IDEA Monitoring Process Guide

About This Guide

This Guide is for educational agencies selected for either a Tier 2 IDEA Self-Review or Tier 3 IDEA Monitoring Review process. For information regarding the Tier 1 Compliance and Performance Indicator Reviews, please go to the department’s website.

In this document, “educational agency” refers to all school districts, community schools, electronic schools, career technical centers (CTCs), educational service centers (ESCs) and county boards of developmental disabilities (DDs). “Department” refers to the Ohio Department of Education's Office for Exceptional Children.

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IDEA Monitoring Overview

States have a responsibility under federal law to establish a system of general supervision to monitor the implementation of the Individuals with Disabilities Education Act (IDEA) of 2004 by educational agencies.

As part of Ohio’s system of general supervision, the Ohio Department of Education’s Office for Exceptional Children developed a comprehensive monitoring system for implementation of IDEA and for continuous improvement in special education programs across the state. The overall goal of the Department’s IDEA monitoring system is to provide educational agencies the support and resources to improve outcomes for students with disabilities.

The monitoring system includes three tiers of support:

- Tier 3: IDEA Monitoring Review;
- Tier 2: Guided IDEA Self-Review; and
- Tier 1: Compliance and Performance Indicator Reviews

Each review involves a different level of support and resources provided to the educational agencies, from the Department and regional state support teams. All educational agencies are reviewed every year through Tier 1 Compliance and Performance Indicator Reviews. Educational agencies may also be selected for a Tier 2 or Tier 3 review for one or more of the following reasons:

- Risk analysis based upon multiple factors and measures associated with compliance and performance indicator data
- Education Management Information System (EMIS) and other data that suggest irregularities in the educational agency’s special education process
- Patterns of repeated and/or systemic complaints and due process hearing requests regarding special education services
- Referral from other agencies or entities, such as the Ohio Auditor of State’s office, the office of the Ohio Attorney General or Department internal offices

IDEA Monitoring Review Process (Tier 3)

The intent of the IDEA Monitoring Review Process is to maximize the use of resources that will result in better academic, social and postsecondary outcomes for students with disabilities and to implement federal and state requirements. The IDEA Monitoring Review Process focuses on individual educational agency needs while leveraging the educational agency’s strengths to address opportunities for improvement. This multi-year process is closely linked and integrated into the Ohio Improvement Process, utilizing existing leadership structures and procedures for data analysis, planning, implementation and monitoring of strategies and actions designed to improve outcomes for students with disabilities. The state support team serves as the primary source for technical assistance and professional development during implementation of improvement strategies and activities and supporting sustained improvement.

Generally, identified districts are notified in the spring prior to the school year in which their review will take place. Notification will include a process for scheduling an initial meeting with the district and state support team partners.
Each year the Department selects at least one Career Technical Center (CTC), Educational Service Center (ESC) or County Board of Developmental Disabilities (CBDD) for a Tier 3 review. When agencies serving multiple districts (CTCs, ESCs, CBDDs) are selected for a Tier 3 review, all associate educational agencies will be included in all review activities as outlined in this guide. While the district of residence is ultimately responsible for compliance with all state and federal special education laws and regulations, there is shared responsibility and accountability for agencies that have agreed to provide educational services to member districts and communities. As such, both the selected educational agency and all associate educational agencies will be expected to share responsibility and collaborate to ensure that special education services and documentation are complete and compliant. Any corrections required from the review process are expected to be completed quickly and accurately. The Department will notify the associate educational agencies of the review schedule and other pertinent details regarding the review process. All educational agencies (districts of residence) engaged with services with the CTC, ESC or CBDD will be held responsible for the correction of any noncompliance and other actions as stipulated in the Department’s summary report and subsequent corrective action plan.

Once the educational agency has completed the Tier 3 IDEA Monitoring Review Process, the educational agency will utilize the Tier 2 Guided IDEA Self-Review Process to identify and address special education priority areas. These areas will be incorporated into the educational agency’s One Needs Assessment/One Plan to ensure continuous improvement within its special education program and services.

