

2020-2021 Indicator Review Process Manual



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Table of Contents

Overview.....	2
UNDERSTANDING THE PROFILE	2
Accessing the Special Education Profile.....	2
Accessing the Monitoring and Tracking System	3
Accessing the Ohio Department of Education secure upload site (Doc Upload)	3
Progressive Sanctions.....	4
Guidelines for the Self-Review Summary Report	5
Guidelines for the Improvement Plan	6
Overview of Indicators with Required Actions	8
Results Indicators.....	8
Survey Indicators.....	8
Compliance Indicators	8
Disproportionality Indicators	9
Results Indicator 3b: Participation Rates for the Alternate Assessment for Students with Significant Cognitive Disabilities.....	10
Results Indicator 3c: Math and Reading Proficiency Rates	11
Survey Indicator 8: Facilitated Parent Involvement.....	12
Survey Indicator 14: Post-School Outcomes	13
Compliance Indicator 4: Discipline Discrepancies	15
Addressing Missed Timelines During the Building Closure for Indicator 11	21
Compliance Indicator 11: Timely Initial Evaluations (Child Find)	22
Addressing Missed Timelines During the Building Closure for Indicator 12	28
Compliance Indicator 12: Part C to B Transition.....	28
Indicator 13: Secondary Transition Planning	37
Significant Disproportionality: Overview	43
Indicator 9: Identification (all categories) – Significant disproportionality across all disability categories that is the result of inappropriate identification.....	44
Indicator 10: Identification (specific category) – Significant disproportionality in specific disability categories that is the result of inappropriate identification	44
Significant Disproportionality - Placement:	47
Significant Disproportionality - Discipline:.....	51

Overview

This manual should be used in combination with the Special Education Profile.

The purpose of this manual is to:

- Provide district personnel with instructions to complete the required actions for results indicators (3b, 3c), survey indicators (8, 14), compliance indicators (4a, 4b, 11, 12, 13) and disproportionality indicators (9, 10, Placement and Discipline) found on the Special Education Profile; and
- Provide guidelines for completing *Self-Review Summary Reports* and *Improvement Plans*.

UNDERSTANDING THE PROFILE

The Individuals with Disabilities Education Improvement Act of 2004 (IDEA) established a series of special education indicators to measure services and outcomes for students with disabilities. The Ohio Department of Education works with stakeholders to establish annual targets, or goals, for these indicators.


Every year, districts receive a Special Education Profile that details progress over time in meeting goals for students with disabilities. The design of the Special Education Profile helps districts use data about the academic growth of groups of students to keep improving special education services.

These indicators have been organized into five essential questions to help guide continuous improvement:

- 1) Are young children with disabilities entering kindergarten ready to learn?
- 2) Are children with disabilities achieving at high levels?
- 3) Are youth with disabilities prepared for life, work and postsecondary education?
- 4) Does the district implement IDEA to improve services and results for children with disabilities?
- 5) Are children receiving equitable services and supports?

ACCESSING THE SPECIAL EDUCATION PROFILE

Superintendents, Special Education Contacts, and community school sponsors, as identified by the district in the Ohio Educational Directory System (OEDS), have access to district Special Education Profiles and annual Special Education Ratings through the Department's OH | ID portal.

Step	Instruction
1	Log in to the OH ID portal and select the <i>Special Education Profiles & Ratings</i> application.
2	Select the link for the current year's profile. There will be a NEW icon next to the link.
3	Select the VIEW 2020-2021 PROFILE tab.
4	Under each Indicator with a  icon, click on the + MORE INFORMATION tab. Follow the District Required Actions as described below the Data Notes .

Note: **Ensure data security.** It is the responsibility of each district to manage the security and local access to the Special Education Profile. The data provided are intended for district use and are NOT masked. Materials may contain information for group sizes of fewer than 10 students. They are **not** intended for public distribution. Districts should observe their local policies for security of unmasked information.

ACCESSING THE MONITORING AND TRACKING SYSTEM

(previously called Compliance Dashboard)

All communications regarding the Special Education Profile will be conducted through the Monitoring and Tracking System.

Step	Instruction
1	<p>Superintendents and Special Education Contacts, as identified by the district in the Ohio Educational Directory System, have access to the Monitoring and Tracking System through the Department's OH ID portal.</p> <p>Note: A district user must have one of the following roles in the Ohio Educational Directory System (OEDS), assigned by the district's Ohio Educational Directory System coordinator, to access the required surveys:</p> <ul style="list-style-type: none"> • Superintendent • Supervisor-Special Education-General • Director-Special Education-General • Special Education Contact • Primary Contact-Sponsor • SST-Support Schools • Coordinator-Special Education-General • Assistant Superintendent • Superintendent Designee
2	Go to <i>Select Program</i> and choose <i>Special Education Program Monitoring</i> .

ACCESSING THE OHIO DEPARTMENT OF EDUCATION SECURE UPLOAD SITE (DOC UPLOAD)

Step	Instruction
1	Go to the Department's secure upload site at https://docupload.ode.state.oh.us/ .
2	Be certain to enter information in all fields with a red asterisk (first and last name, email and purpose). Use the BROWSE tabs to locate the document to be uploaded. Please note, excessively long titles will hinder uploads. Maximum document size is 5 MB, and only the following file extensions are accepted: .doc, .docx, .gif, .jpg, .jpeg, .mht, .pdf, .txt, .xls, .xlsx, .xlsm, .xlsb, .png, .zip,.msg. Do not upload student records to the Monitoring and Tracking System.
3	After expanding the UPLOAD tab, you will receive an email confirming the upload of the application.
4	Download the <i>Student Record Submission Form</i> , available under District Required Actions in the Special Education Profile. Follow the directions for filling out this form under the specific indicator for which actions are required.
5	The <i>Student Record Submission Form</i> must be uploaded to the Monitoring and Tracking System. This is IMPORTANT because the secure site does NOT alert the Department that an item has been uploaded. The Monitoring and Tracking System will alert the Department to the downloaded <i>Student Record Submission Form</i> , which allows the Department to locate the associated documents in the secure upload site.

PROGRESSIVE SANCTIONS

Districts with findings of noncompliance that are not corrected within one year of notification are subject to Progressive Sanctions, which may include delayed distribution of federal and/or state funds.

- Ohio Revised Code (ORC) § 3317.01 establishes the Ohio Department of Education's authority to administer and supervise the allocation and (subject to Controlling Board approval) distribution of all state payments.
- The Individuals with Disabilities Education Improvement Act of 2004 (IDEA 2004) and the federal regulations at 34 C.F.R. Part 300 provide the state the authority to administer and supervise the allocation and distribution of federal Part B money for the education of children with disabilities.

Note: Noncompliance that is not corrected within one year will be reflected in the district's Special Education Annual Rating for the year after the correction deadline.

Guidelines for the Self-Review Summary Report

The following guidelines will assist the district team in creating a self-review by analyzing district data to establish root cause and priority needs.

Completing the Self-Review Summary Report

Note: Self-Review Summary Reports and Improvement Plans will share a due date for the 2020-2021 Profile only.

Step	Instruction
1	Download the <i>Self-Review Summary Report</i> available under District Required Actions in the Special Education Profile.
2	When organizing a team to complete the Self-Review Summary Report, consider district staff from both general and special education and District Leadership Team (DLT) members. For Disproportionality Indicators 9, 10, Placement & Discipline, general education partners must be part of the Self-Review Summary Report team. General education partners could include building principals, general education teachers, and/or central office administrators. List the names and titles of all individuals completing the <i>Self-Review Summary Report</i> . Provide the name and contact information for the individual who will be submitting the form.
3	The Guiding Questions provided in the <i>Self-Review Summary Report</i> will help the district team review current policies, procedures, practices and internal monitoring systems.
4	Use the Summary of Analysis to document your district's current process/practice regarding each Guiding Question. This can be completed prior to meeting with the regional state support team.
5	Based on the Summary of Analysis, the district team will decide if this current process/practice is an area of concern and contributing to the undesired outcome — answer YES or NO within the Area of Concern box. <ol style="list-style-type: none"> For all areas of concern, the team should discuss the root cause of the concern and address how the process/practice can be improved. If the policy or practice is not an area of concern, leave this area blank.
6	Prioritize all areas of concern (1,2,3...), with 1 being the greatest concern.
7	Submit the completed <i>Self-Review Summary Report</i> to the Monitoring and Tracking System in the OH ID portal. The completed <i>Self-Review Summary Report</i> will serve as the foundation for developing <i>Improvement Plans</i> .

Guidelines for the Improvement Plan

The following guidelines will assist in developing a plan for improvement or correction guided by the root cause analysis documented in the district team's *Self-Review Summary Report*.

Completing the *Improvement Plan* form

Note: Self-Review Summary Reports and Improvement Plans will share a due date for the 2020-2021 Profile only.

Step	Section of Plan	Instruction
1	n/a	Select appropriate Improvement Plan from the drop-down list.
2	n/a	Enter district name, IRN and state support team region.
3	Area of Improvement or Concern	Enter the area(s) of improvement or concern from the <i>Self-Review Summary Report</i> . Districts with data reporting errors and findings of noncompliance should address improvement and correction activities separately. If extra pages are necessary, there is a +CLICK TO ADD option on the right side of the page (cannot add a page until existing page is complete).
4	Summary – Baseline Data and Potential Influence (Root Cause)	Use the Summary of Analysis and Potential Influence to briefly tell why the undesirable outcome in the area of concern occurred.
5	Goal	Write the goal, in measurable terms, to address the specific area of concern.
6	Activity	Describe the planned activity(ies) designed to achieve the goal.
7	Resources Needed	List the resources needed. Resources may include state support team personnel, district personnel, state-approved training modules, etc.
8	Individual Responsible for Ensuring Implementation	List the title(s) of person(s) responsible for managing the implementation of the activity(ies).
9	Individual Responsible for Supervision of Implementation	List the title(s) of person(s) responsible for ensuring the activity(ies) are completed on time. This person must be different than the person ensuring implementation.
10	How Activity will be Implemented (Effort)	Describe the components of the activity(ies) and plans for implementation throughout the district.
11	Timeline for Completion of Activity	List dates for components of the activity(ies). Set a projected completion date for each activity.
12	Evidence of Activity Completed	Submit documentation (for example, agendas, sign-in sheets, procedures manuals) of completed activity(ies).
13	Evidence of Improvement (Impact)	Describe anticipated data or documentation that will be used to measure improvement in the targeted area(s).

14	Plan for Continued Improvement	Describe the plan for measuring continued improvement.
15	n/a	Complete the address and all contact information on the final page. Ensure the plan is signed by the district superintendent, state support team consultant (if applicable) and sponsor (if it is a community school).

Overview of Indicators with Required Actions

RESULTS INDICATORS

Indicator		Description
3b	Participation in Reading Alternate Assessments	Measures percentage of students participating in the Alternate Assessment for Students with Significant Cognitive Disabilities in reading
3b	Participation in Math Alternate Assessments	Measures percentage of students participating in the Alternate Assessment for Students with Significant Cognitive Disabilities in math
3c	Reading Proficiency Rate	Measures the percentage of students with disabilities who scored at or above the proficient level on statewide reading assessments
3c	Math Proficiency Rate	Measures the percentage of students with disabilities who scored at or above the proficient level on statewide math assessments

SURVEY INDICATORS

Indicator		Description
8	Facilitated Parent Involvement	Measures the percentage of parents with children receiving special education services who report that schools facilitated parent involvement as a means of improving services and results for students with disabilities
14	Postschool Outcomes	Measures the percentage of children with disabilities who, within one year of leaving high school, are enrolled in higher education, participating in training programs or competitively employed

COMPLIANCE INDICATORS

Compliance indicators are calculated using the district's own data, as entered in the Education Management Information System (EMIS). It is necessary to determine whether the district was flagged for a compliance indicator due to noncompliance or a data reporting error (DRE). Data reporting errors are specific to entering incorrect data into EMIS and must be verified by an Office for Exceptional Children consultant.

Indicator		Description
4a	Discipline Discrepancy – Suspension & Expulsion	Measures significant discrepancies between students with and without disabilities in the rates of suspensions and expulsions for more than 10 days in a school year
4b	Discipline Discrepancy by Race – Suspension & Expulsion	Measures significant discrepancies, by race or ethnicity, between students with and without disabilities in the rates of suspensions and expulsions for greater than 10 days in a school year
11	Child Find – Timely Initial Evaluations	Measures the percentage of initial evaluations completed within 60 calendar days of receiving parental consent

Indicator		Description
12	Early Childhood Transition from Part C to Part B	Measures the percentage of children referred by early intervention services (Part C) prior to age 3 who are found eligible for preschool special education services and who have individualized education programs (IEPs) developed and implemented by their third birthdays
13	Secondary Transition	Measures the percentage of youth ages 16 and above with IEPs that include all required transition planning elements

DISPROPORTIONALITY INDICATORS

Indicator		Description
9	Identification – All Disability Categories	Measures significant disproportionality across all disability categories that is the result of inappropriate identification
10	Identification – Specific Disability Categories	Measures significant disproportionality in specific disability categories that is the result of inappropriate identification
	Placement	Measures significant disproportionality for students with disabilities placed: <ul style="list-style-type: none"> • In regular classrooms less than 40 percent of the day; and • In separate schools or residential facilities •
	Discipline	Measures significant disproportionality for students with disabilities with: <ul style="list-style-type: none"> • Out-of-school suspensions or expulsions of 10 cumulative days or fewer; • Out-of-school suspensions or expulsions of greater than 10 cumulative days; • In-school suspensions of 10 cumulative days or fewer; • In-school suspensions of greater than 10 cumulative days; and • Total cumulative days of discipline removals, including in-school and out-of-school suspensions, expulsions, in-school alternate discipline class/program/building, emergency removal by district personnel and removal by a hearing officer

Results Indicator 3b: Participation Rates for the Alternate Assessment for Students with Significant Cognitive Disabilities

States are required to ensure the total number of students in the state assessed using the Alternate Assessment for Students with Significant Cognitive Disabilities in each subject does not exceed 1.00 percent of the total number of all students who took the state's assessments.

