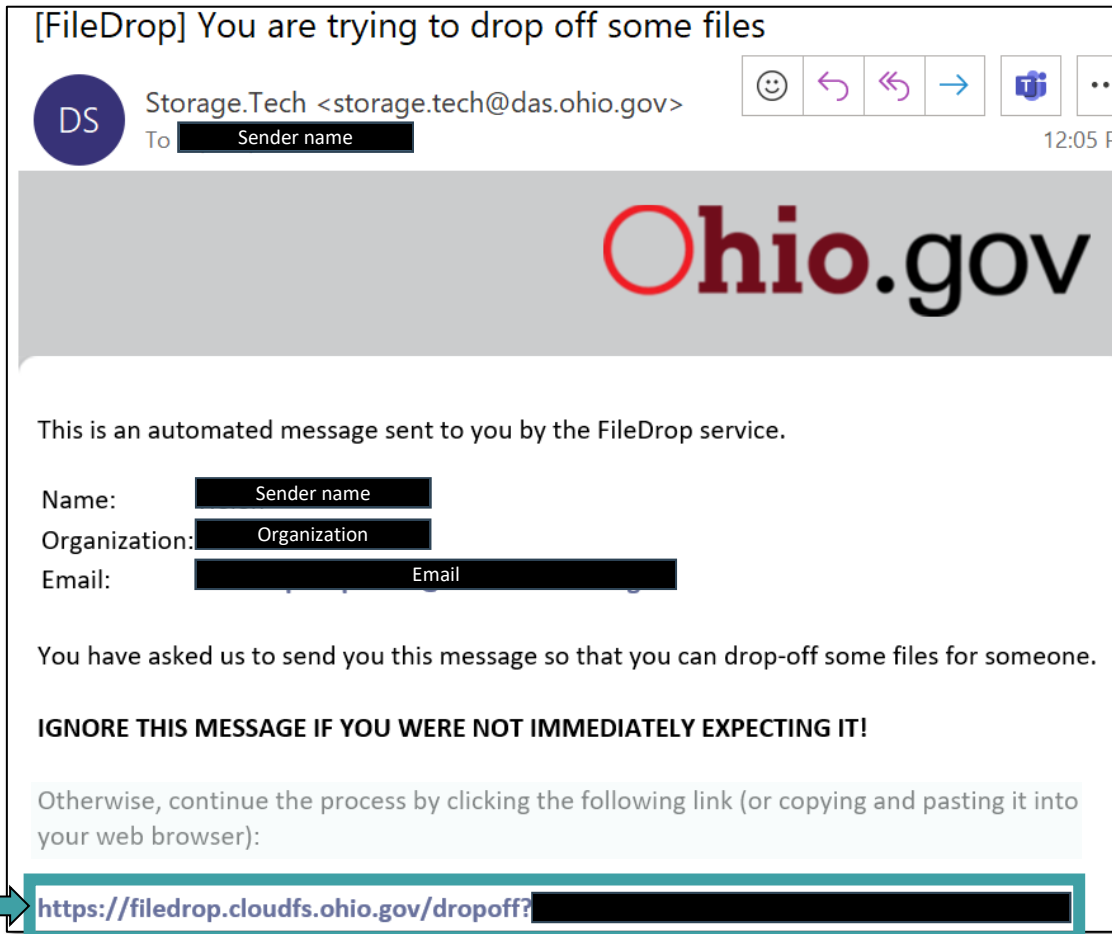
3. On the next screen, enter **sender name, organization name and email address.**
4. Check **I'm not a robot.**
5. Click **Send confirmation** .



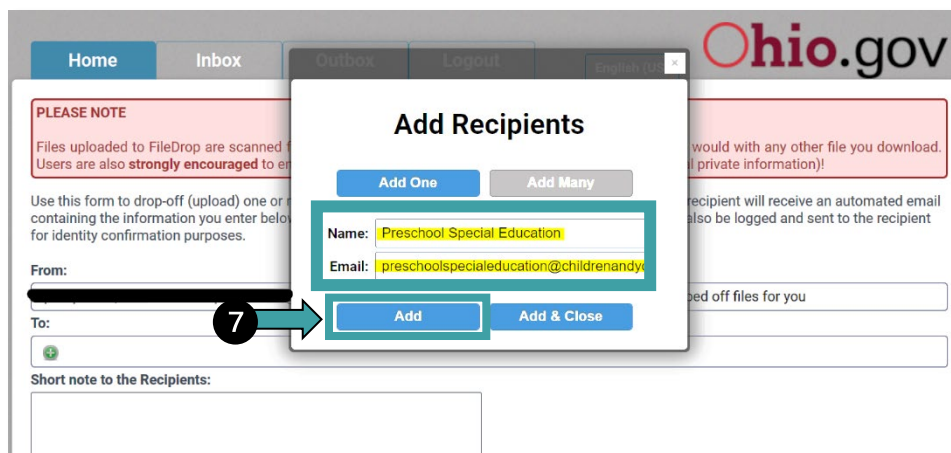
Upon clicking Send confirmation, the following message will appear and sender will receive an email from Storage.Tech@das.ohio.gov.



- The email will **include a link** that will allow sender to upload document(s) to FileDrop. **Click on the link** located at the bottom of the email.



- Fill in the text fields** with the Recipient (Preschool Special Education) information. **Click Add.**
Name: Preschool Special Education
Email: preschoolspecialeducation@childrenandyouth.ohio.gov



8. Email address will appear in To: text box. A message to the Recipients (PSE team) can be entered.
9. Click on **Click to Add Files or Drag Them Here** to begin uploading file(s).

The screenshot shows the Ohio.gov FileDrop interface. At the top, there are navigation tabs for Home, Inbox, Outbox, and Logout, along with a language selector for English (US) and the Ohio.gov logo. A red-bordered box contains a "PLEASE NOTE" about virus scanning and encryption. Below this, instructions explain the form's purpose. The "From:" field is filled with a redacted email address, and the "Subject:" field contains "has dropped off files for you". The "To:" field shows "Preschool Special Education <preschoolspecialeducation@childrenand youth.ohio.gov>". A text area for "Short note to the Recipients:" contains "Files from ABC School District". A blue button labeled "Click to Add Files or Drag Them Here" is highlighted with a green arrow and the number 9. A green arrow and the number 8 point to the "To:" field.

10. Once files are added, **click Drop-off Files**.

The screenshot shows the Ohio.gov FileDrop interface after files have been added. The "PLEASE NOTE" and instructions are the same. The "From:" and "Subject:" fields are unchanged. The "To:" field now shows "PSE <preschoolspecialeducation@childrenand youth.ohio.gov>". The "Short note to the Recipients:" text area still contains "Files from ABC School District". A blue button labeled "Click to Add Files or Drag Them Here" is present. Below it, a table lists the added files:

Filename	Size	Description
1: Student NameA.docx	11.6 KB	<input type="text"/> ✖
2: Student NameB.docx	11.6 KB	<input type="text"/> ✖
3: Student NameC.docx	11.6 KB	<input type="text"/> ✖

At the bottom, a blue button labeled "Drop-off Files" is highlighted with a green arrow and the number 10. The total size of the files is shown as "34.8 KB / 51200 MB".

- After files have been dropped off (uploaded), sender will receive a **Drop-Off Summary** listing all files sent.

Home English (US) Ohio.gov

Drop-Off Summary

Your files have been sent successfully.
They will expire in 7 days.

Filename	Size	SHA-256 Checksum	Description
Student NameA.docx	11. KB	818FAEEB35C2B3D03EA2B75C3AFADAE7 F1C4BA1608095F6DC63203C584BA7C1C	
Student NameB.docx	11. KB	B10F76B10198C2E858723EC19DE3A5BC 36E9E50E8D5AAD4F2F69585A077ABF0E	
Student NameC.docx	11. KB	067C09616187AF051A4B76CC40F252B9 AC4EAFBE37D2DA97D9EFF76A273E7B65	

3 files

From: [Redacted] m 10.86.120.65 on 2023-06-23 15:48

Comments:
Files from ABC School District

- Sender will receive a message when files have been picked up by PSE team.

[FileDrop] preschoolspcialeducation@childrenandyouth.ohio.gov has ...

DN DO NOT REPLY <do-not-reply@das.ohio.gov>
To

Ohio.gov

This is an automated message sent to you by the FileDrop service.

The drop-off you made ([Redacted]4i) has been picked-up.

The file "Student NameA.docx" was picked up by preschoolspcialeducation@childrenandyouth.ohio.gov.

Note: You will not be notified about any further pick-ups of files in this drop-off by this recipient.

Full information about the drop-off:
Claim ID: Tr9AZwoaxVqDSh4i
Date of Drop-off: 2023

APPENDIX 2:

Tier 3 PS Verification of Parent Notice

Preschool Verification of Parent Notice

1. District: _____
2. Tier being Monitored: _____
3. Number of Parent Notifications mailed/emailed: _____

Were notifications mailed/emailed to all families of preschool students with disabilities for whom the district of residence is responsible for providing FAPE?

YES

NO (If no, explain below)

Date notifications sent: _____

4. Date the Parent Notification of Review was placed on your website: _____

Provide link: _____

5. If the district used other methods to notify the public of the review, identify those methods: (For example. district newsletter, social media)

Superintendent Signature: _____ Date: _____

Completed form and copy of the notification must be submitted to the Preschool Special Education team through FileDrop within two weeks from the initial meeting.

APPENDIX 3: Perception Surveys

PARENT SURVEY

The Preschool Special Education team for the state of Ohio is conducting a review of your child’s preschool special education program. This survey is for parents/families of preschool children with disabilities receiving special education services. By filling out this survey, you will help guide efforts to improve your child’s preschool services and results for children with disabilities and their families.

For each statement below, please select one of the following response choices: Agree, Disagree, Don’t Know, or Not Applicable (NA). If Disagree is selected, please explain in the additional comments section.

	AGREE	DISAGREE	DON'T KNOW	NA
1. When I had concerns about my child’s learning, development or functioning, the school district quickly responded to my request for an evaluation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. The school worked with me to help my child make a smooth transition from Early Intervention to preschool special education.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. The district involved me in the planning of my child’s evaluation, and I was included as an active member of the evaluation team to help decide the assessments to be given.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. During the evaluation process the district shared their list of the preschool education placement options in the community.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. The district collected information from me about my child and included me throughout the evaluation process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. During the Individualized Education Program (IEP) meeting, we review my child’s needs and determine what my child requires to succeed in the general education curriculum.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. During the IEP meeting the preschool general education class was considered as the first placement option by the IEP team, which includes myself.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Reading my child’s IEP, I understand what special education services my child is receiving.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. The school keeps me informed about my child’s progress on all IEP goals.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. I have been provided information about how the school is implementing positive behavioral methods before challenging behaviors occur.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. When my child has behavioral issues, the school includes me as a partner to decide how my child will be supported.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

12. The district works with me to schedule timely IEP and evaluation or reevaluation meetings for my child, so I can participate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. My child has received all services as described in the IEP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. If my child was not provided all services as described in the IEP, I was included in a plan to address the issue.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. Overall, the special education services meet my child's needs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional Comments:

STAFF SURVEY

The Preschool Special Education team for the state of Ohio is conducting a review of your district's preschool special education program. This survey is for teachers, related service providers, paraprofessionals and aides of preschool children with disabilities receiving special education services. As part of the process, the Department examines compliance with federal and state laws and regulations applicable to the education of children with disabilities. By filling out this survey, you will help guide efforts to improve preschool services and results for children with disabilities and their families.

For each statement below, please select one of the following response choices: Agree, Disagree, Don't Know, or Not Applicable (NA). If Disagree is selected, please explain in the additional comments section.

	AGREE	DISAGREE	DON'T KNOW	NA
1. Adequate materials, resources and guidance to implement specially designed instruction and/or accommodations described in Individualized Education Programs (IEPs) are provided to me.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Professional development and training specifically addressing the needs of preschool students with disabilities are available to me.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. My input as a member on the Evaluation Team Report (ETR) team and/or IEP team is valued.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. As a member of the ETR team, my roles and responsibilities are clearly defined and provided in writing.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. As a member of the IEP team, my roles and responsibilities are clearly defined and provided in writing.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. During IEP team meetings, a district representative with the authority to approve the resources necessary to implement the IEP is always present.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. The specially designed instruction and/or related services provided to a student with a disability is based upon that student's individual needs and supports the child's access, participation, and progress in the general education curriculum.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. The district uses the first option on the continuum of placement options to begin the placement decision-making process with the parent during the IEP meeting.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. I have received professional development in the early childhood positive behavioral interventions and supports (PBIS) framework that is in place in my school building.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. Parents are updated regarding their child’s progress on annual goals and needs throughout the implementation of the IEP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. I have sufficient opportunities to engage and collaborate with other instructional staff (for example, other teachers, related service professionals, aides).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Practices for identification, placement and discipline of preschool students with disabilities are free of cultural and/or racial bias.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. When a preschool child has behavior concerns, I have been provided a written process that supports the child to be successful in the classroom and avoid removal from the regular instructional setting.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional Comments:

ADMINISTRATOR SURVEY

The Preschool Special Education team for the state of Ohio is conducting a review of your district’s preschool special education program. This survey is for administrators of preschool children with disabilities receiving special education services. As part of the process, the Department examines compliance with federal and state laws and regulations applicable to the education of children with disabilities. By filling out this survey, you will help guide efforts to improve preschool services and results for children with disabilities and their families.

For each statement below, please select one of the following response choices: Agree, Disagree, Don’t Know, or Not Applicable (NA). If Disagree is selected, please explain in the additional comments section.

	AGREE	DISAGREE	DON'T KNOW	NA
1. When a preschool child has behavior concerns, we have a written process for staff to follow that supports the child to be successful in the classroom and avoid removal from the regular instructional setting.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. All school personnel have received professional development in the early childhood positive behavioral interventions and supports (PBIS) framework.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Cultural differences and biases are considered when making identification, placement, and discipline decisions for preschool students with disabilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. The district monitors the implementation and effectiveness of staff professional development in terms of outcomes for preschool students with disabilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. All parents are informed of the full continuum of placement options during the Individualized Education Program (IEP) team meeting.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. All preschool students with disabilities have access to the general education curriculum.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. The district uses the first option on the continuum of placement options to begin the placement decision making process with the parent during the IEP meeting.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. During IEP team meetings, a district representative who has the authority to approve the resources necessary to implement the IEP is always present.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. The district ensures that staff members always keep parents updated regarding their child’s progress on annual goals and needs throughout the implementation of the IEP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. The district ensures that all staff members involved in implementing a child's IEP have access to and understand the requirements in the IEP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. The district communicates to staff their written policy prohibiting the physical restraint and/or seclusion of preschool children.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. When decisions for all students are made by leadership, there is representation and consideration given from staff who are knowledgeable of preschool special education, preschool program licensing, and Step Up to Quality.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. District staff are available in the summer months to ensure evaluation and IEP processes are completed in a timely manner.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional Comments:

COMMUNITY PARTNER SURVEY

The Preschool Special Education team for the state of Ohio is conducting a review of the district's preschool special education program. This survey is for entities who serve as community partners with the district to support preschool children with disabilities receiving special education services (such as community preschool programs, Head Start programs, mental health agencies). By filling out this survey, you will help guide efforts to improve preschool services and results for children with disabilities and their families.

For each statement below, please select one of the following response choices: Agree, Disagree, Don't Know, or Not Applicable (NA). If Disagree is selected, please explain in the additional comments section.