**Free Appropriate Public Education (FAPE) Violations**

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

**Reimbursement**

The Department will reimburse the educational agency for substitute teachers and postage costs in relation to this review. Substitute teachers will be needed during staff interviews and IEP verifications. An invoice for the substitute teacher and postage costs will need to be emailed within 30 calendar days of the review to Donna Horn at donna.horn@education.ohio.gov.

The Department will reimburse the educational agency for substitute and postage costs through the Comprehensive Continuous Improvement Plan, CCIP as Additional Allocation.

**Guided IDEA Self-Review Process (Tier 2)**

The intent of the Tier 2 Guided IDEA Self-Review Process is to provide educational agencies with the self-review resources and tools that will result in better academic, social and postsecondary outcomes for students with disabilities and to meet regulatory compliance requirements. The educational agency’s self-review efforts, coupled with resulting continuous improvement priorities, will result in positive growth and development for personnel and education systems and will, in turn, produce higher achievement for all students.

During the self-review, educational agencies are asked to make data-based determinations of their effectiveness in meeting the requirements of the Individuals with Disabilities Education Act (IDEA). The educational agency will conduct a self-review of special education policies, procedures and practices,
special education records compliance and student performance outcomes. The process provides special education needs assessment questions to determine special education areas of concern and root causes which will assist the educational agency to make objective data-based decisions. This will then guide the educational agency to develop goals and strategies that will be integrated into the educational agency’s One Plan in ED STEPS for continuous improvement.

**Compliance and Performance Indicator Reviews (Tier 1)**

The Ohio Department of Education annually monitors the performance of all educational agencies on the following State Performance Plan/Annual Performance Report indicators:

- Indicator 1 – Graduation
- Indicator 2 – Dropout
- Participation in Math and Reading Alternate Assessments
- Assessment Participation and Performance
- Indicator 4 – Discipline Discrepancy
- Indicator 5 – School-age Educational Environments
- Indicator 6 – Preschool Educational Environments
- Indicator 7 – Preschool Outcomes
- Indicator 8 – Facilitated Parent Involvement
- Indicator 9 – Disproportionality: Identification for Special Education (all disability categories)
- Indicator 10 – Disproportionality: Identification for Special Education (specific disability categories)
- Indicator 11 – Child Find - Timely Initial Evaluations
- Indicator 12 – Early Childhood Transition from Part C to Part B
- Indicator 13 – Secondary Transition
- Indicator 14 – Postschool Outcomes
- Indicator 15 – Timely Correction of Noncompliance
- Disproportionality: Placement of Students with Disabilities
- Disproportionality: Discipline of Students with Disabilities

For more information on Tier 1 Compliance and Performance Indicator Reviews, please go to the Department’s website, Ohio’s Special Education Profiles.

**Learning Management System (LMS) Modules**

OEC has created a Special Education Process Course which includes four modules:

- Evaluation Team Report (ETR)
- Individualized Education Program (IEP)
- Secondary Transition Plan Compliance
- Establishing an Internal Monitoring Team and Process

This course is designed to provide participants with the essentials of the special education process. The first three modules will take participants through how to complete the Evaluation Team Report (ETR), the Individualized Education Program (IEP) and the Transition Plan. The fourth module provides an overview on establishing an Internal Monitoring Team and Process and how to use OEC’s record review tools to look at specific record review items for compliance. Participants will receive certificates of completion if they receive an 80% or higher on the quizzes within the modules.

The Internal Monitoring Team is required to complete all four modules of the course. Other staff members who are not on the Internal Monitoring Team will be required to complete the ETR, IEP and Secondary Transition Plan modules only.
These other staff members include:

- Intervention specialists
- Related service providers
- General education teachers who co-teach or have special education students in their classes
- Paraprofessionals/aides
- Contracted related service providers and ESC special education staff who are currently working in your buildings/district, if applicable
- Others who directly work with students with disabilities as designated by the educational agency

If your district is in a **Tier 3 monitoring review**, the staff will need to request enrollment in the private OEC Required Special Education Process LMS Course in order for the Department to track and monitor LMS participants’ progress and completion.