Reading: This calculation reflects the number of students taking the Alternate Assessment for Students with Significant Cognitive Disabilities in reading divided by the number of all students tested.

Math: This calculation reflects the number of students taking the Alternate Assessment for Students with Significant Cognitive Disabilities in math divided by the number of all students tested.

REQUIRED ACTIONS

Note: Self-Review Summary Reports and Improvement Plans will share a due date for the 2020-2021 Profile only.

All required forms can be downloaded from the district Special Education Profile by opening the MORE INFORMATION tab located below each indicator description.

<p>Self-Review Summary Report (Section B) Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) State support team participation is required. 2) Submit the completed <i>Indicator 3b Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile.
<p>Improvement Plan Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) State support team participation is required. 2) The district must attend state support team trainings regarding the Alternate Assessment for Students with Significant Cognitive Disabilities. 3) The <i>Improvement Plan</i> must be signed by the district's superintendent and state support team consultant assisting with development of the plan. 4) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for approval by the Office for Exceptional Children by the date specified in the Special Education Profile. 5) The district will be notified through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.
<p>Verification of Training Due: 09-17-2021</p>	<ol style="list-style-type: none"> 1) Submit documentation that all <i>Improvement Plan</i> activities have been completed by the date specified in the Special Education Profile. 2) The district must submit documentation that related policies, procedures and practices were reviewed and/or revised, as necessary. <ol style="list-style-type: none"> a. If no changes were necessary, submit documentation of the review date and training of the policy across the district. b. If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff. c. If the district must write policies and procedures, submit the new policies and procedures and include information related to training(s) for appropriate staff. 3) Provide evidence of trainings, meetings and activities.

Results Indicator 3c: Math and Reading Proficiency Rates

Indicator 3c measures the percentage of students with disabilities who score at or above the proficient level on statewide math and reading assessments.

REQUIRED ACTIONS

Note: Self-Review Summary Reports and Improvement Plans will share a due date for the 2020-2021 Profile only.

All required forms can be downloaded from the district Special Education Profile by opening the MORE INFORMATION tab located below each indicator description.

Self-Review Summary Report (Section B) Due: 05-03-2021	<ol style="list-style-type: none"> 1) State support team participation is required. 2) Submit the completed <i>Indicator 3c Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile.
Improvement Plan Due: 05-03-2021	<ol style="list-style-type: none"> 1) State support team participation is required. 2) The district must attend state support team trainings regarding improvement of math and/or reading scores of students with disabilities. 3) The <i>Improvement Plan</i> must be signed by the district's superintendent and the state support team consultant assisting with development of the plan. 4) Upload the signed Improvement Plan to the Monitoring and Tracking System for approval by the Office for Exceptional Children by the date specified in the Special Education Profile. 5) The district will be notified through the Monitoring and Tracking System when the Improvement Plan has been approved.
Verification of Training Due: 09-17-2021	<ol style="list-style-type: none"> 1) Submit documentation that all <i>Improvement Plan</i> activities have been completed by the date specified in the Special Education Profile. 2) The district must submit documentation that related policies, procedures and practices were reviewed and/or revised, as necessary. <ol style="list-style-type: none"> a) If no changes were necessary, submit documentation of the review date and training of the policy across the district. b) If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff. c) If the district must write policies and procedures, submit the new policies and procedures and include information related to training(s) for appropriate staff. 3) Provide evidence of trainings, meetings and activities.

Survey Indicator 8: Facilitated Parent Involvement

Indicator 8 measures the percentage of parents with children receiving special education services who report that schools facilitated parent involvement as a means of improving services and results for children with disabilities. This indicator is measured using a survey distributed to parents of students with disabilities.

School districts, community schools and state-supported schools are selected for survey participation at least once every six years. The Office for Exceptional Children notifies districts of selection for the parent survey through their annual Special Education Profiles.

REQUIRED ACTIONS

Starting in the 2020-2021 school year, the Office for Exceptional Children is partnering with the Center on Education and Training for Employment at The Ohio State University to collect parent involvement data using a new online parent survey process. The mobile-friendly process, combined with a much shorter survey tool, is designed to increase response rates and yield an annual sample that is representative of Ohio's population of students with disabilities.

Each district is still required to participate in the survey process only once every six years.

Districts selected for the 2020-2021 cohort will receive survey instructions and links directly from the team at Ohio State. Questions should be directed to ohiofamilysurvey@osu.edu.

Survey Indicator 14: Post-School Outcomes

The Individuals with Disabilities Education Improvement Act requires that states report the post-school engagement of students with disabilities in postsecondary education and employment. Specifically, the percentage of children with disabilities who, within one year of exiting high school, are enrolled in higher education or participating in a training program or competitive integrated employment.

Every year, one-sixth of Ohio's districts are randomly selected to participate in the Ohio Longitudinal Transition Study survey. The Office for Exceptional Children contracts with Kent State University's Center for Innovation in Transition and Employment to collect, manage and analyze the results of the longitudinal surveys.

If your district has been selected to participate in the Ohio Longitudinal Transition Study, additional information can be found at www.olts.org. You may also contact your regional state support team and/or OLTS staff, Kent State University, at olts@kent.edu.

REQUIRED ACTIONS

Note: Self-Review Summary Reports and Improvement Plans will share a due date for the 2020-2021 Profile only.

The Ohio Longitudinal Transition Study Annual Reports are based on information collected from students with IEPs at two different times: just prior to their exit from high school and one year later. The Ohio Longitudinal Transition Study Annual Report is an overview of findings derived from the student data gathered.

- **Exit surveys** ask students about their postsecondary goals and how they evaluated their high school experiences. Participating school districts must submit exit surveys by the submission due date to receive a rating of "Met" on the Special Education Profile for Indicator 14. Districts with small numbers of students with disabilities who are exiting school are encouraged to survey as many students as possible to increase the likelihood that at least one matched follow-up survey can be collected the following year.

Note: Districts will not be offered a second opportunity to submit exit surveys. If your district did not complete the exit survey when required, the Special Education Profile will indicate a status of **Not Met for both** years, and the district will be found **noncompliant for Indicator 14**. Districts that are noncompliant for Indicator 14 must follow the steps in the table below.

- **Follow-up surveys** ask students the degree to which these goals were met one year later. Participating school districts must make every attempt to submit **at least one** matched exit and follow-up survey by the submission due date to receive a rating of "Met" on the Special Education Profile for Indicator 14. If **NONE** of the follow-up survey data can be collected for **ANY** exit survey submitted the previous year, the district must complete a *Documentation of Attempts to Contact* for each of the exit surveys collected. These forms will be submitted to the Office for Exceptional Children upon request, at which time the Office for Exceptional Children will decide as to whether Indicator 14 survey requirements will be waived. Keep in mind that districts must make multiple and varied attempts to collect Ohio Longitudinal Transition Study follow-up survey data. Documentation of these attempts to contact students should be maintained by the district.

Note: Districts will not be offered a second opportunity to submit follow-up surveys. If your district did not complete the follow-up surveys, the Special Education Profile will indicate a status of **Not Met for one** year, and the district will be found **noncompliant for Indicator 14**. Districts that are noncompliant for Indicator 14 must follow the steps in the table below.

Self-Review Summary Report (Section B) Due: 05-03-2021	<ol style="list-style-type: none"> 1) A state support team consultant must be part of your district's self-review team. 2) Download the <i>Self-Review Summary Report</i> template from the Special Education Profile under District Required Actions. 3) Section B of the <i>Self-Review Summary Report</i> must be completed by a district team. 4) The <i>Self-Review Summary Report</i> is a tool for the team to focus on root causes for failing to complete the Ohio Longitudinal Transition Study requirements. 5) Upload the <i>Self-Review Summary Report</i> to the Monitoring and Tracking System.
Improvement Plan Due: 05-03-2021	<ol style="list-style-type: none"> 1) A state support team consultant must assist in developing the <i>Improvement Plan</i>. 2) Download the <i>Improvement Plan</i> template from the Special Education Profile under District Required Actions. 3) Refer to the team's <i>Self-Review Summary Report</i> for <i>Improvement Plan</i> development. 4) The <i>Improvement Plan</i> must include solutions for establishing systems and structures to mitigate future noncompliance. 5) The state support team consultant and the district superintendent must sign the <i>Improvement Plan</i>. 6) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for approval by the Office for Exceptional Children. 7) The district will be notified through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved. 8) After <i>Improvement Plan</i> approval, begin gathering materials for satisfying requirements for Systemic Correction.
Systemic Correction Due: 09-17-2021	<ol style="list-style-type: none"> 1) All districts that fail to submit Exit and/or Follow-Up Surveys must: <ol style="list-style-type: none"> a) Submit evidence of revised procedures and practices to the Monitoring and Tracking System. b) Submit evidence of completion for <i>Improvement Plan</i> activities, (such as updated staff responsibilities, meeting agendas, etc.) to the Monitoring and Tracking System.

Note: All documentation, except for items containing personally identifiable information, must be uploaded to the Monitoring and Tracking System. Sensitive information must be uploaded to the secure site at <https://docupload.ode.state.oh.us/> and does not need to be redacted.

Compliance Indicator 4: Discipline Discrepancies

Indicator 4a. Significant discrepancies in discipline rates are those in which the rate of out-of-school suspension and expulsion for children with disabilities exceeds the rate for children without disabilities by at least 1.00 percent.

Data used for this indicator originates from the district in the EMIS Student Attendance Record and Student Discipline Record. NR indicates that this rating was not evaluated because the district reported data for fewer than 10 students disciplined or 30 students with disabilities enrolled (the minimum group sizes).

Indicator 4a Suspension and Expulsion Calculation Example		
Step	Description	Data
A	Students with disabilities suspended or expelled >10 cumulative days	15
B	Students with disabilities enrollment	453
$C = A \div B$	Students with disabilities suspension and expulsion rate	3.31%
D	Students without disabilities suspended or expelled >10 cumulative days	20
E	Students without disabilities enrollment	2,853
$F = D \div E$	Students without disabilities suspension and expulsion rate	0.70%
$G = C - F$	Discipline rate difference	2.61%

Indicator 4b. Significant discipline discrepancies by race or ethnicity are identified in districts with risk ratios above 2.50. A risk ratio of 2.50 signifies that educators are 2.50 times more likely to suspend or expel students with disabilities in a given racial group than students without disabilities of all other races.

Discrepancies are calculated for the following racial groups: American Indian, Asian, Black, Hispanic, Multiracial, Pacific Islander and White.

NR indicates that this rating was not evaluated because the district reported data for fewer than 10 students disciplined or 30 students enrolled (the minimum group sizes), as applied to both the racial group of students with disabilities and the comparison group of students without disabilities.

Indicator 4b Suspension and Expulsion Calculation Example		
Step	Description	Data
A	Race students with disabilities suspended or expelled >10 cumulative days	15
B	Race students with disabilities enrollment	106
$C = A \div B$	Race students with disabilities suspension and expulsion risk	14.15%
D	Students without disabilities suspended or expelled >10 cumulative days	43
E	Students without disabilities enrollment	3,896
$F = D \div E$	Students without disabilities suspension and expulsion risk	1.10%
$C \div F$	Race suspension and expulsion risk ratio	12.86

REQUIRED ACTIONS

Note: Self-Review Summary Reports and Improvement Plans will share a due date for the 2020-2021 Profile only.

The *Records for Review* file and all required forms can be downloaded from the district Special Education Profile by opening the MORE INFORMATION tab located below each indicator description. All districts identified with a discipline discrepancy for Indicator 4 must investigate their records by completing and submitting a *Discipline Record Review Tally* for the SSIDs identified in the *Records for Review* Excel file.

Investigation of Records

Investigation of Records
All Districts
Due: 03-05-2021

- 1) Establish a team of school district personnel to complete the *Discipline Record Review Tally* and select five of the students identified for Indicator 4 in the *Records for Review* Excel file.
- 2) Record the State Student Identification (SSID) number for each of the five students on the *Student Records Submission Form*.
 - a. This form will be submitted to the Monitoring and Tracking System and is used to specify which student records will be uploaded to the secure document upload site at <https://docupload.ode.state.oh.us/>.
- 3) Compile the following student record items for each of the five records:
 - a) Sections 6, 7, and 11 of the current IEP;
 - b) School year 2019-2020 district calendar;
 - c) School year 2019-2020 discipline record, including total discipline days per incident, date, reason and type;
 - d) School year 2019-2020 attendance record;
 - e) Notices of suspension/expulsion sent to parent/guardian;
 - f) Manifestation determination (PR-03);
 - g) When the behavior is determined to be a manifestation of the student's disability, also include:
 - i. Functional Behavioral Assessment; and
 - ii. Behavioral Intervention Plan.
- 4) Label the student record items with the corresponding line number of the SSID on the *Student Record Submission Form*.
- 5) Submit the completed *Discipline Record Review Tally* to the Monitoring and Tracking System, being careful to not include student names.
- 6) **Do not upload student records to the Monitoring and Tracking System.**
- 7) All student records must be uploaded to the secure document upload site at <https://docupload.ode.state.oh.us/>.