	AGREE	DISAGREE	DON'T KNOW	NA
1. The district meets with us annually to revise and review the Interagency Agreement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. The district follows the agreed upon process(es) with their community partners for child find including locating, evaluating, and identifying preschool children with disabilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. The district communicates its continuum of placement options for preschool children with disabilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. The district collaborates with community partners to ensure continuity of care for dual enrolled children and the availability of a full continuum of placement options.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. District staff are available in the summer months to ensure evaluation and IEP processes are completed in a timely manner.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. There is a timely transition for the child from Early Intervention to preschool special education services so that the child's preschool services begin by the child's 3 rd birthday.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. The district considers our existing data as part of the evaluation process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. The district makes each child's Individualized Education Program (IEP) available to each regular education teacher, special education teacher, related services provider, and any other service provider who is responsible for its implementation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Each teacher and service provider are informed of specific responsibilities related to accommodations, modifications and supports that must be provided in order to implement the IEP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional Comments:

CONTRACTED AGENCY STAFF SURVEY

The Preschool Special Education team for the state of Ohio is conducting a review of the district's preschool special education program. This survey is for entities (such as Educational Service Centers, County Boards of Developmental Disabilities, related service provider agencies, mental health agencies) who the district pays to provide contracted services to support preschool children with disabilities. The survey should be completed by both administrators and service providers. By filling out this survey, you will help guide efforts to improve preschool services and results for children with disabilities and their families.

For each statement below, please select one of the following response choices: Agree, Disagree, Don't Know, or Not Applicable (NA). If Disagree is selected, please explain in the additional comments section.

	AGREE	DISAGREE	DON'T KNOW	NA
1. The district meets with us annually to revise and review the Interagency Agreement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Information from the Interagency Agreement has been shared with me as a member of the evaluation team.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. There is an agreed upon process(es) between the district and the contracted agency for child find including locating, evaluating and identifying preschool children with disabilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. The district communicates its continuum of placement options for preschool children with disabilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. The district collaborates with contracted agency staff to ensure continuity of care for dual enrolled children and the availability of a full continuum of placement options.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. District staff are available in the summer months to ensure evaluation and IEP processes are completed in a timely manner.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. The district ensures a timely transition for the child from Early Intervention to preschool special education services so that the child's preschool services begin by the child's 3 rd birthday.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. The district considers our existing data as part of the evaluation process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. The district makes each child's Individualized Education Program (IEP) available to each regular education teacher, special education teacher, related services provider and any other service provider who is responsible for its implementation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. Each teacher and service provider are informed of specific responsibilities related to accommodations, modifications and supports that must be provided in order to implement the IEP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Additional Comments:

APPENDIX 4: PS IDEA Monitoring Questions

PS IDEA Monitoring Questions

There are two sections of questions that will be answered by the district for self-review, desk review and onsite review.

Section 1: Questions for District

This section is to be completed by **all districts**.

Section 2: Questions for District, When Contracting for Services.

This section is to be completed by the District of Residence (DOR) when they purchase special education and/or related services for preschool children with disabilities.

For example: The district operates their own preschool classrooms, but contracts with an Educational Service Center (ESC) to provide itinerant services. The district will answer Preschool (PS) Individuals with Disabilities Education Act (IDEA) Monitoring Questions Section 1 for their own program and staff, then the district will answer the PS IDEA Monitoring Questions Section 2 to address the contract with the ESC for the itinerant services.

Table 2 Description of PS IDEA Monitoring Questions Table

Topic Area

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met
Description: Unique identifier for each question	Description: Rules and/or laws that describe the requirements	Description: The question that needs to be answered by the district.	Description: Lists possible choices of Yes, No or Not Applicable (NA)	Description: Lists the criteria that must be addressed in order to answer yes, no or NA to the question.	Description: Lists examples of what evidence could be used and submitted. A district could choose to submit any of the listed examples suggested or submit something that was not suggested UNLESS it states Required Evidence

In the document, “service provider” refers to anyone providing services directly or indirectly to a child such as: Preschool Special Education Supervisor, Early Childhood Intervention Specialist, Speech Language Pathologist, Occupational Therapist and/or Physical Therapist.

In the document, “district” refers to the school district of residence.

Section 1: Questions For District

The following section is to be completed by the District of Residence (DOR).

WORKLOAD/CASELOAD					
Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met
WC-1	OAC 3301-51-09(I) Service provider workload determination for delivery of services ORC 3323.08 Districts to submit implementation plans – interdistrict contracts	<i>Does the district have written policies and procedures that comply with state and federal rules for determining workload/caseload?</i>	YES	A. Written policies and procedures that must describe: <ul style="list-style-type: none"> • How workload is determined (methodology, calculator/tool and/or spreadsheet) for individual preschool special education staff and • How caseload is determined (methodology, calculator/tool and/or spreadsheet) for individual preschool special education staff and • How assurances are made that the service provider has enough time to provide specially designed instruction or direct related service to all assigned children and adjust workload/caseload if necessary. 	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Any of the following: <ul style="list-style-type: none"> • Special education policies/procedures • Employee/Staff Handbook
			NO	Any of the criteria not met	
WC-2	OAC 3301-51-09(I) Service provider workload determination for delivery of services OAC 3301-51-11 (J)(9) Service provider workload determination for delivery of services	<i>Do all district early childhood intervention specialists and related service personnel workload/caseload’s always meet the district’s requirements for their positions, whether center based and/or itinerant?</i>	YES	a. District policies and procedures for workload/caseload are implemented with district early childhood intervention specialists, related service personnel, itinerant staff to reflect staff always meet their district determined workload/caseload requirements for their positions and b. If a provider cannot perform all workload duties and meet the direct service/specially designed instruction needs for the district’s assigned children, then the district must reduce the caseload or workload. This is regardless	Self-Review and Desk Review (Tier 2 and Tier 3): Any of the following: <ul style="list-style-type: none"> • Workload/caseload spreadsheet, tool, calculator used for current staff • Staff person’s assigned job responsibilities • Meeting minutes/notes for administrator and staff meeting(s) regarding workload/caseload assignments

WORKLOAD/CASELOAD

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met
				<p>of the maximum numbers outlined in the Ohio Operating Standards for the Education of Children with Disabilities and</p> <p>c. The district will analyze their caseload/workload tool results to determine that all personnel necessary to carry out the purposes of IDEA Part B are employed</p>	<p>Onsite (Tier 4): Any of the following with all staff:</p> <ul style="list-style-type: none"> • Workload/caseload spreadsheet, tool, calculator used for all current staff • All Staff person's assigned job responsibilities • Meeting minutes/notes for administrator and staff meeting(s) regarding workload/caseload assignments
			NO	Any of the criteria not met	
			NA	If no preschool special education staff employed by the school district	

RESOURCES

[2/3/16: Service Provider Ratio and Workload Clarification Memo 2016-2](#): Provides guidance to school districts on use of a process for making decisions about the workload for providers of services to students with disabilities as required by Ohio Administrative Code (OAC) 3301-51-09(I).

[Ohio Department of Education and Workforce caseload/workload calculator](#): A workload calculator to assist local school districts in making decisions about the workloads of service providers.

[Working in Partnership to Strengthen Paraprofessional Preparation and Development throughout Ohio - OPEPP](#): Resources to support professional development and capacity building efforts related to paraprofessionals.

STAFF QUALIFICATIONS/CREDENTIALS

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
SQ-1	ORC 3323.11 Employment and qualifications of necessary personnel ORC 3323.08 Districts to submit implementation plans – interdistrict contracts	<i>Does the district have written policies and procedures that address staff qualifications/ credential requirements at time of hire?</i>	YES	The district has written policies and procedures that address staff qualifications/credential requirements at time of hire.	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Any of the following: <ul style="list-style-type: none"> • Special education policies/procedures • Employee/Staff Handbook
			NO	Any of the criteria not met	
SQ-2	OAC 3301-51-09 (H) Personnel qualifications and personnel development OAC 3301-51-11 (J)(7) Preschool personnel qualifications	<i>Do all preschool staff currently meet the required qualifications/ credentials necessary for their position?</i>	YES	All preschool staff currently meet the required qualifications/ credentials necessary for their position.	Self-Review and Desk Review (Tier 2 and Tier 3): <ul style="list-style-type: none"> • Personnel files to ensure licenses are current Onsite (Tier 4): Required Evidence: <ul style="list-style-type: none"> • Complete list of preschool staff with their current role and Ohio state ID number (PSE staff will look up credentials within CORE).
			NO	Any of the criteria not met	
			NA	If no preschool staff employed by the school district	
SQ-3	OAC 3301-51-09 (H)(4) Personnel qualifications and personnel development OAC 3301-51-01(B)(52) Definitions	<i>Does the district have a Preschool Special Education Supervisor that meets the qualifications/ credentials necessary for the position?</i>	YES	The district has qualifications and credentials defined for the position of Preschool Special Education Supervisor and The district has a person in that position that meets those district qualifications.	Self-Review and Desk Review (Tier 2 and Tier 3): All of the following: <ul style="list-style-type: none"> • Preschool special education supervisor job Description • Qualifications and name of individual serving as preschool special education supervisor Onsite (Tier 4): Required Evidence: <ul style="list-style-type: none"> • Preschool special education supervisor Job Description • Name, role, educator, and state ID of staff who serves as the preschool special education supervisor ((PSE staff will look up credentials within CORE).
			NO	Any of the criteria not met	
			NA	If the Preschool Special Education Supervisor is not employed by the school district	

STAFF QUALIFICATIONS/CREDENTIALS

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
SQ-4	OAC 3301-51-11 (J)(8) <u>Preschool supervisory services</u> ORC 3301.58 <u>Licensing of preschool programs and school child programs - enforcement of rules</u> OAC 3301-24-06 <u>Professional development</u> ORC 3319.223 <u>Ohio teacher residency program</u> ORC 5104.29 <u>Step up to quality program</u>	<p><i>Does the district's Preschool Special Education Supervisor fulfill the required responsibilities for preschool supervisory services?</i></p>	YES	<p>The Preschool Special Education Supervisor shall be responsible for the following:</p> <ol style="list-style-type: none"> a. Ensuring the development and implementation of an interagency agreement and b. Providing assistance to early childhood personnel responsible for providing special education and related services to preschool children with disabilities and c. Ensuring compliance and oversight with the licensing of preschool programs and enforcement of rules and d. Facilitating the provision of comprehensive early childhood delivery systems for young children with disabilities including the integration of education, health, social services, and parent education components and e. Participating in the development and evaluation of professional development plans and induction programs that apply to early childhood personnel and f. Participating in the Step Up to Quality (SUTQ) program and maintaining a status of Silver or Gold; and g. Assisting with the implementation and evaluation of state standards (e.g., Early Learning and Development Standards (ELDS), Step Up to Quality standards, Operating Standards for the Education of Children with Disabilities) that apply to early childhood programs; and 	<p>Self-Review, Desk Review and Onsite (Tier 2 – Tier 4):</p> <p>The following are examples of what could be reviewed and/or submitted as evidence for each of the criteria:</p> <ol style="list-style-type: none"> a. Preschool supervisor signature on Interagency Agreement; Interagency Team meeting minutes b. Evidence of 1 Professional development/ training materials; meeting minutes c. Preschool special education supervisor is also listed as a preschool licensing director in Ohio Child and Licensing Quality System (OCLQS); OR Evidence of 1 meeting agenda/minute of Preschool special education supervisor meeting with a PS director d. Evidence of 1 agenda/minutes etc., of meeting with preschool staff in the specific areas of service delivery, education, health, social services, and parent education; Evidence of 1 agenda/minutes etc., of meetings with stakeholder groups, parent groups etc. e. Evidence of participation in the development /evaluation of 1 preschool staff personnel's professional development plan; Preschool special education supervisor job description/policy listing supervisor's role in professional development plans and evaluation of staff f. Preschool special education (PSE) supervisor is also listed as preschool director in OCLQS; Evidence of 1 meeting agenda/minutes of PSE supervisor meeting with

STAFF QUALIFICATIONS/CREDENTIALS

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
				<p>h. Collaborating with early childhood providers including Head Start programs, Part C Early Intervention providers, County Boards of Developmental Disabilities, local Family and Children First Councils, community childcare programs and community preschools and</p> <p>i. Collaborating with the regional State Support Team in the provision of training and technical assistance responsive to the needs of preschool special education staff.</p>	<p>PS; Evidence of Silver or Gold rating</p> <p>g. Evidence of involvement with implementing any of the state standards could be any of the following:</p> <ul style="list-style-type: none"> • Example of evidence for ELDS and SUTQ standards: Preschool special education supervisor is also listed as preschool director in OCLQS. • Example of evidence for ELDS and Operating Standards: evidence that ensures access to the general curriculum for each child with a disability. • Example of evidence for Step Up to Quality standards: evidence that involved with developing Professional Development plans or conducting classroom observations. • Example of evidence for Operating Standards: served as district representative at Individualized Education Program (IEP) meeting; reviewed preschool Evaluation Team Reports (ETR) and/or IEPs <p>h. Evidence of 1 meeting (agenda, minutes, etc.) with early childhood providers</p> <p>i. Evidence of 1 State Support Team meeting attended; evidence of 1 individual technical assistance meeting with State Support Team; evidence of 1 Support Team training provided to staff</p>
			NO	Any of the criteria not met	
			NA	If the Preschool Special Education Supervisor is not employed by the school district	

RESOURCES

[Educator Licensure | Ohio State Board of Education:](#) Information and resources on Ohio's licensure pathways and requirements.

[Preschool Teacher Qualifications Chart:](#) Details qualification requirements for preschool teachers based on classroom type.

PROFESSIONAL DEVELOPMENT

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
PD-1	OAC 3301-51-09 (H) Personnel qualifications and personnel development ORC 3323.08 Districts to submit implementation plans – interdistrict contracts	<i>Does the district have written policies and procedures to ensure preschool staff are appropriately and adequately prepared and trained to provide services to preschool children with disabilities?</i>	YES	a. The district’s written policies and procedures address training and professional development to ensure preschool staff are appropriately and adequately prepared to provide services to preschool children with disabilities. Language specific to: <ul style="list-style-type: none"> • Training existing preschool staff, • Onboarding and training new preschool staff • Training contractual preschool staff 	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Any of the following: <ul style="list-style-type: none"> • Special education policies/procedures • Employee/Staff Handbook
			NO	Any of the criteria not met	
PD-2	OAC 3301-51-09 (H)(5) Personnel qualifications and personnel development	<i>Does the district implement their policies and procedures to ensure staff are appropriately and adequately prepared and trained to provide services to preschool children with disabilities?</i>	YES	a. Personnel are provided professional development <ul style="list-style-type: none"> • As described in the district’s policies and procedures and • That aligns with school district goals and objectives and • That meets the changing needs of preschool children with disabilities. 	Self-Review and Desk Review (Tier 2 and Tier 3): Any of the following: <ul style="list-style-type: none"> • Training Plan • Training Calendar • Training Sign in Sheet • Individual Professional Development Plan Onsite (Tier 4): Required Evidence: <ul style="list-style-type: none"> • Documentation of professional development provided that school year
			NO	Any of the criteria not met	
			NA	If no preschool special education staff employed by the school district	

RESOURCES

[PBIS Professional Development Guidance](#): This outline serves as guidance for local professional development committees to consider when establishing model courses for professional development and continuing education in Positive Behavioral Intervention and Supports (PBIS).

[Ohio Standards for Professional Development](#): Defines the essential elements of a strong professional learning system. Designed to support what effective schools and districts are currently doing and help educators integrate authentic professional learning into their regular routines.

[Early Learning Professional Development](#): This webpage lists other resources focused on professional development.

[Leadership for Early Childhood Care and Education](#): Module, ECE leadership OLAC approach to leadership, improved equity of schooling outcomes.