For educational agencies in a **Tier 2 self-review**, participants will access the Special Education Essentials Course in LMS. The Department will require copies of certificates of completion as evidence.

The Department contact will send the educational agency login instructions for the correct LMS course to complete. Please see [Appendix 1](#) for more information on the LMS modules.
Preliminary Steps
Tier 3 and Tier 2 Processes

Initial Meeting

Both Tier 3 and Tier 2 review processes will begin with an initial meeting. The Department and SST personnel will meet with the educational agency’s leadership team to provide an overview of the specific activities/steps and timelines of the review process that will be conducted. This meeting typically lasts 60-90 minutes. The following staff must be included in the initial meeting:

- Superintendent
- Treasurer/Fiscal officer
- Building administrators
- Curriculum supervisor/coordinator
- EMIS coordinator
- Special education director
- Educational agency One Plan facilitator
- Management company special education representative, if applicable
- Sponsor representative, if applicable

Educational Agency’s Cross-Functional Team

The educational agency will select individuals for a cross-functional team. The purpose of this team is to implement and provide inclusive leadership. The main function of this team will be to disseminate information throughout the educational agency. In addition, this team will be responsible for communicating with the Department and the SST and for making decisions around compliance and improvement outcomes to:

- Advocate for educational agency’s needs
- Allocate resources
- Manage and oversee all review processes
- Make decisions about educational agency’s improvement priorities
- Adhere to review timelines

An educational agency is most successful in improving outcomes for students with disabilities when it commits to building a strong cross-functional team of individuals who make informed decisions about district improvement.

A strong cross-functional team includes the following personnel:

- Administration: superintendent, special education director/coordinator; early childhood coordinator/director; curriculum supervisor/coordinator; treasurer, human resources representative(s), data management staff (EMIS coordinator) and other central office staff, (include administrators with authority to direct resources that affect change)
- Representatives from each building to include: a principal (or assistant principal), an intervention specialist and a general education teacher
- Representatives for related service providers or all related service providers (district’s decision)
- School psychologist
- SST representatives
- Individual(s) familiar with the CCIP
- Educational agency One Plan facilitator
- Community school sponsor and management company representative (if applicable)
- Representative from each associate educational agency (if applicable)
The number of team members may vary according to the size of the district. The team members may also change over time depending on specific concerns or issues that arise through the review process.

Educational Agency’s Internal Monitoring Team

The educational agency will also select individuals for an **internal monitoring team**. The team will receive internal monitoring and special education essentials trainings through the Department’s Learning Management System. These trainings will show how to establish an Internal Monitoring Team and use the record review tools within this guide to look at specific record review items. This team will be responsible for developing and implementing internal monitoring review processes and training other staff. The educational agency will develop an Internal Monitoring Review Procedure and Process manual.

This team should include the following personnel:

- Special education director/coordinator
- Intervention specialists (lead intervention specialists based on building and grade assignments)
- General education teachers (include content knowledgeable staff/co-teacher)
- School psychologist
- Speech language pathologist
- Occupational therapist
- Physical therapist
- Transition coordinator
- Early childhood director/coordinator
- Staff who support English learners
- Associate educational agency representatives (for agencies serving multiple districts)
- Others as designated by the educational agency

Note: Due to different preschool requirements, preschool monitoring will not be part of this process. If preschool monitoring is necessary, it will happen through the Office of Early Learning and School Readiness.

For each educational agency that serves multiple associate educational agencies, the associate educational agencies will identify their own internal monitoring team that will be trained by Department and SST staff along with the primary educational agency team.

Note: Some staff will be on both the cross-functional and internal monitoring teams by the nature of their job responsibilities.

Educational Agency Staff List

**For Tier 3 IDEA Monitoring Reviews**, the educational agency will provide names of all staff with their roles and licensure (when applicable) and email addresses to the Department. Please include grade level and subject for each teacher. The list will also indicate who is on the cross-functional team and/or internal monitoring team.

**For Tier 2 Guided IDEA Self-Reviews**, the educational agency will submit to the Department a list of its cross-functional team, internal monitoring team members and other staff members completing the LMS modules using the provided staff list spreadsheet.