NOTE: The district must demonstrate correction for all individual records found to be noncompliant. Also, for districts with noncompliance, additional records will be requested at the end of this process to demonstrate systemic improvement.

Data Reporting Errors

If the investigation reveals evidence the district may have been flagged for Indicator 4 due to incorrect data reporting:

- 1) Describe the situation using the Data Reporting Error tab at the bottom of the *Discipline Record Review Tally* sheet, including an explanation for each record.
- 2) Using the Student Record Submission Form and the steps identified above, upload all supporting documents to the appropriate platform.
 - a. Districts with data reporting errors will receive a lower score for timely and accurate data on the Special Education Rating.

Districts with Data Reporting Errors Only

Self-Review Summary Report for Data Reporting Errors (Section A)
Due: 05-03-2021

- 1) Involvement of the state support team is not required.
- 2) Use the *Indicator 4 Self-Review Summary Report* as a tool to review why a data reporting error has occurred and how to mitigate future reporting errors.
- 3) Focus analysis on data management policies, practices and procedures, as well as the internal review process for EMIS and other data entry processes.

	<p>4) Submit the <i>Indicator 4 Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile.</p>
<p>Improvement Plan for Data Reporting Errors Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) Involvement of the state support team is not required. 2) Refer to the <i>Indicator 4 Self-Review Summary Report</i> for <i>Improvement Plan</i> development. 3) The <i>Improvement Plan</i> must include activities, to include review and/or revisions to policies, practices and procedures that will aid in eliminating the possibility of future data reporting errors. 4) The district's superintendent must sign the <i>Improvement Plan</i>. 5) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for review and approval. 6) The district will be notified through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.
<p>Systemic Improvement for Data Reporting Errors Due: 09-17-2021</p>	<p>Evidence of activities completed:</p> <ol style="list-style-type: none"> 1) Submit documentation of completed <i>Improvement Plan</i> activities. 2) Submit documentation the district team reviewed and/or revised its policies, procedures and practices related to entering data in EMIS. <ol style="list-style-type: none"> a) If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff. If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff. b) If new policies, practices and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies.

Districts with Significant Discipline Discrepancies and Compliant Records or Districts with Significant Discipline Discrepancies and Noncompliant Records

<p>Self-Review Summary Report for Discipline Discrepancies (and Noncompliance) (Section B) Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) Involvement of the state support team is required. 2) The district can begin the <i>Indicator 4 Self-Review Summary Report</i> process using the guidelines in this manual at any time after completing and submitting the <i>Discipline Record Review Tally</i>. 3) Review the Discipline Process for Children with Disabilities with appropriate personnel and upload the sign-in sheet to the Monitoring and Tracking System. 4) Download the <i>Indicator 4 Self-Review Summary Report</i> template. 5) Use the <i>Indicator 4 Self-Review Summary Report</i> as a tool for the team to review possible root cause(s) of noncompliance and/or discipline discrepancies. 6) Submit the <i>Indicator 4 Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile.
<p>Improvement Plan for Discipline Discrepancies (and Noncompliance) Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) Involvement of the state support team is required. 2) Refer to the <i>Indicator 4 Self-Review Summary Report</i> for <i>Improvement Plan</i> development. 3) The <i>Improvement Plan</i> must include activities and detailed policies, practices and procedural revisions that will aid in eliminating the possibility of future noncompliance. 4) The district's superintendent must sign the <i>Improvement Plan</i>. A signature from the state support team is required.

	<p>5) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for review and approval.</p> <p>6) The district will be notified through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.</p>
<p>Individual Correction for noncompliant records Due: 06-04-2021</p>	<p>The district must correct all individual records found to be noncompliant.</p> <p>1) The district must provide current documentation demonstrating individual correction for all records found to be noncompliant by providing the following documentation:</p> <ul style="list-style-type: none"> a) Submit student attendance records for the 2020-2021 school year for all individual cases of noncompliance found during the Indicator 4 Investigation of Records. <ul style="list-style-type: none"> i) If the student has NOT been removed for disciplinary reasons in the current 2020-2021 school year, no further action is necessary for this correction. ii) If the student has been removed for disciplinary reasons in the current 2020-2021 school year, provide evidence that a Functional Behavioral Assessment and Behavioral Improvement Plan have been conducted and implemented, as applicable. iii) If the student is no longer receiving services from the district, submit evidence of withdrawal, transfer, graduation or exit from special education services.
<p>Systemic Improvement for Discipline Discrepancies (and Noncompliance) Due: 09-17-2021</p>	<p>Evidence of activities completed:</p> <ul style="list-style-type: none"> 1) Submit documentation of completed <i>Improvement Plan</i> activities. 2) Submit documentation the district team reviewed and/or revised its policies, procedures and practices regarding discipline for students with disabilities: <ul style="list-style-type: none"> a. If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff. b. If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff; c. If new policies, practices and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies. <p>If the Investigation of Records process revealed noncompliance, the district must demonstrate systemic improvement using the following steps:</p> <ul style="list-style-type: none"> 3) Repeat the Investigation of Records process above for up to five students with disabilities who reach the 11th day of suspension/expulsion occurring after the district completes the required state support team training. <ul style="list-style-type: none"> a. If the district did not suspend or expel students with disabilities for greater than 10 days following the completion of the state support team training, upload this explanation on district letterhead to the Monitoring and Tracking System.

Districts with Significant Discipline Discrepancies, Data Reporting Errors, and Compliant Records or Districts with Significant Discipline Discrepancies, Data Reporting Errors and Noncompliant Records

<p>Self-Review Summary Report for Data</p>	<p>1) Involvement of the state support team is required.</p>
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<p>Reporting Errors and Discipline Discrepancies (Sections A and B) Due: 05-03-2021</p>	<ol style="list-style-type: none"> 2) The district can begin the <i>Indicator 4 Self-Review Summary Report</i> process using the guidelines in this manual at any time after completing and submitting the <i>Discipline Record Review Tally</i>. 3) Review the Discipline Process for Children with Disabilities with appropriate personnel and upload the sign-in sheet to the Monitoring and Tracking System. 4) Use the <i>Indicator 4 Self-Review Summary Report</i> as a tool for the team to review possible root cause(s) of noncompliance with regard to discipline policies, practices and procedures. 5) Focus analysis on data management policies, practices and procedures, as well as the internal review process for the EMIS and other data entry processes. 6) Submit the <i>Indicator 4 Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile.
<p>Improvement Plan for Data Reporting Errors and Discipline Discrepancies Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) Involvement of the state support team is required. 2) Refer to the <i>Indicator 4 Self-Review Summary Report</i> for <i>Improvement Plan</i> development. 3) The district team must review and/or revise policies, practices and procedures and initiate systems to mitigate future data reporting errors and instances of noncompliance. 4) The state support team consultant and the district's superintendent must sign the <i>Improvement Plan</i>. 5) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for approval by the Office for Exceptional Children. 6) The district will be notified through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.
<p>Individual Correction for noncompliant records Due: 06-04-2021</p>	<p>The district must provide current documentation demonstrating individual correction for all records found to be noncompliant.</p> <ol style="list-style-type: none"> 1) Submit student attendance records from the current 2020-2021 school year for all individual cases of noncompliance found during the Indicator 4 Investigation of Records. <ol style="list-style-type: none"> a. If the student has NOT been removed for disciplinary reasons in the current 2020-2021 school year, no further action is necessary for this correction. b. If the student has been removed for disciplinary reasons in the current 2020-2021 school year, provide evidence that a Functional Behavioral Assessment and Behavioral Improvement Plan have been conducted and implemented. c. If the student is no longer receiving services from the district, submit evidence of withdrawal, transfer, graduation or exit from special education services.
<p>Systemic Improvement for Data Reporting Errors and Discipline Discrepancies Due: 09-17-2021</p>	<p>Evidence of activities completed:</p> <ol style="list-style-type: none"> 1) Submit documentation of completed <i>Improvement Plan</i> activities. 2) Submit documentation the district team reviewed and/or revised its policies, procedures and practices regarding discipline for students with disabilities, as well as collecting and reporting data: 3) If no changes were necessary, submit documentation of the review date(s), including training(s) for appropriate staff. 4) If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff.

	5) If new policies, practices and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies.
	<p>If the Investigation of Records process revealed noncompliance, the district must demonstrate systemic improvement using the following steps:</p> <ol style="list-style-type: none">1) Repeat the Investigation of Records process above for up to five students with disabilities who reach the 11th day of suspension/expulsion occurring after the district completes the required state support team training.<ol style="list-style-type: none">a) If the district did not have any students with disabilities suspended or expelled for greater than 10 days following the completion of the state support team training, upload this explanation on district letterhead to the Monitoring and Tracking System.

Note: All documentation, except for items containing personally identifiable information, must be uploaded to the Monitoring and Tracking System. Sensitive information must be uploaded to the secure site at <https://docupload.ode.state.oh.us/> and does not need to be redacted.

Addressing Missed Timelines During the Building Closure

Indicator 11 (Timely Initial Evaluations)

During the COVID-19 building closure, all requirements and provisions of the Individuals with Disabilities Education Act (IDEA) remained in effect. This included timely initial evaluations for students being considered for special education, as measured by Indicator 11. The Office for Exceptional Children is offering considerations regarding late initial evaluations due to the COVID-19 school building closure. Since initial evaluations must be completed within 60 calendar days of parental consent, this applies to evaluations with parental consent received on or after **January 17, 2020**. Submitted evidence must support one of the existing EMIS noncompliance codes that are considered excusable reasons for missed initial evaluation timelines. District administrators should consider: *Would this evaluation have been late, even if the building closure had not occurred?*

- Evaluations cannot be delayed because the school district did not have alternate, virtual means to conduct the evaluations at the start of the building closure.
- Evaluations cannot be delayed because school districts did not have appropriate assessments available that allow for conducting assessments in a virtual setting.

Acceptable Noncompliance Reasons

Documentation supporting the district's use of any of the following noncompliance codes, if applicable:

05 – Parental Choice

- Documentation that parents requested the evaluation timeline be extended or that they did not wish to continue the evaluation process due to the pandemic and building closure.

06 – Parent Refused Consent

- Written, signed withdrawal of consent (email, letter, note, etc.). Text messages are not sufficient for the withdrawal of consent because texts do not have a time and date stamp like an email does. If a parent were to send a text to say they are withdrawing consent, the district should follow up to receive and document a more formal withdrawal.

07 – Child's Health

- Doctor's note or parent note in lieu of doctor. This could include documentation from the parent(s) stating that they do not want to continue evaluation because of their child's medical condition and/or exposure risk.

09 – Incorrect data reported in a prior EMIS collection.

- Documentation supports a COVID-related justification, but previously reported a late evaluation.

Acceptable documentation includes, but is not limited to:

- OP-09 Attempts to Contact form
- Emails, notes, letters, phone logs
- Multiple attempts and means to hold meetings if there are technical difficulties

Not Acceptable Justification

- There should be no blanket statements, such as *"The evaluation was not conducted due to the COVID-19 building closure."*
- Blanket statements indicating that parents were not involved in decision making due to the COVID-19 building closure are not acceptable.

Submitting Documentation

Documentation to support the acceptable noncompliance reasons described above will be submitted and reviewed by the Office for Exceptional Children, as part of the established indicator review process. All districts with noncompliance for Indicator 11 will be notified via their Special Education Profiles. Documentation for each student with a late evaluation during the 2019-2020 school year will be submitted by March 5, 2021, through the process outlined in the Special Education Profile.

Compliance Indicator 11: Timely Initial Evaluations (Child Find)

Indicator 11 measures the percentage of initial evaluations completed within 60 calendar days of receiving parental consent.

The Office for Exceptional Children reviews prior school year data for all districts reporting at least one initial evaluation in EMIS. To determine compliance, the Office for Exceptional Children calculates the number of days reported between receipt of parental consent and the Initial Evaluation Team Report (IETR) meeting. Data are collected in the EMIS Special Education Event Record.

Indicator 11 Calculation Sample		
Step	Description	Data
A	Students with parental consent to evaluate	18
B	Evaluation(s) completed within 60 calendar days	17
$C = B \div A$	Percent compliant	94.44%

REQUIRED ACTIONS

Note: Self-Review Summary Reports and Improvement Plans will share a due date for the 2020-2021 Profile only.

All required forms can be downloaded from the district Special Education Profile by opening the MORE INFORMATION tab located below each indicator description.

Note: Districts that are flagged for Indicator 11 due to late evaluations but do not suspect they have entered data into EMIS incorrectly may go immediately to the table titled **Districts with Noncompliant Timelines for Indicator 11**.

Determining Data Reporting Errors and/or Noncompliance

Data Reporting Errors are specific to entering incorrect data in EMIS. To substantiate a data reporting error, the district must be able to provide documentation that data reported differs from the student record.

- 1) In the Special Education Profile, under the "More Information" tab, click on the *Records for Review* link located under District Required Actions.
- 2) Using the *Records for Review* Excel spreadsheet, compare the student records to the information the district reported in EMIS.
- 3) From the comparison, determine which records are data reporting errors and which records are noncompliant.
 - a) If **all** records are data reporting errors, follow the Verification Process for Data Reporting Errors. Evidence must be submitted to the Office for Exceptional Children.
 - b) If **all** records demonstrate noncompliant timelines, follow the steps in the table below for Districts with Noncompliant Timelines. No evidence needs to be submitted.
 - c) If records are a **combination** of data reporting errors and noncompliant timelines, follow the steps in the table below for Districts with Data Reporting Errors and Noncompliant Timelines. No evidence needs to be submitted.
- 4) Districts with data reporting errors will receive a lower score for timely and accurate data on the Special Education Rating.