DELIVERY OF SERVICES/LEAST RESTRICTIVE ENVIRONMENT

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
DS/ LRE-1	OAC 3301-51-09 (B)(1) LRE requirements	<i>Does the district have written policies and procedures that comply with state and federal rules to ensure that children are receiving a free and appropriate public education in the least restrictive environment?</i>	YES	a. The district’s written policies and/or procedures contain language that address the following: <ul style="list-style-type: none"> • Free Appropriate Public Education, (FAPE) (access to general education, provision of special education, at no cost to the parent) and • How the district charges tuition to parents of students with disabilities and how district makes determination that they should or should not charge and • Least Restrictive Environment, continuum of placement options and • Placement made based on individual needs of the child. 	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Any of the following: <ul style="list-style-type: none"> • Special education policies/procedures • Employee/Staff Handbook • Tuition fee scale
			NO	Any of the criteria not met	
DS/ LRE-2	OAC 3301-51-11 (J)(2) Delivery of services/least restrictive environment	<i>Does the district make a full continuum of options available?</i>	YES	a. The district makes a full continuum of options available as follows: <ul style="list-style-type: none"> • A public school preschool general education class, co-taught, Head Start, non-public school preschool program with natural proportions, • A public school preschool general education class, co-taught, Head Start, non-public school preschool program in which no more than eight children with disabilities are enrolled and remains fifty percent or fewer children with disabilities, • Head Start or non-public school preschool program with more than eight children with disabilities but remains fifty percent or fewer children with disabilities in the class, 	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Any of the following: <ul style="list-style-type: none"> • Policy, process, or procedure that lists available options • Professional development provided to staff that lists available options • Optional Form Least Restrictive Environment (LRE) Guiding Questions for Section 11 AND Onsite (Tier 4) Required Evidence: <ul style="list-style-type: none"> • Preschool Continuum of LRE Placement Options Form

DELIVERY OF SERVICES/LEAST RESTRICTIVE ENVIRONMENT

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
				<ul style="list-style-type: none"> • A public school preschool integrated class in which fifty per cent or fewer of the students are children with disabilities, • A public school preschool special education class in which more than fifty per cent of the students are children with disabilities, • A special school, • A home or service provider location 	
			NO	Any of the criteria not met	
DS/ LRE-3	OAC 3301-51-09 (D) Placements OAC 3301-51-09 (H)(1) Personnel qualifications and personnel development OAC 3301-51-09 (H)(5) Personnel qualifications and personnel development	Do preschool staff receive professional development and/or training regarding the district’s continuum of options and making placement decisions?	YES	a. Preschool staff receive professional development and or training regarding the district’s continuum of options and the process of determining placement decisions and b. Required content for training materials regarding the district’s continuum of options and the process of determining placement decisions must include information from OAC 3301-51-09(D)	Self-Review and Desk Review (Tier 2 and Tier 3): Any of the following: <ul style="list-style-type: none"> • Special education policies/procedures • Employee/Staff Handbook • Internal Monitoring Team Process • Professional Development calendar/plan Onsite (Tier 4): Required Evidence: <ul style="list-style-type: none"> • Documentation of professional development provided. Documentation must include all of the following: <ul style="list-style-type: none"> • What was the training: training title and training description is provided, • Who was trained: list of preschool staff who attended training and • When was the training: date the training was provided • Training materials to check for content
			NO	Any of the criteria not met	
			NA	If no preschool staff employed by the school district	

DELIVERY OF SERVICES/LEAST RESTRICTIVE ENVIRONMENT

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
DS/ LRE-4	OAC 3301-51-11 (J)(1) Delivery of services/least restrictive environment	<i>Does the district use a list of the available preschool education service options in the community to inform discussions and decisions on placement?</i>	YES	a. The district has a list that is: <ul style="list-style-type: none"> • Annually prepared and • Posted publicly and • Made available to parent during evaluation process and • Not limited to service providers within the geographic boundaries of the district and • Used to inform discussions and decisions on placement 	Self-Review and Desk Review (Tier 2 and Tier 3): Any of the following: <ul style="list-style-type: none"> • Optional Form Least Restrictive Environment (LRE) Guiding Questions for Section 11 for 1 child • Document in Prior Written Notice (PR-01) for 1 child • Parent Acknowledgement (signed paper) that the list was made available and discussed for 1 child • List and/or link to website Onsite (Tier 4) Required evidence: List and/or link to website made available AND any of the following: <ul style="list-style-type: none"> • Optional Form Least Restrictive Environment (LRE) Guiding Questions for Section 11 for 1 child • Document in Prior Written Notice (PR-01) for 1 child • Parent Acknowledgement (signed paper) that the list was made available and discussed for 1 child
			NO	Any of the criteria not met	
DS/ LRE-5	OAC 3301-51-11 (J)(3)-(5) Delivery of services/least restrictive environment	<i>Does the district use the first option on the Least Restrictive Environment continuum to begin the placement decision-making process with the parent during the Individualized Education Program (IEP) meeting?</i>	YES	a. The district with the parent during the Individualized Education Program (IEP) meeting ensures the following factors are considered: <ul style="list-style-type: none"> • Placement decision-making begins with the first option on Least Restrictive Environment Continuum and • The setting he or she would have attended if nondisabled and • The child’s ability to participate and progress in the general early childhood curriculum and • The child’s socialization needs and 	Self-Review and Desk Review (Tier 2 and Tier 3): Any of the following: <ul style="list-style-type: none"> • Optional Form Least Restrictive Environment (LRE) Guiding Questions for Section 11 • Prior Written Notice (PR-01) AND <ul style="list-style-type: none"> • Signed Individualized Education Program (IEP) Onsite Review (Tier 4): No additional evidence required. The individual student records selected for record review will also be reviewed to satisfy this item.

DELIVERY OF SERVICES/LEAST RESTRICTIVE ENVIRONMENT

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
				<ul style="list-style-type: none"> The child’s educational and developmental progress and A child who already participates in a regular early childhood setting when identified as a child with a disability shall remain in the program in which the child is enrolled unless the Individualized Education Program (IEP) team determines that it is unable to serve the child 	
			NO	Any of the criteria not met	
			NA	If the district representative at the IEP team meeting is <u>not</u> employed by the school district	
DS/ LRE-6	OAC 3301-51-11 (J)(5)(b) Delivery of services/least restrictive environment	<i>Does the district document the number of required hours of general education instruction and special education based upon the setting that the Individualized Education Program (IEP) team determined for each child?</i>	YES	a. Written documentation of the number of hours provided for each child and written justification for any hours provided less than what is outlined in rule	Self-Review and Desk Review (Tier 2 and Tier 3): Any of the following: <ul style="list-style-type: none"> Prior Written Notice (PR-01) Section 11 of the IEP Onsite Review (Tier 4): No additional evidence required. The individual student records selected for record review will also be reviewed to satisfy this item.
			NO	Any of the criteria not met	
			NA	If district staff do not write the IEP	
DS/ LRE-7	OAC 3301-51-09 (G)(3)(b) Role of preschool and school-age service providers OAC 3301-51-11(J)(8)(b) – supervisory services	<i>Does the district ensure early childhood intervention specialists or related service personnel support lead teachers in general education classrooms?</i>	YES	a. The district provides support to early childhood intervention specialists and/or relate service personnel that enables them to support lead teachers in general education classrooms and b. Early childhood intervention specialists or related service personnel support lead teachers in general education classrooms through consultation on the <u>strategies</u> needed to meet children’s Individualized Education Program (IEP) goals	Self-Review and Desk Review (Tier 2 and Tier 3): The following are examples of what could be reviewed as evidence for each of the criteria: <ol style="list-style-type: none"> Professional Development/training/in-services provided; schedule showing co-planning time; meeting between staff to discuss support to lead teachers in the general education classroom Individualized Education Program (IEP) Section 7 Support for School Personnel
			NO	Any of the criteria not met	
			NA	If the district does not employ early childhood intervention	
					Onsite Review (Tier 4) a. Evidence of 1 professional development/training/in-

DELIVERY OF SERVICES/LEAST RESTRICTIVE ENVIRONMENT

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
				specialists or related personnel that are supporting lead teachers in general education classrooms	<p>service provided; 1 schedule showing co-planning, evidence of 1 meeting between staff to discuss support to lead teachers in the general education classroom</p> <p>b. No additional evidence required. The individual student records selected for record review will also be reviewed to satisfy the criteria of (b).</p>
DS/ LRE-8	ORC 3301.0714 Guidelines for statewide education management information system OAC 3301-51-03 (D)(1) Data reporting OAC 3301-14-01, operation of education management information system	<i>Does the district have written procedures in place to ensure data regarding preschool educational environments are accurately entered into Education Management Information System (EMIS)?</i>	YES	<p>a. Written procedures are available to all necessary staff to ensure:</p> <ul style="list-style-type: none"> Preschool educational environment data is reported and entered accurately into Education Management Information System (EMIS) and District designates staff responsible for reporting and District addresses quality assurance practices for accurately reporting data 	<p>Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Any of the following:</p> <ul style="list-style-type: none"> Special education procedures Employee/Staff Handbook Education Management Information System (EMIS) Coordinator Trainings <p>Onsite (Tier 4): In addition to the items listed above for Tiers 2-4, the following required evidence:</p> <ul style="list-style-type: none"> Documentation that the written process was followed for Indicator 6 (placement data) for each of the individual student records supplied
			NO	Any of the criteria not met	
DS/ LRE-9	OAC 3301-51-11 (K) Transportation of children with disabilities OAC 3301-83-17 (A)(6) Authorized Passengers	<i>If the Individualized Education Program (IEP) team determines transportation is necessary for preschool special education children to access a free and appropriate education, is it provided at no cost to the parent or guardian?</i>	YES	<p>a. Individualized Education Program (IEP) team considers transportation to access Free Appropriate Public Education (FAPE) and</p> <p>b. The Individualized Education Program (IEP) team documents transportation decisions and</p> <p>c. When the Individualized Education Program (IEP) team determines, transportation is required to access Free Appropriate Public Education</p>	<p>Self-Review and Desk Review (Tier 2 and Tier 3): Any of the following:</p> <ul style="list-style-type: none"> Prior Written Notice (PR-01) Section 8 of the Individualized Education Program (IEP) <p>Onsite Review (Tier 4):</p> <p>No additional evidence required. The individual student records selected for record review will also be reviewed to satisfy the criteria.</p>

DELIVERY OF SERVICES/LEAST RESTRICTIVE ENVIRONMENT

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
				(FAPE), it is made available at no cost to the parent	
			NO	Any of the criteria not met	
			NA	If the district representative at the IEP team meeting is <u>not</u> employed by the school district	

RESOURCES

[ECTA and DaSY- Local District Preschool Inclusion Self-Assessment](#): This self-assessment tool provides a framework for discussion to promote partnerships among schools and early care and education providers to further promote the inclusion of young children with disabilities and their families in early childhood programs.

[Preschool Inclusion Ohio’s Guidance](#): Ohio’s guidance and vision on preschool inclusion.

[Least Restrictive Environment Decision Tree](#): Tool to assist districts on how to report the educational environments for children ages 3-5 with IEPs.

[A Guide to Transportation for Preschool Students with Disabilities](#): Outlines rules and laws on the topic of transportation of students with disabilities and guidance on how to complete Section 8 of the Individualized Education Program.

[Preschool LRE Guiding Questions](#): Guiding questions to assist districts in determining placement in the least restrictive environment.

[Indicator 6 Description of Compliance Calculation](#): Details the compliance calculation for Indicator 6: Preschool Least Restrictive Environment.

[Ohio PROMISE Child Care Inclusion Program | Department of Children and Youth](#) Governor DeWine has established Ohio PROMISE, a new statewide initiative that will Promote Resources, Opportunities, and Meaningful Inclusion through Support and Education.

CHILD OUTCOMES

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria {Can answer yes to this? if...}	Potential Source(s) of Documentation/Evidence
CO-1	20 U.S.C. 1416 (a)(3)(A) Monitoring Priorities Child Outcomes Policy	<i>Does the district have written policies and procedures that comply with the state Child Outcomes Policy?</i>	YES	a. The district has written policies and procedures that include: <ul style="list-style-type: none"> • The required timelines and • Completion of the Child Outcomes policy (COS) form and sources of information and • Ratings and • Roles in the rating process and • Supervisor responsibilities 	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Any of the following: <ul style="list-style-type: none"> • Special education policies/procedures (district policy that reflects the state Child Outcomes policy) • Employee/Staff Handbook
			NO	Any of the criteria not met	
CO-2	Child Outcomes Policy ORC 3301.0714 Guidelines for statewide education management information system OAC 3301-51-03 (D)(1) Data reporting OAC 3301-14-01, operation of education management information system	<i>Does the Preschool supervisor complete all Child Outcomes Summary supervisor responsibilities?</i>	YES	a. The preschool special education supervisor must ensure staff have been trained in the use of the form, evaluating the quality of the data and interpreting assessment results in relationship to the summary rating. <ul style="list-style-type: none"> • New staff must be trained by qualified State Support Team or Department staff. Trainings will be posted on the Ohio Professional Registry and/or in System to Achieve Results for Students (STARS) and • Refreshers for existing staff (who have been previously trained by the State Support Team) may be conducted by preschool special education supervisors and • Professional development must consist of the approved Department materials and • Training should be documented in case of an audit, such as selective monitoring review. The employing agency and each teacher should maintain documentation of trainings completed. 	Self-Review and Desk Review (Tier 2 and Tier 3): <ol style="list-style-type: none"> Documentation that indicates the date of the last Child Outcome Summary (COS) training for staff, who provided the training and a list of staff that participated Completed Quality Assurance Checklist for all staff completing the COS process Any of the following: <ul style="list-style-type: none"> • Special education procedures • Employee/Staff Handbook • Educational Management Information System (EMIS) Coordinator Trainings Onsite (Tier 4): Required evidence: <ol style="list-style-type: none"> Documentation that indicates the date of the last Child Outcome Summary (COS) training for staff who provided the training and a list of staff that participated Completed Quality Assurance Checklist for 1 staff completing the COS process Each of the following: <ul style="list-style-type: none"> • Written procedures (Special education procedures, Employee/Staff Handbook, Educational Management Information System (EMIS) Coordinator Trainings)

CHILD OUTCOMES

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria {Can answer yes to this? if...}	Potential Source(s) of Documentation/Evidence
				<p>b. The preschool special education supervisor is ultimately responsible for the accuracy and quality of the data reported on the summary form.</p> <p>c. The preschool special education supervisor is responsible for making sure procedures are in place to ensure data regarding the Child Outcomes Summary (COS) are accurately entered into Educational Management Information System (EMIS).</p>	<ul style="list-style-type: none"> Documentation that the written procedures were followed for Indicator 7 (COS data) for each of the individual student records supplied
			NO	Any of the criteria not met	
			NA	If the preschool special education Supervisor is not employed by the school district	

RESOURCES

- [Preschool Special Education | State of Ohio](#): See resources for Indicator 7: Child Outcomes Summary (COS)
- [ECTA Center](#): An overview of the outcomes including a description of the [breadth of the three outcomes](#).