**Note:** When agencies serving multiple districts (CTCs, ESCs, DDs) are selected for review, all associate educational agencies will cooperate with the primary agency in selecting associate educational agency/school staff and administrators who will participate in interviews.
Tier 3 IDEA Monitoring Review Process
Tier 3 IDEA Monitoring Review Process

Activities Prior to Review

Analysis and Review of Educational Agency Data

Prior to the scheduled review, the Department will review the educational agency’s background information and performance data to identify possible focus areas. The Department uses the data to identify trends or patterns in the educational agency or associate educational agencies’ special education programs. Trends or patterns may point to an area(s) of needed support and improvement, such as delivery of services, placement, performance, disability categories, discipline or staffing levels. This allows the team to focus the review and determine:

- The rationale for record selection
- Questions for the staff interviews
- Specific areas of concern or accomplishment; and
- Other activities or documents needed for the review

The Department’s data analysis is based upon multiple factors and measures associated with compliance and outcomes data, including fiscal data and other results-driven outcomes. The data review includes, but is not limited to, Special Education Profile data, including disproportionality, local report cards, agency policies and procedures, dispute resolution issues, any educational agency improvement plans, which may include the Comprehensive Continuous Improvement Plan (CCIP) or One Needs Assessment/One Plan, special education workloads and caseloads and use of early intervening funds and other resource management areas.

Student Record Reviews

Prior to the review activities, the educational agency will be directed to submit a list of all students with disabilities currently enrolled. The list must be password protected or uploaded to the Department’s secure site. This list will need to include:

- Student’s name
- Date of birth
- Grade
- Disability category
- Gender
- Ethnic code
- Date of current Evaluation Team Report (ETR)
- Date of current Individualized Education Program (IEP)
- Attending Building
- District of Residence
- District of Service

Once this list is received, the Department will select a sample number of special education records equitably to represent all buildings, grade levels, disability categories, genders and races, or may be targeted based on the analysis of educational agency data.
The Department will request that the educational agency submit the following documents for each student selected from the list:

- Current ETRs, including the planning form
- Current and previous IEPs
- Current and previous IEP Progress Reports
- Prior written notices within the last ETR/IEP term (PR-01)
- Parent invitations within the last ETR/IEP term (PR-02)
- Parent consent forms within the last ETR term (PR-05)
- Documentation of attempts to involve the parent, if applicable (OP-9)
- Discipline forms within the last IEP term, such as Manifestation Determination, Functional Behavior Assessment and Behavior Intervention Plan
- Selected student schedules (indicating specifically when specially designed instruction is provided)
- List of all staff members’ names, email addresses, buildings, positions and titles (for teachers indicate grade and subject, co-teaching)
- Board-adopted special education policies and procedures

Any documents containing personally identifiable information must be uploaded in the Department’s secure site. Please see Appendix 2 for instructions for uploading the documents.

Department staff will review the submitted records using the Record Review Guide and Indicator 13 Checklist Questions.

Any additional required documentation to support policies, procedures and practices can be sent to the Department contact via email if it does not contain personally identifiable information. The educational agency may need to provide copies during the review of any special education files needed for clarification.

The Department will use the student schedules and staff list to develop the review agenda, select interview participants and schedule IEP verification visits.

The review will include evaluation of the educational agency’s ETR process, the IEP process and implementation, discipline and behavior processes, parent and student involvement, community partnerships and inclusive leadership efforts.

**Parent Input**

The educational agency will notify parents/guardians of the monitoring review through a letter provided by the Department and mailed by the educational agency. This letter will contain a link to a recorded presentation overview of the monitoring process, including the Department’s request for parental input. The notice and presentation will provide parents with contact information to submit general comments or concerns regarding the special education program and services provided by the educational agency. Parents will have up to 30 calendar days after the review activities are completed to submit comments to the Department. The educational agency will post the notification on its website at least 30 calendar days prior to the monitoring review date. The educational agency must provide the Department with verification of the communication and posting 30 calendar days prior to the review date. The Department will reimburse the educational agency on any postage cost.
**Review Activities**

**Introductory Meeting**

Review activities may be conducted in-person, virtually or via conference call. To begin the review, the Department’s review team will conduct an introductory meeting with the educational agency’s cross-functional team. This meeting typically lasts 30 minutes. The purpose of this meeting is to discuss the agenda for the review activities:

- Interview sessions
- IEP verifications
- Next Steps meeting

**Interview Sessions**

Department and SST representatives will work with the educational agency to select personnel who will participate in the interviews. The educational agency will coordinate with the Department concerning the number of interviewees, interview location/platform and times.