Verification Process for Data Reporting Errors

<p>Data Reporting Error Verification Due: 03-05-2021</p>	<ol style="list-style-type: none"> 1) List each State Student Identification (SSID) number listed on the Records for Review Excel spreadsheet for Indicator 11 on the Student Records Submission Form. 2) Upload the Student Records Submission Form to the Monitoring and Tracking System. 3) Submit the following items from the corresponding student records to the secure site at https://docupload.ode.state.oh.us/ (do not upload the entire ETR): <ol style="list-style-type: none"> a. Signed parental consent form/PR-05; b. Completed cover page; c. Section 5 (Signature page); d. Documentation supporting the district's use of any of the following noncompliance codes, if applicable: <ol style="list-style-type: none"> i. 05 – Parental Choice: Documentation that parents requested the evaluation timeline be extended or that they did not wish to continue the evaluation process due to the pandemic and building closure. ii. 06 – Parent Refused Consent: Written, signed withdrawal of consent (email, letter, note, etc.). Text messages are not sufficient for the withdrawal of consent because texts do not have a time and date stamp like an email does. If a parent were to send a text to say they are withdrawing consent, the district should follow up to receive and document a more formal withdrawal. iii. 07 – Child's Health: Doctor's note or parent note in lieu of doctor. This could include documentation from the parent(s) stating that they do not want to continue evaluation because of their child's medical condition and/or exposure risk. iv. 09 – Incorrect data reported in a prior EMIS collection: Documentation supports a COVID-related justification, but previously reported a late evaluation. 4) Acceptable documentation includes, but is not limited to: <ol style="list-style-type: none"> a. OP-09 Attempts to Contact form b. Emails, notes, letters, phone logs 5) Multiple attempts and means to hold meetings if there are technical difficulties 6) Documentation of blanket policies will not be acceptable: <ol style="list-style-type: none"> a. There should be no blanket statements, such as "The evaluation was not conducted due to the COVID-19 building closure," or statements indicating that parents were not involved in decision making due to the COVID-19 building closure. 7) Wait for the status of verification from the Office for Exceptional Children before moving forward. 8) Verification status will be communicated to the district through the Monitoring and Tracking System. 9) Noncompliant timelines for excusable reasons will be treated as data reporting errors, because they should have been reported with the applicable noncompliance code (i.e., 05-09). 10) Districts with verified noncompliance for excusable reasons will have no further actions. Their Special Education Profiles will be updated accordingly. They will not receive a lower score for timely and accurate data on their next Special Education Rating.
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Districts with Verified Data Reporting Errors

<p>Self-Review Summary Report for Data Reporting Errors (Section A) Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) Involvement of the state support team is not required. 2) Complete Section A of the <i>Indicator 11 Self-Review Summary Report</i>. 3) Focus analysis on data management policies, practices and procedures, as well as the internal review process for EMIS and other data entry processes. 4) Submit the completed <i>Indicator 11 Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile.
<p>Improvement Plan for Data Reporting Errors Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) Involvement of the state support team is not required. 2) Refer to the <i>Indicator Self-Review Summary Report for Improvement Plan</i> development. 3) The <i>Improvement Plan</i> must include activities and detailed policies, practices and procedural revisions that will aid in eliminating the possibility of future data reporting errors. 4) The district's superintendent must sign the <i>Improvement Plan</i>. A signature from state support team is not required. 5) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for review and approval. 6) The district will be notified through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.
<p>Systemic Improvement for Data Reporting Errors Due: 09-17-2021</p>	<p>Evidence of activities completed:</p> <ol style="list-style-type: none"> 1) Submit documentation of completed <i>Improvement Plan</i> activities. 2) Submit documentation the district team reviewed and/or revised its policies, procedures and practices related to entering data in EMIS: <ol style="list-style-type: none"> a) If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff. b) If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff. c) If new policies, practices and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies.

Districts with Noncompliant Timelines for Indicator 11

<p>Self-Review Summary Report for Noncompliant Timelines (Section B) Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) Involvement of the state support team is required. 2) Use Section B of the <i>Indicator 11 Self-Review Summary Report</i> as a tool for the team to review possible root cause(s) of the noncompliance. 3) Submit the <i>Indicator 11 Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile.
<p>Improvement Plan for Noncompliant Timelines Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) Refer to the <i>Indicator 11 Self-Review Summary Report for Improvement Plan</i> development. 2) The <i>Improvement Plan</i> must include activities and detailed policies, practices and procedural revisions that will aid in eliminating the possibility of future noncompliance. 3) The district's superintendent must sign the <i>Improvement Plan</i>. A signature from the state support team is required.

	<p>4) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for review and approval.</p> <p>5) The district will be notified through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.</p>
<p>Systemic Improvement for Noncompliant Timelines Due: 09-17-2021</p>	<p>1) Download the <i>Indicator 11 Systemic Correction Worksheet</i> and follow directions in the worksheet to document all initial evaluations completed by the district during the specified timeframe on the worksheet.</p> <p>2) Submit the <i>Indicator 11 Systemic Correction Worksheet</i> to the Monitoring and Tracking System.</p> <p>3) Select and number up to five of the SSIDs from the <i>Indicator 11 Systemic Correction Worksheet</i>.</p> <p>4) Label the following items with the corresponding number on the <i>Indicator 11 Systemic Correction Worksheet</i> and submit to the secure document upload site at https://docupload.ode.state.oh.us/ (do not upload entire ETR):</p> <ul style="list-style-type: none"> a) Signed parental consent form/PR-05; b) Completed cover page; c) Section 5 (Signature page); d) Documentation supporting the district's use of any of the following noncompliance codes, if applicable: <ul style="list-style-type: none"> i. 05 – Parental Choice ii. 06 – Parent Refused Consent iii. 07 – Child's Health iv. 08 – Student's Incarceration v. 09 – Incorrect data reported in a prior EMIS collection. <p>NOTE: If zero initial evaluations occurred within the specified timeframe on the worksheet, please upload a statement on district letterhead to the Monitoring and Tracking System.</p> <p>Evidence of activities completed:</p> <ul style="list-style-type: none"> 5) Submit documentation of completed <i>Improvement Plan</i> activities. 6) Submit documentation the district team reviewed and/or revised its policies, procedures and practices regarding timelines for students with disabilities: <ul style="list-style-type: none"> a) If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff. b) If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff. c) If new policies, practices and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies.

Districts with Data Reporting Errors and Noncompliant Timelines for Indicator 11

<p>Self-Review Summary Report</p>	<p>1) Involvement of the state support team is required.</p> <p>2) The district team, with assistance from the state support team, will complete Sections A and B of the <i>Indicator 11 Self-Review Summary Report</i> to explore</p>
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<p>for Data Reporting Errors and Noncompliant Timelines (Sections A and B) Due: 05-03-2021</p>	<p>possible root cause(s) of noncompliant timeframes, as well as district policies for collecting and reporting data.</p> <p>3) Submit the <i>Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile.</p>
<p>Improvement Plan for Data Reporting Errors and Noncompliant Timelines Due: 05-03-2021</p>	<p>1) Involvement of the state support team is required.</p> <p>2) The <i>Improvement Plan</i> must include solutions and state support team trainings to address the noncompliance;</p> <p>3) The <i>Improvement Plan</i> must address how the district will mitigate future data reporting errors and noncompliance;</p> <p>4) Please refer to your <i>Self-Review Summary Report</i> for <i>Improvement Plan</i> development;</p> <p>5) The state support team consultant and the district’s superintendent must sign the <i>Improvement Plan</i>.</p> <p>6) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for review and approval.</p> <p>7) A consultant with the Office for Exceptional Children will notify the district through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.</p>
<p>Systemic Improvement for Data Reporting Errors and Noncompliant Timelines Due: 09-17-2021</p>	<p>1) Download the <i>Indicator 11 Systemic Correction Worksheet</i> and follow directions within document for including all initial evaluations completed by the district during the specified timeframe.</p> <p>2) Submit the <i>Indicator 11 Systemic Correction Worksheet</i> to the Monitoring and Tracking System.</p> <p>3) Select and number up to five of the SSIDs from the <i>Indicator 11 Systemic Correction Worksheet</i>.</p> <p>4) Label the following items with the corresponding number on the <i>Indicator 11 Systemic Correction Worksheet</i> and submit the to the secure document upload site at https://docupload.ode.state.oh.us/ (do not upload entire ETR):</p> <ul style="list-style-type: none"> a) Signed parental consent form/PR-05; b) Completed cover page; c) Section 5 (Signature page); d) Documentation supporting the district’s use of any of the following noncompliance codes, if applicable: <ul style="list-style-type: none"> i. 05 – Parental Choice ii. 06 – Parent Refused Consent iii. 07 – Child’s Health iv. 08 – Student’s Incarceration v. 09 – Incorrect data reported in a prior EMIS collection. <p>NOTE: If zero initial evaluations occurred within the specified timeframe on the worksheet, please upload a statement on district letterhead to the Monitoring and Tracking System.</p> <p>Evidence of activities completed:</p> <ul style="list-style-type: none"> 5) Submit documentation of completed <i>Improvement Plan</i> activities. 6) Submit documentation the district team reviewed and/or revised its policies, procedures and practices regarding timelines, as well as collecting and reporting data:

	<ul style="list-style-type: none">a) If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff.b) If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff.c) If new policies, practices and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies.
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Note: All documentation, except for items containing personally identifiable information, must be uploaded to the Monitoring and Tracking System. Sensitive information must be uploaded to the secure site at <https://docupload.ode.state.oh.us/> and does not need to be redacted.

Addressing Missed Timelines During the Building Closure

Indicator 12 (Early Childhood Transition from Early Intervention to Preschool Special Education)

During the COVID-19 building closure, all requirements and provisions of the Individuals with Disabilities Education Act (IDEA) remained in effect. This included early childhood transitions for students being considered for special education, as measured by Indicator 12. The Office of Early Learning and School Readiness is offering considerations regarding the late development and implementation of initial IEPs due to the COVID-19 school building closure. Since initial IEPs must be developed and implemented on or before a child's third birthday for those children transitioning from early intervention to preschool special education, this applies to initial IEPs implemented on or after **March 17, 2020**. Submitted evidence must support one of the existing EMIS noncompliance codes that are considered excusable reasons for IEPs that are implemented after a child's third birthday. District administrators should consider: *Would this IEP have been developed and implemented after the child's third birthday, even if the building closure had not occurred?*

- Initial IEP implementation cannot be delayed because the school district did not have alternate, virtual means to conduct the evaluations at the start of the building closure.
- Initial IEP implementation cannot be delayed because school districts did not have appropriate assessments available that allow for conducting assessments in a virtual setting.

Acceptable Noncompliance Reasons

Documentation supporting the district's use of any of the following noncompliance codes, if applicable:

05 – Parental Choice

- Documentation that parents requested the evaluation timeline be extended or that they did not wish to continue the evaluation process due to the pandemic and building-closure. If a parent wishes to begin the IEP services on an alternate start date (after the child's third birthday), documentation of this request should be included.

06 – Parent Refused Consent

- Written, signed withdrawal of consent (email, letter, note, etc.). Text messages are not sufficient for the withdrawal of consent because texts do not have a time and date stamp like an email does. If a parent were to send a text to say they are withdrawing consent, the district should follow up to receive and document a more formal withdrawal.

07 – Child's Health

- Doctor's note or parent note in lieu of doctor. This could include documentation from the parent(s) stating that they do not want to continue evaluation because of their child's medical condition and/or exposure risk.

09 – Incorrect data reported in a prior EMIS collection.

- Documentation supports a COVID-related justification, but previously reported a late evaluation.

Acceptable documentation includes, but is not limited to:

- **OP-09 Attempts to Contact form**
- Emails, notes, letters, phone logs
- Multiple attempts and means to hold meetings if there are technical difficulties

Not Acceptable Justification

- There should be no blanket statements, such as *"The IEP was not implemented prior to the child's third birthday due to the COVID-19 building closure."*
- Blanket statements indicating that parents were not involved in decision making due to the COVID-19 building closure are not acceptable.

Submitting Documentation

Documentation to support the acceptable noncompliance reasons described above will be submitted and reviewed by the Office of Early Learning and School Readiness, as part of the established indicator review process. All districts with noncompliance for Indicator 12 will be notified via their Special Education Profiles. Documentation for each student with an IEP implemented after their third birthday during the 2019-2020 school year will be submitted by March 5, 2021, through the process outlined in the Special Education Profile.

Compliance Indicator 12: Part C to B Transition

Indicator 12 measures the percentage of children referred by IDEA Part C (Early Intervention) who are found eligible for Part B (Preschool Special Education Services) and who have IEPs developed and implemented by their third birthdays.

The Office of Early Learning and School Readiness reviews prior school year data for all districts reporting at least one child transitioning from Part C in EMIS. To determine compliance, the Office of Early Learning and School Readiness compares the child's date of birth to the initial individualized education program date.