PART C TO PART B TRANSITION

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
C/B-1	20 U.S.C. 1416 (a)(3)(A) Monitoring Priorities 34 CFR §300.124 Transition of children from the Part C program to preschool programs 34 CFR §303.209 Transition to preschool and other programs	<i>Does the district have written policies and procedures that meet state and federal compliance about transitioning from Part C Early Intervention?</i>	YES	a. The district has written policies and procedures that meet 3301-51-11 (D)(3) including: <ul style="list-style-type: none"> • District attendance at Transition Planning Conference and • Adherence to the referral timeline and • Inviting the Part C service coordinator to initial Individualized Education Program (IEP) meeting and • Ensuring the Individualized Education Program (IEP) is in place and implemented by a child’s third birthday and • Considering extended school year services and • Following procedures for any noncompliance finding 	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Any of the following: <ul style="list-style-type: none"> • Special education policies/procedures • Employee/Staff Handbook
			NO	Any of the criteria not met	
C/B-2	OAC 3301-51-11 (D)(2) Interagency agreements	<i>Does the district have an Interagency Agreement?</i>	YES	a. The district has an interagency agreement that includes the following: <ul style="list-style-type: none"> • Signatures from the required partners and • The requirements stated in 3301-51-11 (D)(2)(b) 	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Required evidence: <ul style="list-style-type: none"> • Interagency Agreement
			NO	Any of the criteria not met	
C/B-3	OAC 3301-51-11 (D)(2) Interagency agreements	<i>Do partners meet annually to review and revise the interagency agreement?</i>	YES	a. At minimum the required partners meet annually to review the effectiveness of the interagency agreement and revise the agreement as needed.	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): <ul style="list-style-type: none"> • Interagency Agreement meeting minutes
			NO	Any of the criteria not met	

PART C TO PART B TRANSITION

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
C/B-4	ORC 3301.0714 – Guidelines for statewide education management information system OAC 3301-51-03 (D)(1) Data reporting OAC 3301-14-01, operation of education management information system	<i>Does the district have written procedures in place to ensure data regarding Part C Early Intervention to Part B Preschool Special Education transitions are accurately entered into Education Management Information System (EMIS)?</i>	YES	a. Written procedures are available to all necessary staff to ensure: <ul style="list-style-type: none"> Part C Early Intervention to Part B Preschool Special Education transition data is reported and entered accurately into Education Management Information System (EMIS) and District designates staff responsible for reporting and District addresses quality assurance practices for accurately reporting data 	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Any of the following: <ul style="list-style-type: none"> Special education procedures Employee/Staff Handbook Onsite (Tier 4): In addition to the items listed above for Tiers 2-4, the following required evidence: <ul style="list-style-type: none"> Documentation that the district’s written process was followed for Indicator 12 (C to B data) for one of the individual student records supplied
			NO	Any of the criteria not met	

RESOURCES

- Indicator 12 Compliance for LEAs Overview:** PowerPoint overview of the requirements, roles, and responsibilities of the school district surrounding Indicator 12 compliance.
 - [Printable Version of PPT](#)
 - [Transcript of PPT](#)
- Indicator 12 Description of Compliance Calculation:** Details the compliance calculation for Indicator 12: Transition from Part C (Early Intervention) to Part B (Preschool Special Education).
- OCALI **Part C to Part B Training Opportunity** : A free training opportunity provided by OCALI to assist early care and education providers to better understand the transition process between agencies and state-level requirements for collaborative and cooperative agreements.

EVALUATION TEAM REPORT (ETR)/INDIVIDUALIZED EDUCATION PROGRAM (IEP)

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
ETR/ IEP-1	ORC 3323.08 Districts to submit implementation plans – interdistrict contracts OAC 3301-51-03 (A) Child Find OAC 3301-51-06 (A)(2) Evaluations OAC 3301-51-07 (A) Individualized education program (IEP) OAC 3301-51-07 (B) Individualized education program (IEP).	<i>Does the district have written policies and procedures that comply with state and federal rules regarding Child Find, Evaluations, Individualized education program (IEP) and Delivery of Services for preschool students with disabilities?</i>	YES	a. The district has adopted the Special Education Model Policies and Procedures developed by the Department or The district has developed their own written policies and procedures that at minimum include the content within the Special Education Model Policies and Procedures and b. The district clearly describes the procedures for Child Find, Evaluations, Individualized education program (IEP) and Delivery of Services for preschool students with disabilities.	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Any of the following: <ul style="list-style-type: none"> Special education policies/procedures Employee/Staff Handbook
			NO	Any of the criteria not met	
ETR/ IEP-2	ORC 3323.08 Districts to submit implementation plans – interdistrict contracts OAC 3301-51-03 (A) Child Find OAC 3301-51-06 (A)(2) Evaluations OAC 3301-51-07 (A) Individualized education program (IEP) OAC 3301-51-07 (B) Individualized education program (IEP). OAC 3301-51-01(A) Applicability of requirements	<i>Does the district have an internal system to ensure compliant preschool Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs)?</i>	YES	a. The district has written policies and procedures describing an internal system to ensure compliant preschool Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs).	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Any of the following: <ul style="list-style-type: none"> Special education policies/procedures Employee/Staff Handbook Staff record selection schedule
			NO	Any of the criteria not met	
			NA	If district staff do <u>not</u> write the ETR and/or the IEP	
ETR/ IEP-3	OAC 3301-51 Education of Students with Special Needs	<i>Does the district use data from their internal system of reviewing Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs) for compliance to make policy/procedures/process changes?</i>	YES	a. The district uses data from its internal system of reviewing Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs) compliance to make policy/procedures/process changes.	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Any of the following: <ul style="list-style-type: none"> Evidence of 1 meeting minutes/agenda of data discussions Updated policy/procedures/process
			NO	Any of the criteria not met	
			NA	If district staff do not write the ETR and/or the IEP	

EVALUATION TEAM REPORT (ETR)/INDIVIDUALIZED EDUCATION PROGRAM (IEP)

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
ETR/ IEP-4	OAC 3301-51-09 (H) Personnel qualifications and personnel development	Do all necessary preschool staff receive professional development on writing compliant preschool Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs)?	YES	a. All necessary preschool staff receive professional development on writing compliant Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs).	Self-Review and Desk Review (Tier 2 and Tier 3): Any of the following: <ul style="list-style-type: none"> • Training Plan • Training Calendar • Training Sign in Sheet Onsite (Tier 4): Required evidence: <ul style="list-style-type: none"> • Documentation of all professional development on Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs) provided Documentation must include all of the following: <ul style="list-style-type: none"> • What was the training: training title and training description is provided, • Who was trained: list of preschool staff attended training and • When was the training: date the training was provided • A copy of training materials from one preschool Evaluation Team Reports (ETRs) training and/or from one preschool Individualized Education Programs (IEPs) training
			NO	Any of the criteria not met	
			NA	If district staff do <u>not</u> write the ETR and/or the IEP	
ETR/ IEP-5	OAC 3301-51-03 (A) Child Find OAC 3301-51-06 (A)(2) Evaluations OAC 3301-51-07 (A) Individualized education program (IEP) OAC 3301-51-07 (B) Individualized education program (IEP) OAC 3301-51-01(A) Applicability of requirements	Does the district review preschool Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs) for compliance?	YES	a. Preschool Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs) are reviewed for compliance using the compliance standards as directed in the Preschool Record Review Guide	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): <ul style="list-style-type: none"> • Tracking system- record review forms and tools Onsite Tier 4 Additional Required evidence: <ul style="list-style-type: none"> • One preschool record that has been reviewed by the district with the documentation of their review (such as the Record Review Comment Form, PS IEP Verification Form)
			NO	Any of the criteria not met	
			NA	If district staff do <u>not</u> write the ETR and/or the IEP	
ETR/ IEP-6	OAC 3301-51-09 (H) Personnel qualifications and personnel development	Based on results of data does the district have targeted professional development to support staff on writing	YES	Based on results of data the district has targeted professional development to support staff on writing compliant preschool Evaluation Team Reports (ETRs)	Self-Review and Desk Review (Tier 2 and Tier 3): <ul style="list-style-type: none"> a. Data Evidence: Meeting minutes of data discussions

EVALUATION TEAM REPORT (ETR)/INDIVIDUALIZED EDUCATION PROGRAM (IEP)

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
		<i>compliant preschool Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs)?</i>		and Individualized Education Programs (IEPs) a. <i>What data was analyzed?</i> Identify data sources, at minimum must include data from ETRs and IEPs reviewed for compliance. Examples of additional data sources may be staff needs survey, ETRs and IEPs knowledge quiz, Improvement Plan, Special Education Profile etc. b. <i>What decision was made based on the data analyzed?</i> Identify support based on the data c. <i>What evidence shows that the support was provided as planned?</i> Provide evidence that support (for example, professional development/Training, coaching) was given.	b. Identify Support: Meeting minutes of data discussions and the outcome of targeted support necessary c. Support (for example, professional development/training, coaching): <ul style="list-style-type: none"> • Training plan • Training calendar • Training sign in sheet • Coaching meeting Onsite (Tier 4): a. Data Evidence: Evidence of 1 meeting (minutes, notes) of data discussions b. Identify Support: Evidence of 1 meeting (minutes, notes) of data discussions <u>and</u> the outcome of targeted support necessary c. Support (for example, Professional development/training, coaching): <ul style="list-style-type: none"> • Documentation of all support provided that school year, for example, ETR and IEP professional development, individual coaching sessions Documentation of support must include all of the following: <ul style="list-style-type: none"> • What was the support: training title or description of support, • Who was supported: list of preschool staff that received the support and • When was the support provided: date the training or support was provided • A copy of training materials from one targeted support professional development/training provided
			NO	Any of the criteria not met	
			NA	If district staff do not write the ETR and/or the IEP	

RESOURCES

- [Preschool Universal Supports modules](#): Universal support materials that provide guidance for completing the ETR and IEP forms.

PRESCHOOL SPECIAL EDUCATION POLICIES AND PROCEDURES

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria	Potential Source(s) of Documentation/Evidence
PP-1	OAC 3301-51-09(H) Personnel qualifications and personnel development ORC 3323.08 Districts to submit implementation plans – interdistrict contracts	<i>Does the district provide its preschool staff access to all its written preschool special education policies and procedures?</i>	YES	The district’s preschool staff are: a. Made aware of and b. Have access to all district written preschool special education policies and procedures	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): a. Awareness Any of the following: <ul style="list-style-type: none"> • Human Resources documents such as a sign off sheet for 1 staff to indicate that policies and procedures were reviewed • Email to staff informing them of policies and procedures b. Access Any of the following: <ul style="list-style-type: none"> • New staff orientation • Staff handbook • Posted on website that staff have access to
			NO	Any of the criteria not met	

Section 2: Questions for District When Contracting for Services

The following section is to be completed by the District of Residence (DOR) **when they purchase special education and/or related services for preschool children with disabilities**. The purpose is to learn more about the role and responsibilities of both the DOR and the contracted agency(s) when ensuring compliance with the Individuals with Disabilities Education Act (IDEA).

WORKLOAD/CASELOAD					
Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria {Can answer yes to this? if...}	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met
1	OAC 3301-51-09(I) Service provider workload determination for delivery of services OAC 3301-51-11 (J)(9) Service provider workload determination for delivery of services	<i>When contracting for special education and/or related services, does the district of residence assure that the service providers have enough time to provide specially designed instruction and/or direct related service to all assigned children?</i>	YES	a. Written information that assures that service providers have enough time to provide specially designed instruction and/or direct related service to all assigned children	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Any of the following: <ul style="list-style-type: none"> • Purchased services agreement/contract • Written assurances from contracted agency(s) • Communication plan • Meeting minutes • Interagency Agreement
			NO	Any of the criteria not met	

STAFF QUALIFICATIONS/CREDENTIALS

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria {Can answer yes to this? if...}	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met
2	OAC 3301-51-09 (H) Personnel qualifications and personnel development OAC 3301-51-11 (J)(7) Preschool personnel qualifications OAC 3301-51-09 (H)(4) Personnel qualifications and personnel development OAC 3301-51-01(B)(52) Definitions	<i>When contracting for special education and/or related services, does the district of residence assure that the service providers meet the required qualifications/credentials necessary for their position.</i>	YES	a. Written information that assures the contracted agency staff serving preschool children with disabilities from the district meet the required qualifications/credentials necessary for their position	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Any of the following: <ul style="list-style-type: none"> • Purchased services agreement/contract • Written assurances from contracted agency(s) • Communication plan • Meeting minutes • Interagency Agreement
			NO	Any of the criteria not met	

COMMUNICATION PLAN

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria {Can answer yes to this? if...}	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met		
3	OAC 3301-51-11 (J)(8) Preschool supervisory services ORC 3301.58 Licensing of preschool programs and school child programs - enforcement of rules OAC 3301-24-06 Professional development ORC 3319.223 Ohio teacher residency program ORC 5104.29 Step up to quality program	<i>a. When contracting for special education and/or related services does the district of residence and the contracted agency(s) communicate with one another regarding how the agreed upon services are being fulfilled?</i>	YES	a. Written information that assures that the district of residence and the contracted agency(s) communicate with one another regarding how the agreed upon services are being fulfilled	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Evidence of one communication, for example: <ul style="list-style-type: none"> • Communication plan • Meeting minutes • Emails 		
			NO	Any of the criteria not met			
			NA	If not contracting for preschool special education supervisory services			
			<i>b. When contracting for special education and/or related service does the district of residence and the contracted agency(s) communicate with one another regarding how the required responsibilities for preschool special education supervisory services are fulfilled?</i>	YES		b. Written information that assures that the district of residence and the contracted agency(s) communicate with one another regarding how the required responsibilities for preschool special education supervisory services are fulfilled	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Evidence of one communication, for example: <ul style="list-style-type: none"> • Communication plan • Meeting minutes • Emails
				NO		Any of the criteria not met	
				NA		If not contracting for preschool special education supervisory services	
	<i>c. When contracting for special education and related services does the district of residence and the contracted agency(s) communicate with one another regarding the timely resolution of parent concerns?</i>	YES	c. Written information that assures that the district of residence and the contracted agency(s) communicate with one another regarding the timely resolution of parent concerns				
		NO	Any of the criteria not met				
		NA	If not contracting for preschool special education supervisory services				

PROFESSIONAL DEVELOPMENT

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria {Can answer yes to this? if...}	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met
4	OAC 3301-51-09 (H)(5) Personnel qualifications and personnel development OAC 3301-51-09 (D) Placements OAC 3301-51-09 (H)(1) Personnel qualifications and personnel development	<i>a. When contracting for special education and/or related services, does the district of residence assure that the service providers are appropriately and adequately prepared and trained to provide special education and related services to preschool children with disabilities?</i>	YES	a. Written information that assures that the service providers are appropriately and adequately prepared and trained to provide special education and related services to preschool children with disabilities	Self-Review, Desk Review and Onsite (Tier 2-4): Evidence from one source that communicates the district's requirement to the contracted agency, for example: <ul style="list-style-type: none"> • Purchased services agreement/contract • Written assurances from contracted agency(s) • Communication plan • Interagency Agreement
			NO	Any of the criteria not met	
		<i>b. When contracting for special education and/or related services, does the district of residence assure that the service providers who will be attending IEP team meetings, and/or serving as the district's representative are adequately prepared and trained regarding the provision of FAPE, least restrictive environment and making placement decisions based upon the district's continuum of options?</i>	YES	Contracted agency(s) staff who will be attending IEP team meetings, and/or serving as the district's representative are adequately prepared and trained regarding the provision of FAPE, least restrictive environment and making placement decisions based upon the district's continuum of options.	Self-Review and Desk Review (Tier 2 and Tier 3): Evidence to indicate that staff serving as district representative are prepared/trained, for example: <ul style="list-style-type: none"> • Special education policies/procedures • Employee/Staff Handbook • Internal Monitoring Team Process • Professional Development calendar/plan • District's continuum of options that is shared with contracted agency(s) Onsite (Tier 4): Required Evidence: <ul style="list-style-type: none"> • District's continuum of options that is shared with contracted agency(s) • Documentation of professional development provided that school year • Documentation must include all of the following: <ul style="list-style-type: none"> • What was the training: training title and training description is provided • Who was trained: list of preschool staff attended training and • When was the training: date the training was provided • A copy of training materials from one professional development/training provided
			NO	Any of the criteria not met	
			NO	Any of the criteria not met	
			NO	Any of the criteria not met	