Interview sessions typically last 60 minutes, are grouped by position and are no larger than eight to ten members in each session. These groups will be interviewed separately:

- Special education teachers
- General education teachers
- Related service providers
- Paraprofessionals and other personnel associated with the records reviewed, and
- Educational agency administrators.

**For CTCs, ESCs and CBDDs**, teams of associate educational agency administration staff. Note: Special education teachers, general education teachers, related service providers, paraprofessionals and other personnel from associate educational agencies may be interviewed if they are providing services to students who attend a CTC.

- Any other stakeholders involved in the educational agency’s special education process (this may include community school sponsor representatives and management company or operator representatives)

In the interest of transparency and open communication, supervisory staff cannot attend interviews with instructional staff. Individual or personally identifiable information is not collected in the interview notes.

The educational agency may be asked to provide additional documentation or evidence of policies, procedures and/or practices in response to information gathered during the interviews.

**IEP Verifications**

From the student records previously submitted and reviewed, the Department will select a sample number of student IEPs to conduct IEP Verifications. The Department will schedule times to visit the selected students’ classrooms to verify that the students are receiving the services as described in their IEPs. This may include conversations with the teachers to confirm their knowledge of the services described in the student’s IEP, including progress monitoring and secondary transition services, as applicable. Please see Appendix 6 for the IEP Verification Checklist the Department uses during these classroom visits. The Department staff will spend between 15-30 minutes on each classroom visit. Documentation ensuring IEP implementation and progress monitoring will be collected and reviewed. The focus of an IEP verification is on the implementation of the student’s IEP, not teacher performance.
Next Steps Meeting

After the review activities have been completed, the Department’s review team will conduct a meeting to discuss the next steps in the review process with the educational agency’s cross-functional team. This meeting will not exceed 60 minutes. The purpose of the meeting is to address the following:

- A review of overarching themes from record reviews, interviews, IEP verifications and parent input
- Additional documentation or data, if needed
- An explanation of what will be included in the educational agency’s summary report
- Discussion of timelines of the post-review activities

Please see Appendix 8 for Sample Agenda for Tier 3 Review Activities.

Post-Review Activities

Summary Report

The Department review team will complete and present a summary report of the review findings within 60-90 school days from the last day of the monitoring review. The summary report will contain information and analysis of all review activities, including student record reviews, interviews, parent input and IEP verifications. The report will include strengths, any noncompliance or concerns, required actions and other considerations or recommendations for the educational agency. Findings of noncompliance at a level of approximately 30% or greater in any specific area of concern found during the review activities or record reviews will have a required action in the educational agency’s corrective action plan (CAP).

The Department will schedule a summary report presentation with the educational agency’s cross-functional team to review the Department’s findings. If a CAP is required, the Department will provide an outline for the development of the CAP. CAPs are due within 30 school days of the date of the summary report. The SST will work with the educational agency to finalize the CAP activities and timelines. The CAP form will need to be electronically signed by the educational agency and SST consultant. The CAP will then be sent to the Department for approval. The Department reserves the right to create a directed CAP for the educational agency, if needed.

Required Trainings

The Department will schedule training with the internal monitoring team (to include associate educational agency representation when reviewing CTCs, ESCs or CBDDs) and SST staff. The purpose is for the team to receive training on internal monitoring processes and reviewing records.

The educational agency personnel will also be required to complete assigned Learning Management System (LMS) modules regarding special education within 30 school days of the date of the summary report. Any score lower than 80% will require additional technical assistance from the SST. Please refer to the LMS Information Sheet in Appendix 1 for details.