Indicator 12 Calculation Example		
Step	Description	Data
A	Children referred from Part C (Early Intervention Services) and found eligible for Part B (Preschool Special Education) services	18
B	Individualized Education Programs implemented by the third birthday	17
$C = B \div A$	Percent compliant	94.44%

Noncompliance is defined as at least one initial individualized education program implemented after a child's third birthday *without* an acceptable noncompliance code reported. Acceptable codes include:

- 05 Parental Choice
- 06 Parent Refused Consent
- 07 Child's Health

Written notification of noncompliance is reported to the district through the Special Education Profile.

REQUIRED ACTIONS

Note: Self-Review Summary Reports and Improvement Plans will share a due date for the 2020-2021 Profile only.

All required forms can be downloaded from the district Special Education Profile by opening the MORE INFORMATION tab located below each indicator description.

Determining Data Reporting Error (DRE) and/or Noncompliance

Data reporting errors are specific to entering incorrect data in EMIS. To substantiate a data reporting error, the district must be able to provide documentation that data reported differs from the student record.

- 1) In the Special Education Profile, under the MORE INFORMATION tab, click on the *Records for Review* link located under **District Required Actions**.
- 2) Using the *Records for Review* Excel spreadsheet, compare the student records to the information the district reported in the EMIS.
- 3) From the comparison, determine which records are data reporting errors and which are noncompliant.

- 4) When a district proposes it was flagged for noncompliance due to data reporting errors alone, supporting evidence must be provided, and the data reporting errors must be approved by the Office of Early Learning and School Readiness. See process for Data Reporting Error Approval.
- 5) When a district is flagged for further review due to underreporting data in EMIS, the Office of Early Learning and School Readiness will verify early childhood transition data. Your district's Special Education Profile will reflect "TBD."

Verification Process for Data Reporting Errors

<p>Data Reporting Error Verification for Noncompliant Timelines During Building Closure Due: 03-05-2021</p>	<ol style="list-style-type: none"> 1) List each State Student Identification (SSID) number listed on the Records for Review Excel spreadsheet for Indicator 12 on the Student Records Submission Form. 2) By March 5, 2021, upload the <i>Student Records Submission Form</i> to the Monitoring and Tracking System. 3) By March 5, 2021, submit the following items from the corresponding student records to the secure site at https://docupload.ode.state.oh.us/ (do not upload the entire ETR): <ol style="list-style-type: none"> a. Signed parental consent form/PR-05; b. Completed cover page, and Sections 4 (Eligibility) and 5 (Signatures) of the ETR (PR-06) (do not upload the entire IETR); c. Completed cover page, and Sections 7 (Specially Designed Services), 10 (General Factors), 13 (Meeting Participants), and 14 (Signatures) of the Initial IEP (PR-07); d. Documentation supporting the district's use of any of the following noncompliance codes, if applicable: <ol style="list-style-type: none"> i. 05 – Parental Choice: Documentation that parents requested the timeline be extended or that they did not wish to continue the evaluation or IEP process due to the pandemic and building closure. If a parent wishes to begin the IEP services on an alternate start date (after the child's third birthday), documentation of this request should be included. ii. 06 – Parent Refused Consent: Written, signed withdrawal of consent (email, letter, note, etc.). Text messages are not sufficient for the withdrawal of consent because texts do not have a time and date stamp like an email does. If a parent were to send a text to say they are withdrawing consent, the district should follow up to receive and document a more formal withdrawal. iii. 07 – Child's Health: Doctor's note or parent note in lieu of doctor. This could include documentation from the parent(s) stating that they do not want to continue evaluation or IEP implementation because of their child's medical condition and/or exposure risk. iv. 09 – Incorrect data reported in a prior EMIS collection: Documentation supports a COVID-related justification, but previously reported a late IEP. 4) Acceptable documentation includes, but is not limited to: <ol style="list-style-type: none"> a. OP-09 Attempts to Contact form b. Emails, notes, letters, phone logs c. Multiple attempts and means to hold meetings if there are technical difficulties d. Documentation of blanket policies will not be acceptable
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	<ol style="list-style-type: none"> 5) There should be no blanket statements, such as "The IEP was not implemented due to the COVID-19 building closure." 6) Blanket statements indicating that parents were not involved in decision making due to the COVID-19 building closure are not acceptable. 7) Wait for the status of verification from the Office of Early Learning and School Readiness before moving forward. 8) Verification status will be communicated to the district through the Monitoring and Tracking System. 9) Noncompliant timelines for excusable reasons will be treated as data reporting errors, because they should have been reported with the applicable noncompliance code (i.e., 05-09). 10) Districts with verified noncompliance for excusable reasons will have no further actions. Their Special Education Profiles will be updated accordingly. They will not receive a lower score for timely and accurate data on their next Special Education Rating.
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Districts with Verified Data Reporting Errors

<p>Self-Review Summary Report for Data Reporting Errors (Section A) Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) Involvement of the state support team is not required. 2) Your district team will download the <i>Indicator 12 Self-Review Summary Report</i> template from the Special Education Profile and will complete Section A of the <i>Indicator 12 Self-Review Summary Report</i> using the guidelines in this manual. 3) Use the <i>Indicator 12 Self-Review Summary Report</i> as a tool to review why a data reporting error has occurred and how to mitigate future reporting errors. 4) Focus analysis on data management policies, practices and procedures, as well as the internal review process for EMIS and other data entry processes. 5) Submit the <i>Indicator 12 Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile.
<p>Improvement Plan for Data Reporting Errors Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) The district team must review and, if necessary, revise any interagency agreements that focus on policies, procedures and practices related to data collecting and reporting to put into place systems and structures to mitigate future data reporting errors. 2) The <i>Improvement Plan</i> template can be downloaded from the district's profile. 3) Please refer to the <i>Indicator 12 Self-Review Summary Report</i> for <i>Improvement Plan</i> development. 4) The <i>Improvement Plan</i> must include root cause(s) for data reporting errors, activities and detailed policies, practices and procedural revisions that will aid in eliminating the possibility of future data reporting errors. 5) The district's superintendent must sign the <i>Improvement Plan</i>. A signature from the state support team is not required. 6) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for approval by the Office of Early Learning and School Readiness. 7) An Office of Early Learning and School Readiness consultant will notify the district through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.
<p>Systemic Improvement for Data Reporting Errors</p>	<ol style="list-style-type: none"> 1) Submit documentation of completed <i>Improvement Plan</i> activities. 2) Submit documentation the district team reviewed and/or revised its policies, procedures and practices related to entering data in EMIS.

Due: 09-17-2021

- a) If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff.
- b) If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff.
- c) If new policies, practices and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies.

Districts Flagged with Noncompliance Due to Underreporting

Underreporting

- 1) Download the *Transition Data Tracking Form* from the Special Education Profile.
- 2) Complete the *Transition Data Tracking Form* for all children transitioning from Part C to the district **between the first of August and the first of November of that school year**, including children who were not suspected of having disabilities, children determined not eligible for Part B (preschool special education), as well as children determined eligible for Part B.
- 3) Submit the completed *Transition Data Tracking Form* to the Monitoring and Tracking System.
- 4) The Office of Early Learning and School Readiness will review information reported through EMIS and the *Transition Data Tracking Form* for children transitioning from Part C.
- 5) A discrepancy between the EMIS data reported by the district and the *Transition Data Tracking Form* will result in one of two outcomes:
 - a) *All records* reviewed were found to be *compliant* and determined to be a result of a data reporting error;
 - b) At least *one record* reviewed was found to be *noncompliant* and determined to be a result of a combination of noncompliance and a data reporting error;
- 6) If there is no discrepancy between the data reported to EMIS by the district and the *Transition Data Tracking Form*, no further action is required;
- 7) The district will be notified by the Office of Early Learning and School Readiness through the Monitoring and Tracking System regarding which outcome has been approved.

Districts with Noncompliant Timelines for Indicator 12

If records for review are determined to be a result of noncompliance, follow the steps below.

<p>Self-Review Summary Report for Noncompliant Timelines (Section B) Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) Involvement of the state support team in all required actions is required. 2) Download the <i>Indicator 12 Self-Review Summary Report</i> template from the Special Education Profile. 3) The district team, with assistance from the state support team, will complete Section B of the <i>Indicator 12 Self-Review Summary Report</i> using the guidelines in this manual. 4) Use the <i>Indicator 12 Self-Review Summary Report</i> as a tool for the team to review possible root cause(s) of noncompliance. 5) Submit the <i>Indicator 12 Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile. 6) The district team must review and/or revise any interagency agreements that focus on policies, procedures and practices related to individualized education program implementation dates for students transitioning from Part C (Early Intervention) to put into place systems and structures to mitigate future noncompliance.
<p>Improvement Plan for Noncompliant Timelines Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) The <i>Improvement Plan</i> template can be downloaded from the district's profile. 2) Please refer to the <i>Indicator 12 Self-Review Summary Report</i> for <i>Improvement Plan</i> development. 3) The <i>Improvement Plan</i> must include solutions to address the noncompliance and state support team trainings that specifically address the noncompliance. 4) The state support team consultant and the district's superintendent must sign the <i>Improvement Plan</i>. 5) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for approval by the Office of Early Learning and School Readiness. 6) An Office of Early Learning and School Readiness consultant will notify the district through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.
<p>Systemic Improvement for Noncompliant Timelines Due: 09-17-2021</p>	<ol style="list-style-type: none"> 1) To ensure that correction is embedded in systemic policies, practices and procedures, download and complete the <i>Indicator 12 Transition Data Tracking Form</i>. Include all children transitioning from Part C (Early Intervention) to the district between dates specified for Systemic Corrections in the Profile. Include children who were not suspected of having disabilities, children determined not eligible for preschool special education, as well as children determined eligible for preschool special education. 2) Submit the <i>Indicator 12 Transition Data Tracking Form</i> to the Monitoring and Tracking System. 3) Select five of the student records from the completed <i>Indicator 12 Transition Data Tracking Form</i> and list the SSIDs on the <i>Student Records Submission Form</i>. 4) Submit the <i>Student Records Submission Form</i> to the Monitoring and Tracking System. 5) Submit the selected student records to the secure site at https://docupload.ode.state.oh.us/ : <ol style="list-style-type: none"> a) Signed parental consent form/PR-05; b) Completed cover page, Sections 4 (Eligibility) and Section 5 (Signature) of the initial ETR (PR-06) (do not upload the entire IETR); c) Completed cover page, Section 7 (Specially Designed Services), Section 10 (General Factors), Section 13 (Meeting Participants), and Section 14 (Signatures) of the initial IEP (PR-07);

	<p>d) Documentation supporting the district's use of any of the following noncompliance codes, if applicable:</p> <ul style="list-style-type: none"> i. 05 – Parental Choice ii. 06 – Parent Refused Consent iii. 07 – Child's Health. <p>NOTE: If the district had fewer than five transitions within the specified timeframe, upload the required items for all student(s) listed on the <i>Indicator 12 Transition Data Tracking Form</i> to the secure site.</p> <p>NOTE: If the district had zero students transition within the specified timeframe, please upload a statement on district letterhead to the Monitoring and Tracking System.</p> <p>6) The Department will verify the compliance of the submitted records.</p> <p>7) Submit evidence of completion of <i>Improvement Plan</i> activity(ies) by the date specified for Systemic Correction in the Special Education Profile. Submit evidence of state support team training(s) in the form of agendas, trainings materials and sign-in sheets.</p> <p>8) Submit documentation of your district's interagency agreement(s) that focuses on policies, procedures and practices related to IEP implementation dates for students transitioning from Part C (Early Intervention) were reviewed and/or revised, as necessary:</p> <ul style="list-style-type: none"> a) If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff. b) If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff. c) If the district does not have an approved interagency agreement(s), it must write a new interagency agreement(s) that focuses on policies, procedures and practices. Submit the new interagency agreement(s) and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies.
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If records for review are determined to be a **combination** of data reporting errors and noncompliance, follow the steps outlined below.