DELIVERY OF SERVICES/LEAST RESTRICTIVE ENVIRONMENT

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria {Can answer yes to this? if...}	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met	
5	OAC 3301-51-11 (J)(3)-(5) Delivery of services/least restrictive environment OAC 3301-51-11 (J)(5)(b) Delivery of services/least restrictive environment OAC 3301-51-09 (G)(3)(b) Role of preschool and school-age service providers	a. <i>When contracting for special education and/or related services does the district of residence assure that the contracted agency(s) has the district's list of available preschool educational options located in the community to inform the IEP team's discussions and decisions regarding the child's placement?</i>	YES	a. Written information that assures that the district's list is used to inform the IEP team's discussions and decisions on placement	Self-Review, Desk Review and Onsite (Tier 2-Tier 4) Documentation that district's list was shared with the contracted agency And Documentation for at least one child that the contracted agency used the district's list during an IEP team meeting, for example: <ul style="list-style-type: none"> Optional Least Restrictive Environment placement form for 1 child Document in Prior Written Notice (PR-01) for 1 child Parent Acknowledgement (signed paper) that the list was made available and discussed for 1 child 	
			NO	Any of the criteria not met		
			NA	If district is running the IEP meeting		
	OAC 3301-51-11(J)(8)(b) – supervisory services OAC 3301-51-11 (K) Transportation of children with disabilities OAC 3301-83-17 (A)(6) Authorized Passengers	b. <i>When contracting for special education and/or related services does the district of residence assure that the contracted agency(s) staff acting as the district representative is considering the first option on the least restrictive environment continuum to begin the placement decision-making</i>	YES	b. Written information that assures the contracted agency(s) staff acting as the district representative is considering the first option on the least restrictive environment continuum to begin the placement decision-making process with the parent		Self-Review and Desk Review (Tier 2 – Tier 3) Evidence to indicate that the first option on the LRE continuum was considered, for example: <ul style="list-style-type: none"> Optional Least Restrictive Environment placement form for 1 child, or Document in Prior Written Notice (PR-01) for 1 child and IEP Onsite Review (Tier 4): No additional evidence required. The individual student records written/implemented by the contracted agency on the district's behalf will be selected for record review satisfy this item.
			NO	Any of the criteria not met		
			NO	Any of the criteria not met		

DELIVERY OF SERVICES/LEAST RESTRICTIVE ENVIRONMENT

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria {Can answer yes to this? if...}	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met
		<i>process with the parent?</i>	NA	If district is running the IEP team meeting.	
		<i>c. When contracting for special education and/or related services does the district of residence assure that the contracted agency(s) ensures that the early childhood intervention specialist and/or related service personnel are supporting the lead teacher in the general education classroom, when required?</i>	YES	c. Written information that assures the early childhood intervention specialist and/or related service personnel are supporting the lead teacher in the general education classroom, when required	Self-Review, Desk Review, and Onsite (Tier 2 – Tier 4) Evidence from one source that communicates the district’s requirement to the contracted agency, for example: <ul style="list-style-type: none"> Purchased services agreement/contract Written assurances from contracted agency(s) Communication plan Meeting minutes Emails And evidence from IEPs Onsite Review (Tier 4): No additional evidence required. The individual student records written /implemented by the contracted agency on the district’s behalf will be selected for record review satisfy this item.
			NO	Any of the criteria not met	
			NA	If not contracting for early childhood intervention specialist and/or related service	
		<i>d. When contracting for special education and/or related services does the district of residence assure that the contracted agency(s) is making available and documenting the number of required hours of general education instruction and special education based upon the child’s setting, which was</i>	YES	d. Written information that assures the contracted agency(s) is making available and documenting the number of required hours of general education instruction and special education based upon the child’s setting, which was determined by the IEP team	Self-Review and Desk Review (Tier 2 and Tier 3): Evidence from one source to indicate that required number of hours are being provided, for example: <ul style="list-style-type: none"> Purchased services agreement/contract Written assurances from contracted agency(s) Communication plan Meeting minutes Emails IEP PR-01
			NO	Any of the criteria not met	
			NA	If district is running the IEP team meeting and documenting the number of required hours	

DELIVERY OF SERVICES/LEAST RESTRICTIVE ENVIRONMENT

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria {Can answer yes to this? if...}	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met
		<i>determined by the IEP team?</i>			Onsite Review (Tier 4): No additional evidence required. The individual student records written/implemented by the contracted agency on the district's behalf will be selected for record review satisfy this item.
		<i>e. When contracting for special education and/or related services does the district of residence assure that the contracted agency(s) staff acting as the district representative during the IEP team meeting determines if transportation is necessary so that the preschool child with a disability can access a free appropriate public education, at no cost to the parent?</i>	YES	e. Written information that assures that the contracted agency(s) staff acting as the district representative during the IEP team meeting determines if transportation is necessary so that the preschool child with a disability can access a free appropriate public education, at no cost to the parent	Self-Review, Desk Review and Onsite (Tier 2 - Tier 4) Evidence from one source that communicates the district's requirement to the contracted agency, for example: <ul style="list-style-type: none"> • Purchased services agreement/contract • Written assurances from contracted agency(s) • Communication plan • Meeting minutes • Emails Self-Review and Desk Review (Tier 2 and Tier 3): Evidence from one source to indicate that transportation was provided, if necessary, for example: <ul style="list-style-type: none"> • PR-01 • Section 8 of the IEP Onsite Review (Tier 4): No additional evidence required. The individual student records selected for record review will also be reviewed to satisfy this item.
			NO	Any of the criteria not met	
			NA	If district is not contracting for district representative services	

DELIVERY OF SERVICES/LEAST RESTRICTIVE ENVIRONMENT

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria {Can answer yes to this? if...}	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met
6	Child Outcomes Policy ORC 3301.0714 Guidelines for statewide education management information system OAC 3301-51-03 (D)(1) Data reporting OAC 3301-14-01, operation of education management information system	<i>When contracting for special education and/or related services, does the district of residence assure that preschool special education data for Indicators 6, 7 and 12 are accurately entered into EMIS?</i>	YES	a. The district determines with the contracted agency(s): <ul style="list-style-type: none"> • Who is responsible for reporting Indicators 6, 7 and 12 data to the district, • What Indicators 6, 7 and 12 data are to be reported to the district, • When Indicators 6, 7 and 12 data are to be reported to the district and • How the Indicators 6, 7 and 12 data are to be reported to the district 	Self-Review, Desk Review and Onsite (Tier 2 – Tier 4): Evidence from any source(s) that communicates all of the district’s requirements for Indicators 6, 7 and 12 to the contracted agency, for example: <ul style="list-style-type: none"> • Purchased services agreement/contract • Written assurances from contracted agency(s) • Communication plan • Meeting minutes • Emails
			NO	Any of the criteria not met	
			NA	Contracted Agency not responsible for collecting and reporting Indicator 6, 7, and 12 data to district.	

CHILD OUTCOMES

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria {Can answer yes to this? if...}	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met
7	Child Outcomes Policy ORC 3301.0714 Guidelines for statewide education management information system OAC 3301-51-03 (D)(1) Data reporting OAC 3301-14-01, operation of education management information system	<p>When contracting for special education and/or related services does the district of residence assure that responsibilities regarding the Child Outcomes Summary process are carried out?</p>	YES	<p>a. Written information that assures:</p> <ul style="list-style-type: none"> • Contracted agency staff will be trained in the COS process • Data reported by contracted agency staff on the summary form will be checked for accuracy and quality 	<p>Self-Review and Desk Review (Tier 2 and Tier 3): Evidence from one source that communicates the district's requirement to the contracted agency, for example:</p> <ul style="list-style-type: none"> • Purchased services agreement/contract • Written assurances from contracted agency(s) • Communication plan • Meeting minutes • Emails <p>And Evidence from any source(s) that indicates that contracted agency staff have been trained in the COS process, for example:</p> <ul style="list-style-type: none"> • Professional Development calendar/plan • Staff's Professional Registry (OPR) information <p>And Evidence from any source(s) that indicates that data reported by contracted agency staff on the summary form has been checked for accuracy and quality, for example:</p> <ul style="list-style-type: none"> • COS Quality Assurance Checklist <p>Onsite (Tier 4): Evidence from one source that communicates the district's requirement to the contracted agency, for example:</p> <ul style="list-style-type: none"> • Purchased services agreement/contract • Written assurances from contracted agency(s) • Communication plan • Meeting minutes • Emails <p>And Required Evidence: Documentation that indicates the date of the last Child Outcome Summary (COS) training for contracted agency staff, who provided the training and a list of contracted agency staff that participated</p> <p>And Completed Quality Assurance Checklist for 1 contracted agency staff who completed the COS process</p>
			NO	Any of the criteria not met	

EVALUATION TEAM REPORT (ETR)/INDIVIDUALIZED EDUCATION PROGRAM (IEP)

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria {Can answer yes to this? if...}	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met	
8	OAC 3301-51-03 (A) Child Find OAC 3301-51-06 (A)(2) Evaluations OAC 3301-51-07 (A) Individualized education program (IEP) OAC 3301-51-07 (B) Individualized education program (IEP). OAC 3301-51-01(A) Applicability of requirements OAC 3301-51-09 (H) Personnel qualifications and personnel development	<p>a. When contracting for special education and/or related services does the district of residence assure that the contracted agency(s), when acting on behalf of the district of residence, is compliant with state and federal rules and regulations regarding the:</p> <ul style="list-style-type: none"> • Child Find activities • Evaluation process to determine whether a preschool child is a child with a disability • Development of the preschool child's Individualized Education Program (IEP) • Delivery of Services will be provided in the child's Least Restrictive Environment (LRE) 	YES	<p>a. Written information that assures the contracted agency(s), when acting on behalf of the district of residence, is compliant with state and federal rules and regulations regarding the:</p> <ul style="list-style-type: none"> • Child Find activities • Evaluation process to determine whether a preschool child is a child with a disability • Development of the preschool child's Individualized Education Program (IEP) • Delivery of Services will be provided in the child's Least Restrictive Environment (LRE) 	<p>Self-Review, Desk Review and Onsite (Tier 2 – Tier 4) Evidence from one source that communicates the district's requirement to the contracted agency, for example:</p> <ul style="list-style-type: none"> • Purchased services agreement/contract • Written assurances from contracted agency(s) • Communication plan • Meeting minutes • Emails 	
			NO	Any of the criteria not met		
			NA	If district writes all ETRs and IEPs		
			YES	<p>b. Written information that assures that ETRs and IEPs written by the contracted agency(s) are reviewed for compliance and implemented as written</p>		<p>Self-Review, Desk Review and Onsite (Tier 2 – Tier 4) Evidence that communicates who will be responsible for reviewing ETRs and IEPs written by the contracted agency(s) for compliance and implemented as written, for example:</p> <ul style="list-style-type: none"> • Purchased services agreement/contract • Written assurances from contracted agency(s) • Communication plan <ul style="list-style-type: none"> • Meeting minutes • Emails • Internal monitoring system schedule
			NO	Any of the criteria not met		
			NA	If district writes all ETRs and IEPs		

EVALUATION TEAM REPORT (ETR)/INDIVIDUALIZED EDUCATION PROGRAM (IEP)

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria {Can answer yes to this? if...}	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met
					<p>And</p> <p>Evidence of ETRs and IEPs written by the contracted agency(s) were reviewed by the district or contracted agency(s)</p>
		<p>c. When contracting for special education and/or related services does the district of residence assure that data from the review of ETRs and IEPs written and implemented by the contracted agency(s) is used to make corrections and/or changes to policy or procedures?</p>	YES	c. Written information that assures that data from the review of ETRs and IEPs written and implemented by the contracted agency(s) is used to make corrections and/or changes to policy or procedures.	<p>Self-Review, Desk Review and Onsite (Tier 2 – Tier 4)</p> <p>Evidence that communicates who will be responsible for using data from the review of ETRs and IEPs written and implemented by the contracted agency(s), for example:</p> <ul style="list-style-type: none"> • Purchased services agreement/contract • Written assurances from contracted agency(s) • Communication plan • Meeting minutes • Emails • Internal monitoring system schedule <p>And</p> <p>Evidence that indicates that data was used, for example:</p> <ul style="list-style-type: none"> • Policy/procedure/practices changes based on review of data • Meeting minutes reflecting data discussions
			NO	Any of the criteria not met	
			NA	If district writes all ETRs and IEPs	
		<p>d. When contracting for special education and/or related services does the district of residence assure that the contracted agency(s) agrees with the district in how ETR and IEP compliance is determined?</p>	YES	d. Written documentation of the process in which ETR and IEP compliance is agreed upon between the district and contracted agency(s)	<p>Self-Review, Desk Review and Onsite (Tier 2 – Tier 4)</p> <p>Evidence of the process in which ETR and IEP compliance is agreed upon, for example:</p> <ul style="list-style-type: none"> • Purchased services agreement/contract • Written assurances from contracted agency(s) • Communication plan • Meeting minutes • Emails • Written process
			NO	Any of the criteria not met	
			NA	If district writes all ETRs and IEPs	

EVALUATION TEAM REPORT (ETR)/INDIVIDUALIZED EDUCATION PROGRAM (IEP)

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria {Can answer yes to this? if...}	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met
		<p>e. When contracting for special education and/or related services does the district of residence assure that the contracted agency(s) ensures that their staff receive professional development on writing compliant ETRs and IEPs?</p>	YES	<p>e. Written information that assures the contracted agency(s) ensures that their staff receive professional development on writing compliant ETRs and IEPs</p>	<p>Self-Review and Desk Review (Tier 2 and Tier 3): Evidence that communicates the district’s requirement to the contracted agency, for example:</p> <ul style="list-style-type: none"> • Purchased services agreement/contract • Written assurances from contracted agency(s) • Communication plan • Meeting minutes • Emails <p>And Evidence from any source(s) that indicates that contracted agency staff have been trained on writing compliant ETRs and IEPs, for example:</p> <ul style="list-style-type: none"> • Training plan • Training calendar • Training sign-in sheet <p>Onsite (Tier 4): Evidence that communicates the district’s requirement to the contracted agency, for example:</p> <ul style="list-style-type: none"> • Purchased services agreement/contract • Written assurances from contracted agency(s) • Communication plan • Meeting minutes • Emails <p>And Required Evidence: Documentation of all professional development on ETRs and IEPs provided. Documentation must include all of the following:</p> <ul style="list-style-type: none"> • What was the training: Training title and training description is provided, • Who was trained: list of preschool staff attended training and • When was the training: date the training was provided.
			NO	<p>Any of the criteria note met</p>	
			NA	<p>If district writes all ETRs and IEPs</p>	

EVALUATION TEAM REPORT (ETR)/INDIVIDUALIZED EDUCATION PROGRAM (IEP)

Item Number	Regulation	PS IDEA Monitoring Question	Compliant	Criteria {Can answer yes to this? if...}	Potential Source(s) of Documentation/Evidence That Show Criteria Have Been Met
					<ul style="list-style-type: none"> • Training plan • Training calendar • Training sign in sheet <ul style="list-style-type: none"> • A copy of training materials from one preschool ETR training and/or from one preschool IEP training
		<p><i>f. When contracting for special education and/or related services does the district of residence assure that the contracted agency(s) ensures that their staff receive targeted professional development on writing compliant ETRs and IEPs based upon the results of a review of ETRs and IEPs and tailored to meet the individual needs of staff?</i></p>	<p>YES</p>	<p>f. Written information that assures the contracted agency(s) ensures that their staff receive targeted professional development on writing compliant ETRs and IEPs based upon the results of a review of ETRS and IEPs and tailored to meet the individual needs of staff</p> <ol style="list-style-type: none"> 1. What data was analyzed? Identify data source (examples may be staff needs survey, Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs) knowledge quiz, record review results from internal monitoring, Improvement Plan, Profile etc.) 2. What decision was made based on the analyzed data? Identify the support based on the data 3. What evidence is provided to show the support was given as planned? Provide evidence that the support (For example, Professional development/Training, coaching) was given 	<p>Self-Review, Desk Review and Onsite (Tier 2 – Tier 4)</p> <p>Evidence that communicates the district’s requirement to the contracted agency, for example:</p> <ul style="list-style-type: none"> • Purchased services agreement/contract • Written assurances from contracted agency(s) • Communication plan • Meeting minutes • Emails <p>And</p> <p>Evidence that contracted agency staff receive targeted professional development on writing compliant ETRs and IEPs based upon the results of data:</p> <ol style="list-style-type: none"> 1. Data Evidence: Meeting minutes of data discussions 2. Identify Targeted Support: Meeting minutes of data discussions and the outcome of targeted support necessary 3. Targeted support provided (For example, Professional development/training, coaching): <ul style="list-style-type: none"> • Training plan • Training calendar • Training sign in sheet • Coaching meeting
			<p>NO</p>	<p>Any of the criteria not met</p>	
			<p>NA</p>	<p>If district writes all ETRs and IEPs</p>	

APPENDIX 5:
Optional - Tier 3 PS IDEA
Monitoring Questions Response Form

Optional - Tier 3 PS IDEA Monitoring Questions Response Form

District Name: _____

District IRN: _____

This optional form is provided for districts selected for Tier 3 Preschool (PS) Individuals with Disabilities Education Act (IDEA) Monitoring to assist with recording responses to the PS IDEA Monitoring Questions. Districts **will not** submit this response form or evidence documents to the Preschool Special Education team for the state of Ohio as part of the PS Tier 3 monitoring process.