Individual Corrections

The educational agency, and the associate educational agencies, when applicable, is required to correct all findings of individual noncompliance within 60 school days of the date of the educational agency’s summary report. If the review identifies any issue(s) denying the provision of FAPE, the educational agency will receive a separate notification of the FAPE violation(s) and will be required to provide the Department with a plan to correct the issue(s) within 15 school days of the notification.

Technical assistance will be provided by Department and SST staff. Individual student record review comments are provided with the summary report. Record review issues are communicated to the parent or guardian by a separate letter mailed by the Department. Individual corrections will be reviewed and
verified by Department staff. The educational agency will receive a confirmation letter of completion of individual corrections from the Department once all corrections have been verified.

**Verification of CAP Completion and Systemic Correction**

The Department will coordinate the review of the educational agency’s implementation of and progress on corrective action steps, including collection of evidence. The SST consultant will assist the educational agency in reporting CAP progress to the Department contact.

The educational agency will be required to demonstrate completion of all CAP activities and systemic correction within the given timelines in the educational agency’s summary report, not to exceed one year from the date of notification of findings, per federal requirement. The educational agency will complete and submit the CAP Verification Form (included in the CAP form) to the Department. The Department will verify completion through a review of documentation and a new sample of student records to demonstrate 100% compliance in all the areas cited in the summary report. Upon documented completion of all CAP activities and systemic corrections, the educational agency will receive a letter of clearance from the Department.

**Progressive Sanctions**

In the event the educational agency does not meet required systemic corrections within the federally mandated timeline, the Department will work with the educational agency to determine needed steps to meet compliance. This may include progressive sanctions.

**Continuous Improvement**

Once the educational agency has received the Department’s letter of clearance, the educational agency will utilize the Tier 2 Guided IDEA Self-Review Process to identify and address special education priority areas. The educational agency will be required to update their One Needs Assessment and One Plan to reflect these special education priority areas to ensure continuous improvement within its special education program and services. Note: Career Technical Centers will utilize the OEC Special Education Needs Assessment found in Appendix 14 and develop a Strategic Improvement Plan to ensure continuous improvement.
Tier 2 Guided IDEA Self-Review Process

Steps of Self-Review Process

The process includes five steps:

**Step 1: Collect Data and Identify Critical Needs**
One Needs Assessment – IDEA Review Questions

**Step 2: Research and Select Evidence-Based Strategies**
Strategies to address the identified critical needs

**Step 3: Plan for Implementation**
Development of One Plan

**Step 4: Implement and Monitor**
One Plan Implementation, Monitoring Results and Data Collection

**Step 5: Examine, Reflect and Adjust**
Review of Implementation and Results for Decision-Making

The Department’s Office for Exceptional Children, Supports and Monitoring Team, will assist in facilitating the process along with the State Support Team (SST). For community schools, a representative from the Department’s Office of Community Schools will also assist with facilitating coordination with the sponsor.

The educational agency’s internal monitoring team will be required to complete assigned Learning Management System (LMS) modules regarding special education. Any score lower than 80% will require additional technical assistance from the SST.

Once the team has completed the internal monitoring training modules, the SST staff will facilitate a review of a student’s Evaluation Team Report (ETR), Individualized Education Program (IEP) and related documents with the educational agency to practice the internal monitoring process, including IEP verifications.

**Step 1: Data Collection for Identifying Critical Needs**
One Needs Assessment – IDEA Review Questions

The cross-functional team will begin to compile special education data through surveying administration, staff, parents and students; reviewing policies, procedures and practices to determine needed revisions and/or development; and answering the One Needs Assessment – IDEA Review Questions. (For ESCs, refer to Appendix 12 and for County Boards of DD, refer to Appendix 13 and Note: Career Technical Centers will use the OEC Special Education Needs Assessment.) The team will look at special education data for each area and ask the following overarching questions:

- What are the current data?
- What do the data reveal about the trends and patterns over time? What is the impact of these trends and patterns?
- Is this an area identified as a concern? If yes, what is the potential influence? What is the priority for this area of concern overall?
- What current initiatives are in place to address identified concerns?
- In what additional area(s) should we collect data?
The team will compile the data to assist in completing the IDEA Review Questions imbedded in the One Needs Assessment and ensure that special education priority areas are incorporated into the One Plan, including:

- **Policies, Procedures and Practices**
  The educational agency will survey its population of stakeholders, including administrators, staff, parents and students regarding special education services using the provided perception surveys. Using the results of the surveys, the educational agency will review its current policies, procedures and implementation practices including Positive Behavioral Interventions and Supports (PBIS), Restraint and Seclusion, Response to Intervention/Multi-Tiered System of Support (RTI/MTSS), discipline, parent involvement, special education and continuum of services, to determine if any changes or updates are needed. This includes development of special education internal monitoring procedures and IEP verification processes and practices. Internal training and professional development on the special education policies and procedures for current and new staff members must also be included.

- **Record Review and IEP Verification Walkthrough**
  As part of the Internal Monitoring Process, the educational agency will use the Department’s record review guide to review ETRs and IEPs to identify any areas of noncompliance and compile a summary of the results using the record review tally spreadsheet. The Microsoft Excel version of the Record Review Tally is located on the Department’s website. The educational agency will correct all records with areas found noncompliant within a reasonable time (no later than 60 school days from the date of the record review completion).

  The educational agency will select IEPs and conduct classroom walkthroughs using the IEP Verification Checklist to verify that the students are receiving identified services, supports and instruction as described in their IEP. Documentation ensuring IEP implementation with fidelity will be collected and reviewed. Feedback information will be provided to IEP team members for continuous improvement. The focus is on the implementation of the student’s IEP, not on teacher performance.

  The educational agency will use the results from the record reviews and IEP verifications to determine needed professional development and trainings for staff and/or update written procedures.

  The educational agency will use the Progress Review Report to send the Department quarterly updates regarding its internal monitoring process.

- **Caseload and Workload Verification**
  The educational agency will review documentation of licensure for all special education and related services providers, along with documentation of caseloads and workloads. Use of the caseload and workload calculator on the Department’s website is recommended for applicable positions.
Step 2: Research and Select Evidence-Based Strategies

Strategies to address the identified critical needs

The cross-functional team, with SST assistance, will review and discuss the results of the One Needs Assessment. These results will help identify the educational agency’s priority areas of concern and root causes.

The educational agency will research and select evidence-based strategies for improvement in the identified priority areas. These areas may look at:

- Identifying and elevating professional learning that promotes high-leverage special education practices.
- Exploring ways to improve the IEP process and progress monitoring.
- Reducing exemptions from the consequences of state assessments and overidentification of students with specific learning disabilities.
- Ensuring students with disabilities’ access to the evidence-based language and literacy practices and interventions included in Ohio’s Plan to Raise Literacy Achievement.
- Assisting at-risk students with additional instructional or support services to help obtain a high school diploma.

Step 3: Plan for Implementation

Develop SMART Goals for One Plan

The educational agency will integrate the priority areas of special education focus identified through the One Needs Assessment into the educational agency’s One Plan by connecting evidence-based strategies identified with existing SMART goals in the One Plan. The educational agency will submit the One Plan to the Department for approval.

Step 4: Implement and Monitor (1st year)

One Plan Implementation, Monitoring Results and Data Collection

During the first year of the One Plan, the educational agency will begin implementing the action steps and improvement strategies and will provide OEC with documentation and evidence of implementation, including internal monitoring review results.

After the first year, the level of involvement of OEC will be determined, based on the evidence of implementation and progress made.

Step 5: Examine, Reflect and Adjust

Continuous Review of Implementation and Results for Decision-Making

The educational agency will continue to review the progress of its implementation of the action steps and improvement strategies each year. Based on that review, the educational agency will update the One Plan as needed. If at any point progress is impeded, the educational agency, with the Department and SST assistance, will adjust the One Plan goals and/or strategies.
Appendix 1:
LMS Information Sheet
Learning Management System (LMS) Information Sheet

- The Learning Management System (LMS) can be found in the OH|ID portal.
- You must have an OH|ID portal account in order to access it.
- All four modules can be done at once or one module at a time.
- Modules can be completed at the staff member’s convenience.
- It is recommended staff members print the scripts before taking the quizzes.
- Staff members who score below 80% will receive Tier 2 training provided by the SST contact.
- Staff will receive certificates upon completion if the score is 80% or above.