Districts with Data Reporting Errors and Noncompliant Timelines for Indicator 12

<p>Self-Review Summary Report for Data Reporting Errors and Noncompliant Timelines (Sections A and B) Due: 05-03-2021</p>	<ul style="list-style-type: none"> 1) Approval for data reporting errors is not necessary when there is evidence of noncompliance. 2) Involvement of the state support team in all required actions is required. 3) Download the <i>Indicator 12 Self-Review Summary Report</i> template from the Special Education Profile. 4) The district team, with assistance from the state support team, will complete Sections A and B of the <i>Indicator 12 Self-Review Summary Report</i> using the guidelines in this manual. 5) Use the <i>Indicator 12 Self-Review Summary Report</i> as a tool for the team to review possible root cause(s) of data reporting errors and instances of noncompliance. 6) Submit the <i>Indicator 12 Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile.
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<p>Improvement Plan for Data Reporting Errors and Noncompliant Timelines Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) The district team must review and/or revise any interagency agreement(s) that focuses on policies, procedures and practices related to data collection, reporting and IEP implementation dates for students transitioning from Part C (Early Intervention) to put into place systems and structures to mitigate future data reporting errors and instances of noncompliance. 2) The <i>Improvement Plan</i> template can be downloaded from the district's profile. 3) Please refer to the <i>Indicator 12 Self-Review Summary Report</i> for <i>Improvement Plan</i> development. 4) The <i>Improvement Plan</i> must include solutions and state support team trainings to address the noncompliance. 5) The <i>Improvement Plan</i> must address how the district will mitigate future data reporting errors. 6) The state support team consultant and the district's superintendent must sign the <i>Improvement Plan</i>. 7) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for approval by the Office of Early Learning and School Readiness. 8) An Office of Early Learning and School Readiness consultant will notify the district through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.
<p>Systemic Improvement for Data Reporting Errors and Noncompliant Timelines Due: 09-17-2021</p>	<ol style="list-style-type: none"> 1) To ensure that correction is embedded in systemic policies and procedures, download and complete the <i>Indicator 12 Transition Data Tracking Form</i>. Include all children transitioning from Part C (Early Intervention) to the district between dates specified for Systemic Corrections in the Profile. Include children who were not suspected of having disabilities, children determined not eligible for preschool special education, as well as children determined eligible for preschool special education. 2) Submit the <i>Indicator 12 Transition Data Tracking Form</i> to the Monitoring and Tracking System. 3) Select five of the student records from the completed <i>Indicator 12 Transition Data Tracking Form</i> and list the SSIDs on the <i>Student Records Submission Form</i>. 4) Submit the <i>Student Records Submission Form</i> to the Monitoring and Tracking System. 5) Submit the selected student records to the secure site at https://docupload.ode.state.oh.us/: <ol style="list-style-type: none"> a) Signed parental consent form/PR-05; b) Completed cover page, Sections 4 (Eligibility) and Section 5 (Signature) of the initial ETR (PR-06) (do not upload the entire IETR); c) Completed cover page, Section 7 (Specially Designed Services), Section 10 (General Factors), Section 13 (Meeting Participants), and Section 14 (Signatures) of the initial IEP (PR-07); d) Documentation supporting the district's use of any of the following noncompliance codes, if applicable: <ol style="list-style-type: none"> i. 05 – Parental Choice ii. 06 – Parent Refused Consent iii. 07 – Child's Health. <p>NOTE: If the district had fewer than five transitions within the specified timeframe, upload the required items for all student(s) listed on the <i>Indicator 12 Transition Data Tracking Form</i> to the secure site.</p> <p>NOTE: If the district had zero students transition within the specified timeframe, please upload a statement on district letterhead to the Monitoring and Tracking System.</p>

- 6) The Department will verify the compliance of the submitted records.
- 7) Submit evidence of completion of *Improvement Plan* activity(ies) by the date specified for Systemic Correction in the Special Education Profile. Submit evidence of state support team training(s) in the form of agendas, trainings materials and sign-in sheets.
- 8) Submit documentation of any district interagency agreement(s) that focuses on policies, procedures and practices related to IEP implementation dates for students transitioning from Part C (Early Intervention) were reviewed and/or revised, as necessary:
 - a) If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff.
 - b) If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff.
 - c) If the district does not have an approved interagency agreement(s), it must write a new interagency agreement(s) that focuses on policies, procedures and practices. Submit the new interagency agreement(s) and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies.

Note: All documentation, except for items containing personally identifiable information, must be uploaded to the Monitoring and Tracking System. Sensitive information must be uploaded to the secure site at <https://docupload.ode.state.oh.us/> and does not need to be redacted.

Indicator 13: Secondary Transition Planning

Indicator 13 measures the percentage of youth ages 16 and above with IEPs that include all required transition planning elements. Compliant postsecondary transition plans must include the following eight items (see *Indicator 13 Checklist*):

- Postsecondary goals are appropriate and measurable in the areas of training, education, employment, and, where appropriate, independent living skills;
- Postsecondary goals are updated annually;
- Postsecondary goals are based upon an age-appropriate transition assessment;
- Transition services reasonably will enable the student to meet his or her postsecondary goals;
- Transition services include courses of study that will reasonably enable the student to meet his or her postsecondary goals;
- Annual IEP goals are related to the student's transition services and needs;
- There is evidence the student was invited to the IEP team meeting where transition services were discussed; and
- Evidence that, if appropriate, a representative of any participating agency was invited to the IEP team meeting with the prior consent of the parent or student (if student had reached the age of majority).

Data are collected in the EMIS Special Education Event Record and compared to year-end enrollment files. Compliant Secondary Transition Planning codes reported in EMIS include:

- TFYG – Four-Year Grad Transition Plan in Place: Student plans to meet graduation requirements four years after entering ninth grade.
- TNTG – Multi-Year Grad Transition Plan in Place: Student plans to meet graduation requirements more than four years after entering ninth grade.
- TPCE – Planned Continuation of Ed Services Transition Plan in Place: Student has met graduation requirements but needs additional education services prior to enrollment in college or employment and will continue to be enrolled and receive services as a Grade 23 student.

Indicator 13 Calculation Example		
Step	Description	Data
A	Students with disabilities ages 16 and above	50
B	Students with a transition plan in place	47
C = B ÷ A	Percent compliant	94.00%

REQUIRED ACTIONS

Note: Self-Review Summary Reports and Improvement Plans will share a due date for the 2020-2021 Profile only.

All required forms can be downloaded from the district Special Education Profile by opening the MORE INFORMATION tab located below each indicator description.

Indicator 13 Explanations:

Investigation of Records

An Indicator 13 record investigation is initiated through the Special Education Profile when:

- A secondary transition planning code of TPNP (Transition Plan Not in Place) is reported to EMIS by the district; or
- A secondary transition planning code of **** (Not Applicable) is reported to EMIS by the district; or
- A district enters no code into EMIS for students with disabilities who were 16 on or above the June 1 cutoff date of the data year under review.

Data Reporting Error

Indicator 13 data reporting errors occur in EMIS when:

- Districts incorrectly report elements into EMIS that do not match the situation of the student; or
- Districts do not report EMIS transition planning codes indicating a transition plan in place for a student with disabilities 16 years old or older and whose IEP has a postsecondary transition plan in place.

Noncompliance

Noncompliance with regard to Indicator 13 occurs when:

- No plan has been developed for a student with disabilities 16 years old or older.
- A student record does not contain the eight (8) items required for a compliant postsecondary plan, per the *Indicator 13 Checklist*
 - All individual records found to be noncompliant must be corrected by the district

Investigation of Records

All districts flagged for Indicator 13 will complete an internal investigation of records by following the steps in the table below.

<p>Investigation of Records All Districts Due: 03-05-2021</p>	<p>1) For each State Student Identification (SSID) number listed on the <i>Records for Review</i> Excel spreadsheet, list the SSID on the <i>Student Records Submission Form</i> located in your district's profile.</p> <p>Stop and consider: If a student has graduated, withdrawn, or exited from services, indicate the student status specific to the SSID on the <i>Student Record Submission Form</i> and submit supporting evidence to https://docupload.ode.state.oh.us/. No further action is required for the records of SSIDs in this situation.</p> <p>2) Compile the following student record items and label with the corresponding number from the <i>Student Record Submission Form</i>:</p> <ul style="list-style-type: none"> a) Current IEP; and b) Student invitation to the IEP meeting (PR-02); or c) Documentation of withdrawal, graduation or evidence the student is no longer receiving special education services. <p>3) Upload the Student Record Submission Form to the Monitoring and Tracking System and the student record items to the secure site at https://docupload.ode.state.oh.us/.</p> <p>4) The Office for Exceptional Children consultant will verify the results of the district's internal investigation and communicate the results through the Monitoring and Tracking System:</p> <ul style="list-style-type: none"> a) If results verify the district was flagged due to data reporting errors and all records submitted were compliant, follow the steps for Districts with Verified Data Reporting Errors; b) If results confirm that all records submitted were noncompliant, follow the steps in the table below for Districts with Noncompliant Records; c) If results confirm a combination of data reporting errors and record noncompliance, follow the steps in the table below for Districts with Data Reporting Errors and Noncompliant Records <p>5) The district must take no further action until results are communicated via the Monitoring and Tracking System.</p>
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Districts with Verified Data Reporting Errors

If the investigation confirms the district was flagged due to data reporting errors and all records submitted were compliant, follow the steps outlined below.

<p>Self-Review Summary Report for Data Reporting Errors (Section A) Due: 05-03-2021</p>	<p>1) Following notification from the Office for Exceptional Children, the district must complete Section A of the <i>Indicator 13 Self-Review Summary Report</i>, which covers data reporting errors:</p> <ul style="list-style-type: none"> a) Districts with data reporting errors will receive a lower score for timely and accurate data on the Special Education Rating; b) Focus your analysis on data-management policies, practices and procedures, as well as the internal review processes. Revise these items, as necessary. <p>2) Submit the completed <i>Indicator 13 Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile.</p>
<p>Improvement Plan for Data Reporting Errors Due: 05-03-2021</p>	<p>1) Refer to the <i>Indicator 13 Self-Review Summary Report for Improvement Plan</i> development.</p> <p>2) The <i>Improvement Plan</i> must include activities and detailed policies, practices and procedural revisions that will aid in eliminating the possibility of future data reporting errors.</p> <p>3) The district’s superintendent must sign the <i>Improvement Plan</i>. A signature from state support team is not required.</p> <p>4) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for review and approval.</p> <p>5) The district will be notified through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.</p>
<p>Systemic Improvement for Data Reporting Errors Due: 09-17-2021</p>	<p>Evidence of activities completed:</p> <ul style="list-style-type: none"> 1) Submit evidence of activities completed per the district <i>Improvement Plan</i>. 2) Submit evidence the district team reviewed and/or revised their policies, procedures and practices related to collecting and entering data into EMIS: <ul style="list-style-type: none"> a. If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff. b. If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff. c. If new policies, practices and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies.

Districts with Noncompliant Records

If the investigation confirms that all records submitted were noncompliant, follow the steps outlined below. All records found to be noncompliant must be corrected by the district.

<p>Self-Review Summary Report for Noncompliant Records</p>	<p>1) The district must complete Section B of the <i>Indicator 13 Self-Review Summary Report</i>.</p> <p>2) State support team participation is required.</p> <p>3) Submit Section B of the <i>Indicator 13 Self-Review Summary Report</i> to the Monitoring and Tracking System.</p>
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<p>(Section B) Due: 05-03-2021</p>	<p>4) Submit the <i>Indicator 13 Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile.</p>
<p>Improvement Plan for Noncompliant Records Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) Refer to the <i>Indicator 13 Self-Review Summary Report</i> for <i>Improvement Plan</i> development. 2) State support team participation is required. 3) The <i>Improvement Plan</i> must include activities and detailed policies, practices and procedural revisions that will aid in eliminating the possibility of future noncompliance. 4) The district's superintendent and the state support team consultant must sign the <i>Improvement Plan</i>. 5) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for review and approval. 6) The district will be notified through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.
<p>Individual Correction for noncompliant records Due: 06-04-2021</p>	<p>For each SSID found to be noncompliant through the <u>Investigation of Records</u>, the district must:</p> <ol style="list-style-type: none"> 1) List the SSID on the <i>Student Records Submission Form</i> and upload to the Monitoring and Tracking System. 2) Compile the following student record items and label with the corresponding number from the <i>Student Record Submission Form</i>: <ol style="list-style-type: none"> a. Corrected IEP with all required transition plan elements; b. An <i>Indicator 13 Checklist</i> for each IEP, completed by the district; c. Student invitation to the IEP meeting (PR-02); or d. Documentation of withdrawal, graduation or evidence the student is no longer receiving special education services. 3) The Office for Exceptional Children consultant will use the <i>Indicator 13 Checklist</i> to determine if individual corrections are compliant and will notify the district through the Monitoring and Tracking System.
<p>Systemic Correction for Noncompliant Records Due: 09-17-2021</p>	<p>Evidence of activities completed:</p> <ol style="list-style-type: none"> 4) Submit evidence of completion for Improvement Plan activities. 5) Submit evidence of revised policies, procedures and/or internal monitoring processes: <ol style="list-style-type: none"> a. If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff. b. If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff; c. If new policies, practices, and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies <p>To demonstrate systemic improvement, submit up to five IEPs that include a postsecondary transition plan developed after district staff received state support team training:</p> <ol style="list-style-type: none"> 1) List the SSID on the <i>Student Records Submission Form</i> and upload to the Monitoring and Tracking System. 2) Compile the following student record items and label with the corresponding number from the <i>Student Record Submission Form</i>:

	<ul style="list-style-type: none"> a. Current IEP with all required transition plan elements; b. An <i>Indicator 13 Checklist</i> for each IEP, completed by the district; c. Student invitation to the IEP meeting (PR-02); or <p>3) Upload the Student Record Submission Form to the Monitoring and Tracking System</p> <p>4) Upload the Student record to the secure site: https://docupload.ode.state.oh.us/.</p> <p>NOTE: If zero records that occurred after state support team training and before Systemic Improvement due date involved a post-secondary transition plan, please upload a statement on district letterhead to the Monitoring and Tracking System.</p>
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Districts with Data Reporting Errors and Noncompliant Records

If records for review are determined to be a combination of data reporting errors and noncompliance, follow the steps outlined below.