Steps:

- The district establishes a preschool leadership team for review and discussion of the PS IDEA Monitoring Questions. Identify the members of the preschool leadership team (see *Tier 3 Preschool IDEA Monitoring Process Guide* for required team members):

NAME	DISTRICT TITLE	REQUIRED ROLE(S)

- The preschool leadership team reviews the assigned questions, the criteria and district documents to determine whether the district is compliant for each item number.
- Record the preschool leadership team's determination of compliance with Yes, No or Not Applicable (NA) for each item number in the chart below.
- If the preschool leadership team determines the district is not compliant, list the criteria not met in the Criteria column.
- List the title of the evidence document used to meet the criteria for compliance. For evidence contained in multipage documents, identify the page number(s) in which the policy, procedures, practices and/or processes can be found.

SECTION 1: QUESTIONS FOR DISTRICT

This section is to be completed by **all districts**.

Table 3 Questions for District

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
WC-1	<i>Does the district have written policies and procedures that comply with state and federal rules for determining workload/caseload?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			
WC-2	<i>Do all district early childhood intervention specialists and related service personnel workload/caseload's always meet the district's requirements for their positions, whether center based and/or itinerant?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
SQ-1	<i>Does the district have written policies and procedures that address staff qualifications/ credential requirements at time of hire?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
SQ-2	<i>Do all preschool staff currently meet the required qualifications/ credentials necessary for their position?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
SQ-3	<i>Does the district have a Preschool Special Education Supervisor that meets the qualifications/credentials necessary for the position?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
SQ-4	<i>Does the district's Preschool Special Education Supervisor fulfill the required responsibilities for preschool supervisory services?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
PD-1	<i>Does the district have written policies and procedures to ensure preschool staff are appropriately and adequately prepared and trained to provide services to preschool children with disabilities?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
PD-2	<i>Does the district implement their policies and procedures to ensure staff are appropriately and adequately prepared and trained to provide services to preschool children with disabilities?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
DS/ LRE-1	<i>Does the district have written policies and procedures that comply with state and federal rules to ensure that children are receiving a free and appropriate public education in the least restrictive environment?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			
DS/ LRE-2	<i>Does the district make a full continuum of options available?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
DS/ LRE-3	<i>Do preschool staff receive professional development and/or training regarding the district's continuum of options and making placement decisions?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
DS/ LRE-4	<i>Does the district use a list of the available preschool education service options in the community to inform discussions and decisions on placement?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			
DS/ LRE-5	<i>Does the district use the first option on the Least Restrictive Environment continuum to begin the placement decision-making process with the parent during the Individualized Education Program (IEP) meeting?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
DS/ LRE-6	<i>Does the district document the number of required hours of general education instruction and special education based upon the setting that the Individualized Education Program (IEP) team determined for each child?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
DS/ LRE-7	<i>Does the district ensure early childhood intervention specialists or related service personnel support lead teachers in general education classrooms?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
DS/ LRE-8	<i>Does the district have written procedures in place to ensure data regarding preschool educational environments are accurately entered into Education Management Information System (EMIS)?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
DS/ LRE-9	<i>If the Individualized Education Program (IEP) team determines transportation is necessary for preschool special education children to access a free and appropriate education, is it provided at no cost to the parent or guardian?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
CO-1	<i>Does the district have written policies and procedures that comply with the state Child Outcomes Policy?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			
CO-2	<i>Does the Preschool supervisor complete all Child Outcomes Summary supervisor responsibilities?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
C/B-1	<i>Does the district have written policies and procedures that meet state and federal compliance about transitioning from Part C Early Intervention?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			
C/B-2	<i>Does the district have an Interagency Agreement?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			
C/B-3	<i>Do partners meet annually to review and revise the interagency agreement?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
C/B-4	<i>Does the district have written procedures in place to ensure data regarding Part C Early Intervention to Part B Preschool Special Education transitions are accurately entered into Education Management Information System (EMIS)?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			
ETR/ IEP-1	<i>Does the district have written policies and procedures that comply with state and federal rules regarding Child Find, Evaluations, Individualized education program (IEP), and Delivery of Services for preschool students with disabilities?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			
ETR/ IEP-2	<i>Does the district have an internal system to ensure compliant preschool Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs)?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
ETR/ IEP-3	<i>Does the district use data from their internal system of reviewing Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs) for compliance to make policy/procedures/process changes?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
ETR/ IEP-4	<i>Do all necessary preschool staff receive professional development on writing compliant preschool Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs)?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
ETR/ IEP-5	<i>Does the district review preschool Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs) for compliance?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
ETR/ IEP-6	<i>Based on results of data does the district have targeted professional development to support staff on writing compliant preschool Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs)?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
PP-1	<i>Does the district provide its preschool staff access to all its written preschool special education policies and procedures?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			

SECTION 2: QUESTIONS FOR DISTRICT WHEN CONTRACTING SERVICES

Section 2 must also be completed by the District of Residence (DOR) when they purchase special education and/or related services for preschool children with disabilities.

Please list below all agencies the district is contracting with for preschool special education and/or related services:

Name of Agency:

Item Number	PS IDEA Monitoring Question	Compliant	Criteria <small>(If the preschool leadership team determines the district is not compliant, list the criteria not met)</small>	Title of Evidence Document	Page Number
WC-1	<i>When contracting for special education and/or related services, does the district of residence assure that the service providers have enough time to provide specially designed instruction and/or direct related service to all assigned children?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			
SQ-2	<i>When contracting for special education and/or related services, does the district of residence assure that the service providers meet the required qualifications/credentials necessary for their position?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
CP-3	<p>a. When contracting for special education and/or related services does the district of residence and the contracted agency(s) communicate with one another regarding how the agreed upon services are being fulfilled?</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
	<p>b. When contracting for special education and/or related service does the district of residence and the contracted agency(s) communicate with one another regarding how the required responsibilities for preschool special education supervisory services are fulfilled?</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
	c. When contracting for special education and related services does the district of residence and the contracted agency(s) communicate with one another regarding the timely resolution of parent concerns	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
PD-4	a. When contracting for special education and/or related services, does the district of residence assure that the service providers are appropriately and adequately prepared and trained to provide special education and related services to preschool children with disabilities.	<input type="checkbox"/> YES <input type="checkbox"/> NO			
	b. When contracting for special education and/or related services, does the district of residence assure that the service	<input type="checkbox"/> YES <input type="checkbox"/> NO			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
	<i>providers who will be attending IEP team meetings, and/or serving as the district's representative are adequately prepared and trained regarding the provision of FAPE, least restrictive environment and making placement decisions based upon the district's continuum of options.</i>				
DS/LRE-5	a. When contracting for special education and/or related services does the district of residence assure that the contracted agency(s) has the district's list of available preschool educational options located in the community to inform the IEP team's discussions and decisions regarding the child's placement?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
	b. When contracting for special education and/or related services	<input type="checkbox"/> YES <input type="checkbox"/> NO			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
	does the district of residence assure that the contracted agency(s) staff acting as the district representative is considering the first option on the least restrictive environment continuum to begin the placement decision-making process with the parent?	<input type="checkbox"/> NA			
	c. When contracting for special education and/or related services does the district of residence assure that the contracted agency(s) ensures that the early childhood intervention specialist and/or related service personnel are supporting the lead teacher in the general education classroom, when required?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
	d. When contracting for special education and/or related services does the district of	<input type="checkbox"/> YES <input type="checkbox"/> NO			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
	<i>residence assure that the contracted agency(s) is making available and documenting the number of required hours of general education instruction and special education based upon the child's setting, which was determined by the IEP team?</i>	<input type="checkbox"/> NA			
	e. <i>When contracting for special education and/or related services does the district of residence assure that the contracted agency(s) staff acting as the district representative during the IEP team meeting determines if transportation is necessary so that the preschool child with a disability can access a free appropriate public education, at no cost to the parent?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
DS/LRE 6	When contracting for special education and/or related services, does the district of residence assure that preschool special education data for Indicators 6, 7 and 12 are accurately entered into EMIS?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
CO-7	When contracting for special education and/or related services does the district of residence assure that responsibilities regarding the Child Outcomes Summary process are carried out?	<input type="checkbox"/> YES <input type="checkbox"/> NO			
ETR/IEP 8	a. When contracting for special education and/or related services does the district of residence assure that the contracted agency(s), when acting on behalf of the district of residence, is compliant with state and federal rules and regulations regarding the: <ul style="list-style-type: none"> • Child Find activities • Evaluation process to determine whether a 	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
	<p><i>preschool child is a child with a disability</i></p> <ul style="list-style-type: none"> • <i>Development of the preschool child's Individualized Education Program (IEP)</i> • <i>Delivery of Services will be provided in the child's Least Restrictive Environment (LRE)</i> 				
	<p>b. When contracting for special education and/or related services does the district of residence assure that ETRs and IEPs are reviewed for compliance and implemented as written?</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
	<p>c. When contracting for special education and/or related services does the district of residence assure that data from the review of ETRs and IEPs written and implemented by the contracted agency(s) is used to make corrections and/or changes to policy or procedure?</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
	<p>d. When contracting for special education and/or related services does the</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO			

Item Number	PS IDEA Monitoring Question	Compliant	Criteria (If the preschool leadership team determines the district is not compliant, list the criteria not met)	Title of Evidence Document	Page Number
	district of residence assure that the contracted agency(s) agrees with the district in how ETR and IEP compliance is determined?	<input type="checkbox"/> NA			
e.	When contracting for special education and/or related services does the district of residence assure that the contracted agency(s) ensures that their staff receive professional development on writing compliant ETRs and IEPs?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			
f.	When contracting for special education and/or related services does the district of residence assure that the contracted agency(s) ensures that their staff receive targeted professional development on writing compliant ETRs and IEPs based upon the results of a review of ETRs and IEPs and tailored to meet the individual needs of staff?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA			

APPENDIX 6:

Tier 3 Improvement Plan Template

Preschool IDEA Monitoring Tier 3 Improvement Plan

District:

IRN:

State Support Team Region:

Topic Area of Improvement:			
Summary of Evidence Leading to Improvement			
Goal:			
Activity	Evidence of Completion	Evidence of Improvement (Impact)	Implementation Timeline
Resources Needed:			

Alignment to Other District Improvement Plans

Step Up to Quality Improvement Plan(s)
One Plan

Signatures

Preschool District Lead		
Name:	Date:	Email:
Signature:		
Superintendent		
Name:	Date:	Email:
Signature:		
State Support Team Preschool Special Education Consultant		
Name:	Date:	Email:
Signature:		
Preschool Special Education Team		
Preschool Special Education Team Administrator:	Date:	Email:
Signature:		
<input type="checkbox"/> Approved Comments:	<input type="checkbox"/> Revisions required Comments:	

APPENDIX 7: PS Record Review Guide

Preschool Record Review Guide

The Preschool Special Education team for the state of Ohio has developed the following Preschool Record Review Guide and Preschool Record Review Comment Form to determine compliance and document the review of individual preschool student records. As part of the internal monitoring process, the district will review Evaluation Team Reports (ETRs) and Individualized Education Programs (IEPs) for compliance using the guide to document and summarize the findings. The Record Review Guide and Record Review Comment form are the same tools used by Department staff when reviewing submitted records for compliance.

The Record Review Guide outlines the record review questions in detail showing what is needed to be considered compliant. The guide is separated into three sections. These sections include Child Find, Delivery of Service and Least Restrictive Environment. Each record review item is comprised of the regulation in rule in which the item is associated, the record review question, a determination that the item is or is not compliant or is not applicable, evidence that is used as criteria to determine if the item is or is not compliant and potential source(s) of documentation where the evidence could be found.

CHILD FIND					
Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
CF-1	300.305(a) [Review of existing evaluation data] 3301-51-11(G)(1)(a) [Evaluations]	<i>For children transitioning from Part C Early Intervention (EI), did the educational agency utilize child information from the Individual Family Service Plan (IFSP) and other documentation provided by Part C EI in suspecting or when determining eligibility for Part B supports and services?</i> <i>*Initial Evaluation Only</i>	YES	Information from Part C EI must be documented and can include: <ul style="list-style-type: none"> Observations in more than one setting and in multiple activities, Interviews (information provided by parents or caregiver), Results of the required Part C EI assessments, Information included within the PR-01 and Information included within the PR-04 referral form Please note: This can include ANY information pertaining to the child coming from Part C EI.	<ul style="list-style-type: none"> Early Intervention forms Records from the Transition Conference PR-06 ETR – Part 2 PR-04 Referral Form PR-01 Prior Written Notice
			NO	There is no evidence that the data indicated above are documented as part of the decision-making process for suspecting or determining eligibility.	
			NA	The child is not transitioning from Part C EI to Part B.	

CHILD FIND

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
CF-2	3301-51-06(A) [Evaluations – General]	<i>Does the educational agency provide interventions to resolve concerns for any child who is transitioning from Part C EI and/or receiving services from Part B of Individuals with Disabilities Education Act (IDEA) or is being evaluated under the suspected disability category of specific learning disability?</i>	YES	<p>The record shows evidence of intervention data and provides a summary of the interventions that have been implemented prior to referral OR during the evaluation process.</p> <p>For initial evaluations, the summary of interventions provided must include:</p> <ol style="list-style-type: none"> 1. A description of the research-based intervention(s) used, 2. How long the intervention was provided (how many weeks), 3. The intensity of the intervention – how often, and for how many minutes, 4. A description of the results compared to the baseline data and 5. The decision as a result of the intervention(s) <p>Please note that if a child is attending a community childcare and not currently receiving Part B IDEA services then the district would NOT be required to provide any summary of interventions.</p> <p>For reevaluations, the summary of interventions provided would include:</p> <ol style="list-style-type: none"> 1. A description as delineated above if interventions were provided in addition to the specially designed instruction, related services, and other supports contained in the IEP, 2. If no additional interventions were provided, a statement that it was determined by the ETR team that the student is making adequate progress with current special education supports and services required in the IEP and 3. This area cannot be left blank and must refer to actual interventions, if provided, and not simply accommodations or modifications. 	<ul style="list-style-type: none"> • PR-06 ETR – Part 2
			NO	The student record contains no evidence that interventions were provided for a child that transitioned from Part C EI and/or receiving services from Part B; OR For a reevaluation, there is no statement that the student was making adequate progress with current special education supports and services.	
			NA	Transfer ETR from previous educational agency; OR The preschool child did not previously receive services under Part C EI and/or Part B of IDEA.	

CHILD FIND

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
CF-3	300.501(b) [Parent participation in meetings] 300.9 [Consent]	<i>Were the parents/guardians provided the opportunity to be involved in the ETR planning meeting to establish informed parental consent?</i>	YES	There is evidence of parental involvement ; OR Evidence the parent was provided the opportunity to participate in the ETR planning meeting. This also applies to in-state transfer ETRs adopted by the educational agency. Note: A new evaluation for a child who transfers into Ohio from another state is considered to be an initial evaluation in Ohio.	<ul style="list-style-type: none"> • Evaluation Planning Form • PR-01 Prior Written Notice • PR-02 Parent Invitation • PR-04 Referral Form • Other Documentation: Phone logs, parent contact logs, e-mails, conference calls • Documentation of educational agency and parent agreement (must be verified by consultant for compliance) • If transfer ETR, adopting educational agency documentation of parent involvement in the ETR planning
			NO	No evidence of parental involvement; OR No evidence the parent was provided the opportunity to participate in the ETR planning meeting.	
			NA	The parent and the educational agency agreed that a reevaluation was unnecessary.	

CHILD FIND

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
CF-4	300.300 [Parental Consent] 300.9 [Consent]	Was written, informed parental consent obtained prior to an evaluation?	YES	Signed PR-05 Parent Consent for Evaluation OR for a re-evaluation evidence that the district made reasonable efforts to obtain consent for evaluation and the child’s parent failed to respond. AND the Part 1 (Individual Evaluator’s Assessment) only included evaluations noted on the planning form.	<ul style="list-style-type: none"> • PR-05 Parent Consent for Evaluation • PR-01 Prior Written Notice • OP-9 Attempts to Obtain Parent Participation
			NO	No evidence of PR-05; OR PR-05 is signed prior to the planning form date; OR The evaluation report addressed other areas NOT noted on the planning form; OR An individual evaluator’s assessment was completed prior to the date of consent; OR Consent was not obtained in writing.	
			NA	The parent and the educational agency agreed in writing that a reevaluation was unnecessary and provided supporting documentation.	

CHILD FIND

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
CF-5	300.304 (c) [Other evaluation procedures]; 300.307-311 [Additional Procedures for Identifying Children with Specific Learning Disabilities] 3301-51-11 (G)(1)(a-e) [Evaluations]	<i>Is there evidence that the evaluation addresses all areas related to the suspected disability and evidence that each assessment method was used at least once?</i> Note: The screening of a child shall not be considered to be an evaluation for eligibility for special education and related services.	YES	There is evidence that the evaluation addresses all areas related to the suspected disability including: <ul style="list-style-type: none"> Adaptive Behavior Cognition (including pre-academic) Communication Hearing Vision Sensory/Motor Functioning Social/Emotional Functioning Behavioral Functioning There are additional procedures for evaluating for Specific Learning Disabilities, Multiple Disabilities, Deafness or Hearing Impairment and preschool-age children. There is evidence that each assessment method was used at least once. These methods include, but are not limited to, <ul style="list-style-type: none"> Data from Part C EI. This only applies if the child is transitioning from Part C Early Intervention. Data from community or preschool program providers is required if the child attends such program in the past 12 months. 3301-51-06 (F)(1) Structured observations in more than one setting and in multiple activities (minimum of two observations) Information provided by the parent or caregiver Criterion-referenced evaluation Norm-referenced evaluation The evaluation report addressed all areas noted on the planning form in Part 1.	<ul style="list-style-type: none"> Preschool Evaluation Planning Form PR-04 Referral Form PR-01 Prior Written Notice OP-4 Agreement to Waive Reevaluation
			NO	The evaluation report did not address all developmental areas and assessment method/data sources; OR The evaluation report did not address all areas noted on the planning form in a Part 1; OR There is no Planning Form.	
			NA	The parent and the educational agency agreed that a reevaluation is not necessary.	

CHILD FIND

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
CF-6	300.306 (c) [Procedures for determining eligibility and educational need]	Does the ETR clearly state the summary of assessment results? Note: All information in Part 1s (Individual Evaluator's Assessment) must be summarized in Part 2.	YES	There is a clear and concise summary of the data/information obtained during the evaluation process for the results of each Part 1 assessment. The summary of the assessment results is in language understandable to the parent.	• PR-06 ETR – Part 2
			NO	The ETR does not contain a clear summary of the results of all the data and assessments; OR There is merely a re-statement of all the assessments conducted without a concise summarization; OR The summary is not stated in parent- friendly language.	
			NA	The parent and the educational agency agreed that a reevaluation is not necessary.	
CF-7	300.306 (c) [Procedures for determining eligibility and educational need]	Does the ETR contain a clear and succinct description of educational needs?	YES	The description of educational needs contains specific and adequate information about the child that will allow the IEP team to develop an effective and actionable IEP based on educational needs synthesized from all Part 1s of the ETR. This includes the need for special education, related services and other supports.	• PR-06 ETR – Parts 1 and 2
			NO	The ETR does not contain a description of educational needs for the child or contains generic information that is not individualized to the child's needs; OR The ETR does not address educational needs described in Part 1s, or educational needs described in Part 1 were omitted in Part 2 without explanation.	
			NA	The parent and the educational agency agreed that a reevaluation is not necessary; OR This ETR substantiates the decision that the child no longer qualifies as a child with a disability under IDEA.	

CHILD FIND

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
CF-8	300.306 (c) [Procedures for determining eligibility and Educational need]	<i>Does the ETR contain specific implications for instruction?</i>	YES	The ETR clearly describes the implications for specially designed instruction and, if applicable, related services based on implications for instruction synthesized from all Part 1s of the ETR.	<ul style="list-style-type: none"> PR-06 ETR – Parts 1 and 2
			NO	There is no description of the implications for instruction; OR The implications description is generic in nature and does not address the individualized needs of this child; OR The ETR does not address implications for instruction described in Part 1, or that information is omitted from Part 2 without explanation.	
			NA	The parent and the educational agency agreed that a reevaluation is not necessary; OR This ETR substantiates the decision that the child no longer qualifies as a child with a disability under IDEA.	

CHILD FIND

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
CF-9	<p>300.306(a)(1) [Determination of eligibility]</p> <p>300.303(a) [Reevaluations]</p> <p>3301-51-11 (G)(2)(a-d) [Evaluations]</p>	<p><i>Did a group of qualified professionals and the parent of the child determine whether the child is a child with a disability?</i></p> <p>Note: The OP-5 Parent/Guardian Excusal form is not applicable for the evaluation team.</p>	YES	<p>Initial Evaluations for Preschool</p> <p>For Initial Evaluations the group includes:</p> <ol style="list-style-type: none"> 1. Parent 2. At least 2 representatives of the school district who collectively meet the following requirements: <ul style="list-style-type: none"> • Qualified to provide or supervise the provision of specially designed instruction to meet the unique needs of the child, • Qualified to provide or supervise the provision of instruction in the preschool general education curriculum, • Authorized to make decisions about the use of school district resources for special education and related services and • Qualified to interpret the instructional implications of evaluation results. 3. Additional group members for determining a specific learning disability (SLD) would include: <ul style="list-style-type: none"> • The child’s general education teacher; or if the child does not have a general education teacher, a general education classroom teacher qualified to teach a child of their age, or • For a child of less than school age, an individual qualified by the State Educational Agency to teach a child of his or her age and • At least one person qualified to conduct individual diagnostic examinations of children, such as a school psychologist and/or speech- language pathologist. 	<ul style="list-style-type: none"> • PR-06 ETR – Section 1 Individual Evaluator’s Assessment and Section 5 Signatures • PR-01 Prior Written Notice to parents • PR-02 Parent Invitation • Documentation of educational agency and parent agreement (must be verified by consultant for compliance) • OP-9 Attempts to Obtain Parent Participation

CHILD FIND

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
CF-9 (Continued)	300.306(a)(1) [Determination of eligibility] 300.303(a) [Reevaluations]	<i>Did a group of qualified professionals and the parent of the child determine whether the child is a child with a disability?</i> Note: The OP-5 Parent/Guardian Excusal form is not applicable for the evaluation team.	YES	For Preschool Reevaluation The IEP team is the Qualified Team, which includes: <ol style="list-style-type: none"> 1. Parent 2. General education teacher 3. Special education provider 4. At least 2 representatives of the school district who collectively meet the following requirements: <ul style="list-style-type: none"> • Qualified to provide or supervise the provision of specially designed instruction to meet the unique needs of the child, • Qualified to provide or supervise the provision of instruction in the preschool general education curriculum, • Authorized to make decisions about the use of school district resources for special education and related services and • Qualified to interpret the instructional implications of evaluation results. 5. At the discretion of the parent or the school district, other individuals who have knowledge or special expertise regarding the child, including related services personnel, as appropriate. If related services are provided to the child or are indicated in the ETR, the related service personnel should be part of the ETR team. 	<ul style="list-style-type: none"> • PR-06 ETR – Section 1 Individual Evaluator’s Assessment and Section 5 Signatures • PR-01 Prior Written Notice to Parents • PR-02 Parent Invitation • Documentation of educational agency and parent agreement (must be verified by consultant for compliance)
			NO	Eligibility was not determined by a group of qualified professionals.	
			NA	The parent and the educational agency agreed that a reevaluation is not necessary.	

CHILD FIND

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
CF-10	3301-51-01 (B)(10) [Definitions] 3301-51-06 [Evaluations]	<i>Did the ETR team provide a justification for the eligibility determination decision?</i>	YES	The statement provides a justification for the eligibility determination decision describing how the student meets or does not meet the eligibility criteria for all suspected disability categories in which the child was being assessed AND The justification statement includes how the disability affects the child's progress in the general education curriculum.	<ul style="list-style-type: none"> • PR-06 ETR – Part 4
			NO	The statement does not provide a justification for the eligibility determination decision describing how the student meets or does not meet the eligibility criteria for all suspected disability categories in which the child was being assessed; OR The justification statement does not include how the disability affects the child's progress in the general education curriculum; OR SLD was suspected but Part 3 was not completed.	

DELIVERY OF SERVICE

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
DS-1	3301-51-11 D(3)(e) [Child Find] 3301-51-02 (G) [FAPE]	<i>Did the IEP team consider extended school year services as part of the IEP process?</i>	YES	There is evidence that the IEP team considered extended school year services in order to prevent significant regression of skills or knowledge and to avoid something more than adequately recoupable regression. This can include: <ul style="list-style-type: none"> If child is transitioning from Part C EI, records, and documentation from the Transition Planning Conference, Summary of decisions documented in the PR-01, If extended school year services are determined to be necessary, the completion of Section 4 in the IEP. 	<ul style="list-style-type: none"> PR-07 IEP- Section 4 PR-01 Prior Written Notice Part C EI forms Records from the Transition Conference
			NO	The student record contains no evidence that extended school year services were considered.	

DELIVERY OF SERVICE

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
<p>DS-2</p>	<p>300.320(a)(1) [Definition of individualized education program]</p>	<p><i>Does the IEP include Present Levels of Academic Achievement and Functional Performance that address the needs of the student?</i></p>	<p>YES</p>	<p>Present Levels of Performance must include the following information as it relates to each goal:</p> <ul style="list-style-type: none"> • Summary of current daily academic/behavior and/or functional performance compared to expected <u>grade-level standards</u> or to expected <u>age-appropriate performance</u> in order to provide a frame of reference for annual goal development in the specific area of academic and/or functional need, • Baseline data provided for developing a measurable goal (for example, ETR results, if current, formative academic assessments, curriculum-based measurements, transition assessments or functional behavior assessments) and • Current performance measurement directly relates to the goal measurement. 	<ul style="list-style-type: none"> • PR-07 IEP – Section 6 (Present Level of Academic Achievement and Functional Performance)
			<p>NO</p>	<p>Present levels of performance do not provide a detailed and targeted summary of current daily academic/behavior and /or functional performance related to the development of measurable goals; OR there is no comparison to grade-level or age- appropriate performance expectations.</p>	

DELIVERY OF SERVICE

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
DS-3	300.320(a)(2)(i) [Definition of individualized education program]	Are annual goals stated in measurable terms?	YES	<p>Annual goals are stated in measurable terms that describe what can be taught to the child using specially designed instruction within a twelve-month period.</p> <p>A measurable annual goal must contain the following:</p> <ul style="list-style-type: none"> Clearly <u>defined behavior</u>: the specific action the child will be expected to perform, The <u>condition</u> (situation, setting or given material) under which the behavior is to be performed and <u>Performance criteria</u> desired: the level the child must demonstrate for mastery AND the number of times the child must demonstrate the skill or behavior. <p>The goal must be measurable on its own.</p>	<ul style="list-style-type: none"> PR-07 IEP – Section 6 (Measurable Annual Goals)
			NO	<p>The annual goals do not describe what can be taught to the child using specially designed instruction, and the goal is missing one or more of the above criteria.</p>	

DELIVERY OF SERVICE

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
DS-4	300.320(a)(2)(i) [Definition of individualized education program]	Do annual goals address the child’s functional area(s) of need?	YES	There is alignment between the functional needs identified in the ETR and the annual goals; OR There is evidence in the IEP that the IEP team, based on the severity of needs, decided to prioritize certain needs above others; OR There is a statement that the IEP team has determined there is no longer a need for a specific goal. For Preschool , Functional refers to skills and behaviors that are meaningful to the child in the context of everyday living including academic and preacademic skills.	• PR-07 IEP – Section 6
			NO	The annual goals fail to reasonably address functional area(s) of need identified in the ETR and/or IEP.	
DS-5	300.320(a)(4) [Definition of individualized education program] 3301-51-01 (B) (54) [Definition of Related Services] 3301-51-01(B) (60) (b) (iii) [Definition of Specially Designed Instruction]	Does the IEP contain a statement of specially designed instruction, including related services, that addresses the needs of the child and supports annual goals?	YES	The IEP specifically identifies the provision of specially designed instruction (SDI) and related services AND describes the nature of the instruction that aligns with the needs of the child AND supports achievement of annual goals. The SDI describes skills and methods used for instruction specific to the goal; OR The child is receiving related services that the IEP team has determined is specially designed instruction.	• PR-07 IEP – Section 7 Description(s) of Specially Designed Services
			NO	The IEP does not specifically identify the provision of specially designed instruction, including related services, AND/OR does not describe the nature of the instruction that aligns with the needs of the child AND/OR does not support achievement of annual goals.	