<p>Self-Review Summary Report for Data Reporting Errors and Noncompliant Records (Sections A and B) Due: 05-03-2021</p>	<ul style="list-style-type: none"> 1) The district must complete Sections A and B of the <i>Indicator 13 Self-Review Summary Report</i> 2) State support team participation is required. 3) Use the <i>Indicator 13 Self-Review Summary Report</i> as a tool for the team to review possible root cause(s) of noncompliance and explore internal monitoring systems. 4) Focus analysis on data management policies, practices and procedures, as well as the internal review process for EMIS and other data entry processes. 5) Submit the <i>Indicator 13 Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile.
<p>Improvement Plan for Data Reporting Errors and Noncompliant Records Due: 05-03-2021</p>	<ul style="list-style-type: none"> 1) Refer to the <i>Indicator 13 Self-Review Summary Report for Improvement Plan</i> development. 2) State support team participation is required. 3) The district team must review and/or revise policies, practices, and procedures to initiate systems and structures to mitigate future data reporting errors and instances of noncompliance. 4) The state support team consultant and the district’s superintendent must sign the <i>Improvement Plan</i>. 5) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for review and approval. 6) An Office for Exceptional Children consultant will notify the district through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.
<p>Individual Correction for noncompliant records Due: 06-04-2021</p>	<p>For each SSID found to be noncompliant through the <u>Investigation of Records</u>, the district must:</p> <ul style="list-style-type: none"> 1) List the SSID on the <i>Student Records Submission Form</i> and upload to the Monitoring and Tracking System. 2) Compile the following student record items and label with the corresponding number from the <i>Student Record Submission Form</i>: <ul style="list-style-type: none"> a. Corrected IEP with all required transition plan elements; b. An <i>Indicator 13 Checklist</i> for each IEP, completed by the district; c. Student invitation to the IEP meeting (PR-02); or d. Documentation of withdrawal, graduation or evidence the student is no longer receiving special education services.

	<p>3) The Office for Exceptional Children consultant will use the <i>Indicator 13 Checklist</i> to determine if individual corrections are compliant and will notify the district through the Monitoring and Tracking System.</p>
<p>Systemic Improvement for Data Reporting Errors and Noncompliant Records Due: 09-17-2021</p>	<p>Evidence of activities completed:</p> <ol style="list-style-type: none"> 1) Submit evidence of completion for Improvement Plan activities. 2) Submit evidence of revised policies, procedures and/or internal monitoring processes: <ol style="list-style-type: none"> a. If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff. b. If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff; c. c) If new policies, practices, and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies. <p>To demonstrate systemic improvement, submit up to five IEPs that include a postsecondary transition plan developed after district staff received state support team training:</p> <ol style="list-style-type: none"> 3) List the SSID on the <i>Student Records Submission Form</i> and upload to the Monitoring and Tracking System. 4) Compile the following student record items and label with the corresponding number from the <i>Student Record Submission Form</i>: <ol style="list-style-type: none"> a. Current IEP with all required transition plan elements; b. An <i>Indicator 13 Checklist</i> for each IEP, completed by the district; c. Student invitation to the IEP meeting (PR-02); or 5) Upload the Student Record Submission Form to the Monitoring and Tracking System and the student record items to the secure site at https://docupload.ode.state.oh.us/. <p>NOTE: If zero records that occurred after state support team training and before Systemic Improvement due date involved a post-secondary transition plan, please upload a statement on district letterhead to the Monitoring and Tracking System.</p>

Note: All documentation, except for items containing personally identifiable information, must be uploaded to the Monitoring and Tracking System. Sensitive information must be uploaded to the secure site at <https://docupload.ode.state.oh.us/> and does not need to be redacted.

Significant Disproportionality: Overview

Disproportionality is one measure of educational equity. It occurs when students of any racial or ethnic subgroup are identified for special education, placed in more restrictive settings or disciplined at markedly higher rates than their peers. The federal government considers disproportionality “significant” when overrepresentation of a group exceeds a threshold defined by each state.

Ohio’s target for each category of analysis is ≤ 2.50 . Districts are identified with significant disproportionality when their risk ratios exceed the 2.50 threshold for three consecutive years for the same racial group in the same category. A risk ratio of 2.50 indicates that students within a racial group are two and a half times more likely to experience an outcome than students not in that racial group. Districts that reduce their risk ratios by at least 0.25 for two consecutive years qualify for the reasonable progress provision. Though still exhibiting ratios above 2.50, districts will have demonstrated progress in lowering their risk ratios such that redirection of funds will not be required but technical assistance will be available.

In Ohio, disproportionality is calculated based on the data reported by each district in EMIS. Across all categories, enrollment data are calculated based on full-time equivalency, or FTE. FTE provides a more precise risk ratio calculation based on the amount of time each student was enrolled in the district during the school year.

Disproportionality is calculated for the following racial/ethnic groups: American Indian, Asian, Black, Hispanic, Multiracial, Pacific Islander and White. For examples of calculations in each category of significant disproportionality, see the [Disproportionality Technical Document](#).

Redirection of Funds

Districts identified with *significant disproportionality* based on risk ratios above 2.50 for three consecutive years must redirect 15 percent of IDEA Part B funds toward Comprehensive Coordinated Early Intervening Services. In implementing Comprehensive Coordinated Early Intervening Services under 34 CFR 300.226, a district may carry out activities that include:

1. Professional development provided by the state support team for teachers and other school staff to enable such personnel to deliver scientifically based academic and behavioral interventions, including scientifically based literacy instruction and, where appropriate, instruction on the use of adaptive and instructional software; and
2. Providing educational and behavioral evaluations, services and supports, including scientifically-based literacy instruction.

For districts identified with significant disproportionality in the 2020-2021 school year, the mandatory redirection will be reflected in the district’s Fiscal Year 2022 Comprehensive Continuous Improvement Plan application.

Districts required to redirect funds are assigned an education program specialist from the Resource Management section of the Office for Exceptional Children to assist them in completing their Comprehensive Continuous Improvement Plans (CCIP). The Resource Management section monitors the district’s CCIP to ensure redirection and associated reporting are completed. Questions about redirection should be directed to the assigned Resource Management contact. For more information about redirection of funds, see [Early Intervening Services Fiscal Guidance](#).

If you have questions about the 15 percent redirection of funds, please contact Jessica Stanley at (614) 466-9523 or jessica.stanley@education.ohio.gov.

Indicator 9: Identification (all categories) – Significant disproportionality across all disability categories that is the result of inappropriate identification

Indicator 10: Identification (specific category) – Significant disproportionality in specific disability categories that is the result of inappropriate identification

REQUIRED ACTIONS

Note: Self-Review Summary Reports and Improvement Plans will share a due date for the 2020-2021 Profile only.

During the review of records, the Department will examine the district’s practices regarding eligibility determination for special education services. The *Records for Review* Excel file contains all State Student Identification (SSID) numbers of students identified in the racial group(s) with a significant risk ratio. The file is saved in the district’s Special Education Profile. Each district identified with significant disproportionality in any category must follow the steps identified below.

Investigation of Records

<p>Investigation of Records (All Districts) Due: 01-08-2021</p>	<ol style="list-style-type: none"> 1) Select five currently enrolled students from the State Student Identification (SSID) numbers listed on the <i>Records for Review</i> Excel spreadsheet. 2) List the selected SSIDs on the <i>Student Records Submission Form</i> located in your district’s profile. 3) Compile the following student record items and label with the corresponding number from the <i>Student Record Submission Form</i>: <ol style="list-style-type: none"> a) Initial evaluation team report, if current; b) If a current, initial evaluation team report is not available, the current reevaluation is acceptable; and c) Documentation of student race/ethnicity. 4) Upload the Student Record Submission Form and the student record items to the secure site at https://docupload.ode.state.oh.us/ 5) The Office for Exceptional Children consultant will review the submitted record items and communicate the results to the district. <ol style="list-style-type: none"> a) If the district believes it has been flagged for this indicator due to data reporting errors, the district may proceed with submitting a Data Appeal form using the process below. 6) The district should take no further action until compliance status of records and investigation of records results are communicated from OEC. <p>NOTE: If noncompliance is revealed through the investigation of records, the individual cases must be corrected in the Systemic Improvement process.</p>
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Data Appeal Process

If no data reporting errors impacting the risk ratio calculation were discovered during the Investigation of Records, this section does not apply to your district:

<p>Data Appeals for Data Reporting Errors Due: 01-08-2021</p>	<ol style="list-style-type: none"> 1) If data reporting errors that impact the risk ratio were discovered during the Investigation of Records, submit the <i>Data Appeals Form</i> and supporting documentation to the OEC Monitoring mailbox at oc.monitoring@education.ohio.gov 2) The <i>Data Appeals Form</i> must be signed by the district’s superintendent.
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	<ol style="list-style-type: none"> 3) The Office for Exceptional Children must verify and approve data appeals before the district takes any further action. 4) The district will be notified by return email.
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Districts with Approved Data Appeals

<p>Self-Review Summary Report for Data Reporting Errors (Section A) Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) If the district's data appeal is granted, the district must complete Section A of the <i>Self-Review Summary Report</i>. 2) State support team participation is not required. 3) Submit Section A of the <i>Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the profile.
<p>Improvement Plan for Data Reporting Errors Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) If the district's data appeal is granted and the recalculated risk ratio is less than or equal to 2.50, the district must complete an <i>Improvement Plan</i> for data reporting. 2) State support team participation is required. 3) Review and, if necessary, revise all policies, procedures and practices related to data collection and reporting. 4) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for review and approval. 5) The <i>Improvement Plan</i> must be signed by the district's superintendent. 6) The district will be notified through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.
<p>Systemic Improvement For Data Reporting Errors Due: 09-17-2021</p>	<p>Evidence of activities completed:</p> <ol style="list-style-type: none"> 1) Submit evidence of completion for Improvement Plan activities. 2) Submit evidence of revised policies, procedures and/or internal monitoring processes regarding collecting and reporting district data: <ol style="list-style-type: none"> a) If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff. b) If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff. c) If new policies, practices and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies.

Districts with Significant Disproportionality and Compliant Records or Districts with Significant Disproportionality and Noncompliant Records

<p>Self-Review Summary Report for Significant Disproportionality (Section B) Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) State support team involvement on the district team is required. 2) The district must complete Section B of the <i>Self-Review Summary Report</i>, addressing significant disproportionality. 3) Submit Section B of the <i>Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile.
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<p>Improvement Plan For Significant Disproportionality Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) State support team participation is required. 2) The district must use the funds that were redirected for significant disproportionality to implement the activities within the <i>Improvement Plan</i>. 3) The <i>Improvement Plan</i> activities must align with allowable use of funds for Comprehensive Coordinated Early Intervening Services, as explained in the Early Intervening Services Fiscal Guidance. 4) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for approval by the Office for Exceptional Children. 5) The Improvement Plan must be signed by the district superintendent and state support team consultant. 6) The district will be notified through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved by the Office for Exceptional Children.
<p>Individual Correction for noncompliant records Due: 06-04-2021</p>	<p>For each SSID found to be noncompliant through the <u>Investigation of Records</u>, the district must:</p> <ol style="list-style-type: none"> 1) List the SSID for the evaluation team reports on the <i>Student Records Submission Form</i> and upload to the Monitoring and Tracking System. 2) Compile the following student record items and label with the corresponding number from the <i>Student Record Submission Form</i>: <ol style="list-style-type: none"> a. The reevaluation addressing the noncompliance in the previous evaluation team report; and 3) The Office for Exceptional Children consultant will notify the district regarding compliance status through the Monitoring and Tracking System.
<p>Systemic Improvement for Significant Disproportionality Due: 09-17-2021</p>	<p>Evidence of activities completed:</p> <ol style="list-style-type: none"> 1) Provide documentation that all <i>Improvement Plan</i> activities have been completed. 2) Submit evidence of completion for Improvement Plan activities. 3) Submit evidence of revised policies, procedures and/or internal monitoring processes: <ol style="list-style-type: none"> a) If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff. b) If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff. c) If new policies, practices and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies. <p>If the investigation of records revealed noncompliance, the district must demonstrate systemic improvement using the following steps:</p> <ol style="list-style-type: none"> 1) Repeat the Investigation of Records for up to five students of the same racial group and category flagged for significant disproportionality, the district will submit records to the secure site at https://docupload.ode.state.oh.us/. <p>NOTE: With regard to the specific race/ethnicity group and category flagged, if zero records were developed after state support team training and before the Systemic Improvement due date, please upload a statement on district letterhead to the Monitoring and Tracking System.</p>

Note: All documentation, except for items containing personally identifiable information, must be uploaded to the Monitoring and Tracking System. Sensitive information must be uploaded to the secure site at <https://docupload.ode.state.oh.us/> and does not need to be redacted.

Significant Disproportionality - Placement:

Significant, disproportionate representation of students with disabilities of any racial/ethnic subgroup who are placed in more restrictive settings at a higher rate than their peers of all other races/ethnicities:

Required Actions

Note: Self-Review Summary Reports and Improvement Plans will share a due date for the 2020-2021 Profile only.

During the review of records, the Department will examine the district's practices regarding eligibility determination for special education services. The *Records for Review* Excel file contains all State Student Identification (SSID) numbers of students identified in the racial group(s) with a significant risk ratio. The file is saved in the district's Special Education Profile. Each district identified with significant disproportionality in any category must follow the steps identified below.