DELIVERY OF SERVICE

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
DS-6	300.320(a)(7) [Definition of individualized education program]	<i>Does the statement of specially designed instruction, including related services, indicate the location where it will be provided?</i>	YES	The IEP specifically identifies the location of services. If more than one location, each location is separated to show the specially designed instruction and/or related services for each location.	<ul style="list-style-type: none"> PR-07 IEP – Section 7 Description(s) of Specially Designed Services (Location of Services)
			NO	The IEP does NOT specify where specially designed instruction and/or related services will be provided; OR Each location is not separated to show the specially designed instruction and/or related services for each location.	
DS-7	300.320(a)(7) [Definition of individualized education program]	<i>Does the statement of specially designed instruction, including related services, indicate the amount of time and frequency?</i>	YES	The statement of specially designed instruction and/or related services specifically identifies the amount of time and frequency of services the child will receive AND it is clear and understandable to parents.	<ul style="list-style-type: none"> PR-07 IEP – Section 7 Description(s) of Specially Designed Services (Amount of Time and Frequency)
			NO	The specially designed instruction statement does not specify the amount of time and frequency of services received; OR More than one goal or provider is specified in the amount of time; OR Amounts of time and frequency are not clear and understandable to parents regarding when services are being provided.	

DELIVERY OF SERVICE

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
<p>DS-8</p>	<p>300.324(a)(2)(v) [Consideration of special factors]</p>	<p><i>Does the IEP identify assistive technology to enable the child to be involved and make progress in the general education curriculum?</i></p>	<p>YES</p>	<p>The IEP includes assistive technology and/or assistive technology services to meet the described needs for the child. For clarity, the statement should include how the device or the service meets the needs of the child.</p> <ul style="list-style-type: none"> • Assistive Technology Device: any device item, piece of equipment, or product system, whether acquired commercially off the shelf, modified, or customized, that directly assist a child with a disability to increase, maintain, or improve his or her functional capabilities. A medical device that is surgically implanted or the replacement of such a device is not included under the term “assistive technology device.” • Assistive Technology Service: Any service that directly assists the child in the selection, acquisition or use of an assistive technology device. 	<ul style="list-style-type: none"> • PR-07 IEP – Section 2 Special Instructional Factors • PR-07 IEP – Section 7 Description(s) of Specially Designed Services-Assistive Technology or Accommodations
			<p>NO</p>	<p>Assistive technology and/or services were identified in the ETR but not included on the IEP; OR Assistive technology is listed as needed, at the discretion of the teacher, as requested; OR Assistive technology is generic and not specific to individual needs.</p>	
			<p>NA</p>	<p>Based on the needs of the child, assistive technology and/or services were not identified at this time.</p>	

DELIVERY OF SERVICE

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
DS-9	300.320(a)(6)(i) [Definition of individualized education program]	<i>Does the IEP identify accommodations provided to enable the child to be involved and make progress in the general education curriculum?</i>	YES	The IEP describes accommodations provided to the child and explains the conditions for and the extent of each accommodation. Accommodations provide access to course content but do not alter the scope or complexity of the information taught to the child.	<ul style="list-style-type: none"> PR-07 IEP – Section 7 Description(s) of Specially Designed Services – Accommodations
			NO	Accommodations are noted in the Profile or Present Levels of Performance or in the ETR only and not listed in Section 7; OR Accommodations were identified by the IEP team but not included on the IEP; OR Accommodations are listed as needed, at the discretion of the teacher, as requested; OR The conditions and/or extent of each accommodation were not explained.	
			NA	Based on the needs of the child, accommodations were not identified at this time.	
DS-10	300.320(a)(4) [Definition of individualized education program]	<i>Does the IEP identify modifications to enable the child to be involved and make progress in the general education curriculum?</i>	YES	The IEP describes the type of modification and the extent of the modification provided to the child. Modifications means changes made to the content that students are expected to learn where the amount or complexity of materials is altered from grade-level curriculum expectations. When an instructional or curriculum modification is made, either the specific subject matter is altered or the performance expected of the student is changed. Sometimes the nature and severity of the student’s disability require that both the materials and the performance expected of the student be changed. Modifications of the curriculum result in the child being taught the same information as the same-age and grade-level peers, but with less complexity.	<ul style="list-style-type: none"> PR-07 IEP, Section 7 Description(s) of Specially Designed Services- Modifications Profile or Present Levels of Performance
			NO	The IEP does not describe the type of modification and the extent of the modification provided to the child; OR Modifications are listed as needed, at the discretion of the teacher, as requested.	
			NA	Based on the needs of the child, modifications were not identified at this time.	

DELIVERY OF SERVICE

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
DS-11	300.320(a)(4) [Definition of individualized education program]	<i>Does the IEP identify supports for school personnel to enable the child to be involved and make progress in the general education curriculum?</i> Note: A child with a visual and/or hearing impairment who receives services in a non-categorical classroom shall have a minimum of support for school personnel services provided by an intervention specialist licensed in the area for the child’s sensory impairment(s) (e.g., PK-12 "Intervention Specialist for Hearing Impaired").	YES	<p>The IEP describes support(s) to school personnel who may need assistance in implementing the child’s IEP. The section describes what support adult staff are receiving from other adult staff.</p> <p>For each support, the team must list</p> <ul style="list-style-type: none"> The school personnel to receive the support, The specific support that will be provided, Who will provide the support, When the support will take place and The time and frequency in the description for each support. <p>There can be more than one support description in this area.</p> <p>Support for school personnel services” may include modeling specially designed instruction, preparing materials for use by others, co-planning instruction or interventions, coaching, or otherwise consulting with a family member, caretaker, general education teacher, intervention specialist, related services personnel, paraprofessional, or other person who provides care, education, or related services to the child.</p>	<ul style="list-style-type: none"> PR-07 IEP – Section 7 Description(s) of Specially Designed Services – Support for School Personnel
	3301-51-11 (J)(5)(b)(iii) [Delivery of services/least restrictive environment]		NO	<p>Supports for school personnel were identified by the IEP team but were not included on the IEP, or are listed “as needed,” “at the discretion of the teacher;” OR Section 7 of the IEP did not specify what the support is or who would provide the support; OR The section described student services and not what support adult staff are receiving from other adult staff; OR Section 7 of the IEP did not provide the amount of time and frequency in the description for each support;</p>	
	3301-51-11(J)(5)(c) [Delivery of services/least restrictive environment]		NA	<p>Supports for school personnel were not identified at this time.</p>	

DELIVERY OF SERVICE

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
DS-12	300.320(a)(3) [Description of individualized education program]	Was progress reporting data collected and analyzed to monitor performance on each goal? This refers to progress reporting data used to inform instruction.	YES	There is instructional data collected for each measurable annual goal AND there is evidence that the progress data reported aligns to measurement(s) used in the annual goal statement.	<ul style="list-style-type: none"> Progress Reports Progress toward last year's goals Concerns of parents Input from related service providers Use of objective/measurable terms in present levels of performance and goals/objectives
			NO	There is no evidence of data collection on each annual goal, progress reports/analysis; OR There is no evidence that the progress data for each annual goal was reported; OR Progress reported does not align to measurement(s) used in the annual goal statement.	
DS-13	300.324(b) [Review and revision of IEPs]]	During this school year, were revisions to the IEP made based on data indicating changes in student needs or abilities?	YES	Data from progress monitoring and/or recent evaluations drive decisions made to modify the IEP. After data analysis, the decision was made to adjust instruction to promote increased student learning. Rationale for instructional adjustment is documented. The IEP details the instructional adjustment(s) in the relevant sections.	<ul style="list-style-type: none"> Evidence that staff use student progress data to assess the effectiveness of each special education instructional service and strategy that have been implemented to determine if the instructional approach is effective with the student. Documentation verifies that interventions have been implemented with fidelity (training, observations) prior to request for change. Evidence exists that when progress monitoring shows the student is not likely to reach his/her annual goals, the educational agency schedules IEP reviews in a timely manner to review and, if appropriate, revise the IEP. Data analysis indicating the necessary instructional adjustment(s). Parental participation to adjust instructional strategies actively pursued. The IEP amendment.
			NO	Data indicating the need for revision were available (goal was mastered or no progress was made), but no revisions were evident (PR-02, IEP amendment, change of placement).	
			NA	This is the first assessment reporting period of the year and sufficient data are not yet available to inform IEP adjustments; OR Based on progress monitoring data, no revisions were necessary.	

DELIVERY OF SERVICE

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
DS-14	300.321 (1)-(7) [IEP Team]	Did the IEP meeting consist of a qualified team?	YES	<p>The IEP Team consisted of the following:</p> <ul style="list-style-type: none"> • Parent, • General education teacher, • Special education teacher, • Educational agency representative (authorized to allocate funds) and • Person qualified to interpret instructional implications participated in the meeting and signed the IEP <p>A member of the IEP team may be excused from attending an IEP team meeting, in whole or in part, if the parent and the educational agency consent, in writing, to the excusal prior to the IEP meeting.</p> <p>If the IEP discussion involves any excused members' area of the curriculum or related service, the member must submit, in writing, input into the development of the IEP prior to the meeting.</p>	<ul style="list-style-type: none"> • PR-02 Parent Invitation • PR-01 Prior Written Notice • Signed excusal by parent and written information from the excused IEP team member
			NO	One or more of the above team members were not involved in the IEP meeting with no evidence of excusal where appropriate.	

LEAST RESTRICTIVE ENVIRONMENT

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
LRE-1	300.503 (a-c) [Prior notice by the public agency; content of notice] 300.116 [Placements]	<i>Does the IEP team clearly describe the placement decision in the Prior Written Notice (PR-01) including when there is a change in placement?</i>	YES	<p>Within the Prior Written Notice (PR-01) there is a clear description of the placement decision determined by the IEP team, which includes the parent, and a justification describing why the child cannot receive all of the child’s special education and related services anywhere other than the first placement option on the continuum.</p> <p>If there is a change in placement, the Prior Written Notice (PR-01) clearly describes the new placement decision and why it was made.</p>	<ul style="list-style-type: none"> • Prior Written Notice (PR-01)
			NO	<p>Within the Prior Written Notice (PR-01) there is not a clear description of the placement decision determined by the IEP team, which includes the parent, and there is no justification describing why the child cannot receive all of the child’s special education and related services anywhere other than the first placement option on the continuum.</p> <p>If there is a change in placement, the Prior Written Notice (PR-01) does not describe the new placement decision and why it was made.</p>	

LEAST RESTRICTIVE ENVIRONMENT

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
LRE-2	<p>300.320(a)(5) [Definition of individualized education program]</p> <p>3301-51-11(J) [Delivery of services/least restrictive environment]</p>	<p><i>Does the IEP clearly describe the child's access to the general education curriculum with nondisabled peers and include a justification if the child is removed from the general education setting and/or from nondisabled peers?</i></p>	<p>YES</p>	<p>The IEP provides a clear description of the child's access to the general education curriculum with nondisabled peers that includes.:</p> <ul style="list-style-type: none"> • Alignment between the response to the question, Does the child attend a general education setting, and the child's placement location, • When the child is not in a general education setting, the role of person that will provide instruction in the general education curriculum and how that person is providing access to the general education curriculum in the child's area of need as identified in the IEP. <p>The IEP provides a justification if the child is removed from the general education setting and/or from nondisabled peers and the justification:</p> <ul style="list-style-type: none"> • Is based on the individual needs of the child, not the child's disability, and aligns with SDI or related services location, • Reflects that the team has given adequate consideration to meeting the student's needs in the general education setting with supplementary aids and services, • There is documentation that the nature or severity of the disability is such that education in the general education setting, even with the use of supplementary aids and services, cannot be achieved satisfactorily and • Describes potential harmful effects to the child or others, if applicable. 	<ul style="list-style-type: none"> • PR-01 Prior Written Notice • PR-07 IEP- Section 6 (Measurable Annual Goals) • PR-07 IEP- Section 7 (Descriptions of Specially Designed Services) • PR-07 IEP - Section 11 (LRE)

LEAST RESTRICTIVE ENVIRONMENT

Record Review Item	Regulation 34 CFR 300 or OAC 3301-51	Record Review Question	Compliant	Evidence	Potential Source(s) of Documentation
			NO	<p>The IEP does not provide a clear description of the child’s access to the general education curriculum with nondisabled peers;</p> <p>OR</p> <p>The IEP does not provide a justification if the child is removed from the general education setting or from nondisabled peers;</p> <p>Or the justification given:</p> <ul style="list-style-type: none"> • Is not based on the individual needs of the child or does not align with SDI or related services location, • Does not reflect consideration for provision of supplementary aids and services, • There is no documentation that the nature or severity of the disability is such that education in the general education setting, even with the use of supplementary aids and services, cannot be achieved satisfactorily or • Does not describe potential harmful effects to the child or others, if applicable 	

APPENDIX 8:

PS Record Review Comment Form

Preschool Record Review Comment Form

The district will use the following Preschool Record Review Comment Form to document the review of individual preschool records according to the Preschool Record Review Guide. Document each item reviewed in the Compliant column as “Yes” for compliant, “No” for noncompliant, “NA” for not applicable or “NR” for not reviewed.

- If an item is found to be complaint, then the district may consider documenting in the comments/notes section what is working within their processes.
- If an item is found noncompliant, then the district will indicate what caused that item to be found noncompliant in the comments/notes section based on the criteria in the Preschool Record Review Guide.
- The district must correct any item that is found noncompliant. When an item is corrected, this should be documented in the corrected column of the form. The district may consider documenting how that item was brought into compliance and what processes may need revised to continue with compliance.

Record #	Student Name:	Disability:	DOB:
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Initial Evaluation Reevaluation

ETR Date:

IEP Date:

Reviewer:	Date Reviewed:	Date Corrected:
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RR #	Item Reviewed	Compliant (YES, NO, NA or NR)	Corrected	Comments/Notes
CF-1	Part C to B		<input type="checkbox"/>	
CF-2	ETR-Interventions provided		<input type="checkbox"/>	
CF-3	Parents afforded opportunity to participate		<input type="checkbox"/>	
CF-4	Informed parental consent for evaluations		<input type="checkbox"/>	
CF-5	ETR addresses all areas related to disability		<input type="checkbox"/>	
CF-6	ETR clearly states summary of assessment results		<input type="checkbox"/>	
CF-7	ETR contains clear description of educational needs		<input type="checkbox"/>	
CF-8	ETR contains specific implications for instruction		<input type="checkbox"/>	
CF-9	Qualified group of professionals determine eligibility		<input type="checkbox"/>	
CF-10	Justification for the eligibility determination decision		<input type="checkbox"/>	
DS-1	Extended School Year		<input type="checkbox"/>	
DS-2	Present Levels of Performance		<input type="checkbox"/>	
DS-3	Measurable goals		<input type="checkbox"/>	
DS-4	Goals address functional areas of need		<input type="checkbox"/>	
DS-5	Statement of SDI and Related Services		<input type="checkbox"/>	
DS-6	SDI and Related Services Location		<input type="checkbox"/>	
DS-7	SDI and Related Services Amount & frequency		<input type="checkbox"/>	
DS-8	Identify assistive technology		<input type="checkbox"/>	
DS-9	Identify accommodations		<input type="checkbox"/>	
DS-10	Identify modifications		<input type="checkbox"/>	
DS-11	Supports for school personnel		<input type="checkbox"/>	
DS-12	Data collected and analyzed to inform instruction		<input type="checkbox"/>	
DS-13	Revisions to IEP made based on data		<input type="checkbox"/>	
DS-14	IEP Meeting-Qualified team		<input type="checkbox"/>	

RR #	Item Reviewed	Compliant (YES, NO, NA or NR)	Corrected	Comments/Notes
LRE-1	Describe placement decision in PR-01		<input type="checkbox"/>	
LRE-2	Describe access to general education and justification for any removals		<input type="checkbox"/>	

Additional Comments