Investigation of Records

<p>Investigation of Records (All Districts) Due: 03-05-2021</p>	<ol style="list-style-type: none"> 1) Select five currently enrolled students from the State Student Identification (SSID) numbers listed on the <i>Records for Review</i> Excel spreadsheet. 2) List the SSID on the <i>Student Records Submission Form</i> located in your district's profile. 3) Compile the following student record items and label with the corresponding number from the <i>Student Record Submission Form</i>: <ol style="list-style-type: none"> a) Front page of the current individualized education program; b) Sections 7 and 11 of the current individualized education program; and c) Signed signature page for the current individualized education program with supporting documentation, as necessary; and d) Documentation of student race/ethnicity. 4) Upload the <i>Student Record Submission Form</i> to the Monitoring and Tracking System and the student record items to the secure site at https://docupload.ode.state.oh.us/. 5) The Office for Exceptional Children consultant will verify the results of the district's internal investigation and communicate the results through the Monitoring and Tracking System: <ol style="list-style-type: none"> a) If results of the investigation suggest the district may have been flagged due to data reporting errors, the district may proceed with submitting a Data Appeal form using the process below. 6) The district should take no further action until results are communicated via the Monitoring and Tracking System. 7) The district will be notified through the Monitoring and Tracking System with regard to compliance status of records. <p>NOTE: If noncompliance is revealed through the investigation of records, the individual cases must be corrected in the Systemic Improvement process.</p>
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Data Appeal Process

If no data reporting errors impacting the risk ratio calculation were discovered during the Investigation of Records, this section does not apply to your district:

<p>Data Appeals for Data Reporting Errors Due: 03-05-2021</p>	<ol style="list-style-type: none"> 1) If data reporting errors that impact the risk ratio were discovered during the Investigation of Records, submit the <i>Data Appeals Form</i> and supporting documentation to the OEC Monitoring mailbox at oecc.monitoring@education.ohio.gov 2) The <i>Data Appeals Form</i> must be signed by the district's superintendent. 3) The Office for Exceptional Children must verify and approve data appeals before the district takes any further action. 4) The district will be notified by return email.
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Districts with Approved Data Appeals

<p>Self-Review Summary Report for Data Reporting Errors (Section A) Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) If the district's data appeal is granted, the district must complete Section A of the <i>Self-Review Summary Report</i>. 2) State support team participation is not required. 3) Submit Section A of the <i>Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the profile.
<p>Improvement Plan for Data Reporting Errors Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) If the district's data appeal is granted and the recalculated risk ratio is less than or equal to 2.50, the district must complete an <i>Improvement Plan</i> for data reporting. 2) State support team participation is not required. 3) Review and, if necessary, revise all policies, procedures and practices related to data collection and reporting and submit documentation to the Office for Exceptional Children. 4) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for review and approval. 5) The <i>Improvement Plan</i> must be signed by the district's superintendent. 6) The district will be notified through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.
<p>Systemic Improvement For Data Reporting Errors Due: 09-17-2021</p>	<p>Evidence of activities completed:</p> <ol style="list-style-type: none"> 1) Submit evidence of completion for Improvement Plan activities. 2) Submit evidence of revised policies, procedures and/or internal monitoring processes regarding collecting and reporting district data: <ol style="list-style-type: none"> a) If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff. b) If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff. c) If new policies, practices and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies.

**Districts with Significant Disproportionality and Compliant Records or
Districts with Significant Disproportionality and Noncompliant Records**

<p>Self-Review Summary Report for Significant Disproportionality (Section B) Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) State support team involvement on the district team is required. 2) The district must complete Section B of the <i>Self-Review Summary Report</i>, addressing significant disproportionality. 3) Submit Section B of the <i>Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the Special Education Profile.
<p>Improvement Plan For Significant Disproportionality Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) State support team participation is required. 2) The district must use the funds that were redirected for significant disproportionality to implement the activities within the <i>Improvement Plan</i>. 3) The <i>Improvement Plan</i> activities must align with allowable use of funds for Comprehensive Coordinated Early Intervening Services, as explained in the Early Intervening Services Fiscal Guidance. 4) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for review and approval. 5) The Improvement Plan must be signed by the district superintendent and state support team consultant. 6) The district will be notified through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved by the Office for Exceptional Children.
<p>Individual Correction for noncompliant records Due: 06-04-2021</p>	<p>For each SSID found to be noncompliant through the <u>Investigation of Records</u>, the district must:</p> <ol style="list-style-type: none"> 1) List the SSID for each noncompliant record on the <i>Student Records Submission Form</i> and upload to the Monitoring and Tracking System. 2) Compile the corrected student record items and label with the corresponding number from the <i>Student Record Submission Form</i>: <ol style="list-style-type: none"> a. Front page of the current/amended individualized education program; b. Sections 7 and 11 of the current/amended individualized education program; and c. Signed signature page for the current/amended individualized education program with supporting documentation, as necessary; and d. Documentation of student race/ethnicity. 3) The Office for Exceptional Children consultant will notify the district regarding compliance status through the Monitoring and Tracking System.

Systemic Improvement for Significant Disproportionality
Due: 09-17-2021

Evidence of activities completed:

- 1) Provide documentation that all *Improvement Plan* activities have been completed.
- 2) Submit evidence of completion for Improvement Plan activities.
- 3) Submit evidence of revised policies, procedures and/or internal monitoring processes:
 - a) If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff.
 - b) If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff.
 - c) If new policies, practices and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies.

If the investigation of records revealed noncompliance, the district must demonstrate systemic improvement using the following steps:

- 4) Repeat the **Investigation of Records** for **up to five** students of the same race/ethnicity group flagged for significant disproportionality, the district will submit records to the secure site at <https://docupload.ode.state.oh.us/>.

NOTE: With regard to the specific racial/ethnicity group flagged, if zero records were developed after state support team training and before the Systemic Improvement due date, please upload a statement on district letterhead to the Monitoring and Tracking System.

Note: All documentation, except for items containing personally identifiable information, must be uploaded to the Monitoring and Tracking System. Sensitive information must be uploaded to the secure site at <https://docupload.ode.state.oh.us/> and does not need to be redacted.

Significant Disproportionality - Discipline:

Significant, disproportionate representation of students with disabilities of any racial/ethnic subgroup who are disciplined at a higher rate than their peers of all other races/ethnicities.

REQUIRED ACTIONS

Note: Self-Review Summary Reports and Improvement Plans will share a due date for the 2020-2021 Profile only.

The *Records for Review* file and all required forms can be downloaded from the district Special Education Profile by opening the MORE INFORMATION tab located below each indicator description. All districts identified with a significant disproportionality for discipline must investigate their records by completing and submitting a *Discipline Record Review Tally* for the SSIDs identified in the *Records for Review* Excel file.

Investigation of Records

<p>Investigation of Records All Districts Due: 03-05-2021</p>	<ol style="list-style-type: none"> 1) Establish a team of school district personnel to complete the <i>Discipline Record Review Tally</i> and select five of the students identified in the <i>Records for Review</i> Excel file. 2) Record the State Student Identification (SSID) number for each of the five students on the <i>Student Records Submission Form</i>. 3) This form will be submitted to the Monitoring and Tracking System and is used to specify which student records will be uploaded to the secure document upload site at https://docupload.ode.state.oh.us/. 4) Compile the following student record items for each of the five records: <ol style="list-style-type: none"> a) Sections 6, 7 and 11 of the current IEP; b) Documentation of student race/ethnicity; c) School year 2019-2020 district calendar; d) School year 2019-2020 discipline record, including total discipline days per incident, date, reason and type; e) School year 2019-2020 attendance record; f) Notices of suspension/expulsion sent to parent/guardian; g) When a change to placement occurs, also include: <ol style="list-style-type: none"> i) Manifestation determination (PR-03); ii) Functional Behavioral Assessment (if the behavior is a manifestation of the student's disability); and iii) Behavioral Intervention Plan (if the behavior is a manifestation of the student's disability). 5) Label the student record items with the corresponding line number of the SSID on the <i>Student Record Submission Form</i>. 6) Submit the completed <i>Discipline Record Review Tally</i> to the Monitoring and Tracking System, being careful to not include student names. 7) Do not upload student records to the Monitoring and Tracking System. 8) All student records must be uploaded to the secure document upload site at https://docupload.ode.state.oh.us/. <p>NOTE: The district must demonstrate correction for all individual records found to be noncompliant. Also, for districts with noncompliance, additional records specific to the racial/ethnicity group flagged will be requested at the end of this process to demonstrate systemic improvement.</p>
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Data Appeal Process

If no data reporting errors impacting the risk ratio calculation were discovered during the Investigation of Records, this section does not apply to your district:

<p>Data Appeals for Data Reporting Errors Due: 03-05-2021</p>	<ol style="list-style-type: none"> 1) If data reporting errors that impact the risk ratio were discovered during the Investigation of Records, submit the <i>Data Appeals Form</i> and supporting documentation to the OEC Monitoring mailbox at oecc.monitoring@education.ohio.gov 2) The <i>Data Appeals Form</i> must be signed by the district's superintendent. 3) The Office for Exceptional Children must verify and approve data appeals before the district takes any further action. 4) The district will be notified by return email.
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Districts with Approved Data Appeals

<p>Self-Review Summary Report for Data Reporting Errors (Section A) Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) If the district's data appeal is granted, the district must complete Section A of the <i>Self-Review Summary Report</i>. 2) State support team participation is not required. 3) Submit Section A of the <i>Self-Review Summary Report</i> to the Monitoring and Tracking System by the date specified in the profile.
<p>Improvement Plan for Data Reporting Errors Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) If the district's data appeal is granted and the recalculated risk ratio is less than or equal to 2.50, the district must complete an <i>Improvement Plan</i> for data reporting. 2) State support team participation is not required. 3) Review and, if necessary, revise all policies, procedures and practices related to data collection and reporting and submit documentation to the Office for Exceptional Children. 4) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for review and approval. 5) The <i>Improvement Plan</i> must be signed by the district's superintendent. 6) The district will be notified through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved.
<p>Systemic Improvement For Data Reporting Errors Due: 09-17-2021</p>	<p>Evidence of activities completed:</p> <ol style="list-style-type: none"> 1) Submit evidence of completion for Improvement Plan activities. 2) Submit evidence of revised policies, procedures and/or internal monitoring processes regarding collecting and reporting district data: <ol style="list-style-type: none"> a) If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff. b) If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff. c) If new policies, practices and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies.

Districts with Significant Disproportionality and Compliant Records or Districts with Significant Disproportionality and Noncompliant Records

<p>Self-Review Summary Report for Discipline Discrepancies (and Noncompliance) (Section B) Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) Involvement of the state support team is required. 2) The district can begin the <i>Significant Disproportionality Discipline Self-Review Summary Report</i> process using the guidelines in this manual at any time after completing and submitting the <i>Discipline Record Review Tally</i>. 3) Download the <i>Significant Disproportionality Discipline Self-Review Summary Report</i> template. 4) Review the Discipline Process for Children with Disabilities with appropriate personnel and upload the sign-in sheet to the Monitoring and Tracking System. 5) Use the <i>Significant Disproportionality Discipline Self-Review Summary Report</i> as a tool for the team to review possible root cause(s) of the noncompliance. 6) Submit the Self-Review Summary Report to the Monitoring and Tracking System by the date specified in the Special Education Profile.
<p>Improvement Plan for Discipline Discrepancies (and Noncompliance) Due: 05-03-2021</p>	<ol style="list-style-type: none"> 1) The district must use the funds that were redirected for significant disproportionality to implement the activities within the <i>Improvement Plan</i>. 2) The <i>Improvement Plan</i> activities must align with allowable use of funds for Comprehensive Coordinated Early Intervening Services, as explained in the Early Intervening Services Fiscal Guidance. 3) State support team participation is required. 4) Upload the signed <i>Improvement Plan</i> to the Monitoring and Tracking System for review and approval. 5) The Improvement Plan must be signed by the district superintendent and state support team consultant. 6) The district will be notified through the Monitoring and Tracking System when the <i>Improvement Plan</i> has been approved by the Office for Exceptional Children.
<p>Individual Correction for noncompliant records Due: 06-04-2021</p>	<p>For each SSID found to be noncompliant through the <u>Investigation of Records</u>, the district must:</p> <ol style="list-style-type: none"> 1) Provide current documentation demonstrating individual correction for all records found to be noncompliant. <ol style="list-style-type: none"> a) Submit student attendance records for the 2020-2021 school year for all individual cases of noncompliance found during the Significant Disproportionality Discipline Investigation of Records process. <ol style="list-style-type: none"> i) If student has NOT experienced disciplinary actions in the current school year, no further action is necessary for this correction. ii) If student has experienced disciplinary actions in the current school year, provide evidence that the student’s behavioral needs are being addressed by the IEP team, to include behavioral supports. iii) If the student is no longer receiving services from the district, submit evidence of withdrawal, transfer, graduation or exit from special education services.
<p>Systemic Improvement for Discipline Discrepancies</p>	<p>Evidence of activities completed:</p> <ol style="list-style-type: none"> 1) Submit documentation of completed <i>Improvement Plan</i> activities. 2) Submit documentation the district team reviewed and/or revised its policies, procedures and practices regarding discipline for students with disabilities:

(and
Noncompliance)
Due: 09-17-2021

- a. If no changes were necessary, submit documentation of review date(s), including training(s) for appropriate staff.
- b. If the district must revise its current policies, procedures and practices, submit any updated documentation, along with the dates of these revisions, and include information related to training(s) for appropriate staff;
- c. If new policies, practices and procedures are required, submit the new policies and procedures and review date(s), including training(s) for appropriate staff. Submit evidence of board approval of the new policies.

If the investigation of records revealed noncompliance, the district must demonstrate systemic improvement using the following steps:

- 1) Repeat the **Investigation of Records** process for **up to five** students with disabilities specific to the race/ethnicity group flagged who have experienced disciplinary action:
 - a) Submit student records to the secure document upload site at <https://docupload.ode.state.oh.us/>.
 - b) Disciplinary actions must have occurred after the district completed the required State Support Team training.

NOTE: If the district did not have any students with disabilities who have experienced disciplinary action following the completion of the State Support Team training, upload this explanation on district letterhead to the Monitoring and Tracking System.

Note: All documentation, except for items containing personally identifiable information, must be uploaded to the Monitoring and Tracking System. Sensitive information must be uploaded to the secure site at <https://docupload.ode.state.oh.us/> and does not need to be redacted.