Note: Specific login instructions will be sent to the educational agency’s special education contact.

If your district is in a Tier 3 monitoring review, the Department will require staff to request enrollment in the private LMS Modules in order to track and monitor LMS participants’ progress and completion.

For educational agencies in a Tier 2 review, the Department will require copies of certificates of completion as evidence.

### Special Education LMS Course

<table>
<thead>
<tr>
<th>ETR Module: provides a detailed overview of the Evaluation Team Report (ETR) process for school age children.</th>
<th>Approximate Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Part 1 – Referral and Planning</td>
<td>22 minutes</td>
</tr>
<tr>
<td>- Part 2 – Summaries and Eligibility</td>
<td>24 minutes</td>
</tr>
<tr>
<td>- Part 3 – Determining SLD Eligibility</td>
<td>9 minutes</td>
</tr>
<tr>
<td>- Quiz</td>
<td>25 Questions</td>
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</table>

<table>
<thead>
<tr>
<th>IEP Module: focuses on the development, writing and implementation of the Individualized Education Program (IEP)</th>
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</thead>
<tbody>
<tr>
<td>- Part 1</td>
<td>15 minutes</td>
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<tr>
<td>- Part 2</td>
<td>15 minutes</td>
</tr>
<tr>
<td>- Part 3</td>
<td>12 minutes</td>
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<tr>
<td>- Quiz</td>
<td>26 Questions</td>
</tr>
</tbody>
</table>

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<thead>
<tr>
<th>Secondary Transition Compliance Module: provides an overview of the requirements for secondary transition</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>- Part 1</td>
<td>12 minutes</td>
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<tr>
<td>- Part 2</td>
<td>20 minutes</td>
</tr>
<tr>
<td>- Quiz</td>
<td>24 Questions</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Internal Monitoring Training Module: provides an overview on establishing an Internal Monitoring Process and how to use OEC’s record review tools to look at specific record review items for compliance.</th>
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</thead>
<tbody>
<tr>
<td>- Part 1 – Establishing an Internal Monitoring Team and Process</td>
<td>25 minutes</td>
</tr>
<tr>
<td>- Part 2 – Internal Monitoring Process for ETR Review</td>
<td>38 minutes</td>
</tr>
<tr>
<td>- Part 3 – Internal Monitoring Process for Transition Plan Review</td>
<td>18 minutes</td>
</tr>
<tr>
<td>- Part 4 – Internal Monitoring Process for IEP Review</td>
<td>56 minutes</td>
</tr>
<tr>
<td>- Quiz</td>
<td>27 Question</td>
</tr>
</tbody>
</table>
Appendix 2: Required Documents and Upload Instructions
Required Documents

- Current Evaluation Team Reports (ETRs), including the planning form
- Current and previous Individualized Education Programs (IEPs)
- Current and previous IEP Progress Reports
- Prior written notices within the last ETR/IEP term
- Parent invitations within the last ETR/IEP term
- Parent consent forms within the last ETR term
- Documentation of attempts to involve the parent, if applicable (OP-9)
- Discipline forms (for example, Manifestation Determination, Functional Behavior Assessment and Behavior Intervention Plan) within the last IEP term
- Selected student schedules (indicating when the students receive their SDI minutes)
- All staff members’ names, email addresses, buildings, positions and titles
- Board-adopted special education policies and procedures

Additional Documents Requested

The following additional documents may be requested by the Department for review prior to the scheduled review activities:
1. Verification that the workload/caseload ratios for special education service providers meet the requirements in the Operating Standards 3301-51-09 (I)
2. Restraint and seclusion policy and current restraint and seclusion data
3. Communication plan with other associated educational agencies (CTCs, DD schools, ESCs or other agencies serving multiple districts)
4. Department-approved special education policies and procedures adopted by the agency’s board
5. Bell schedule and building maps
6. Instructional delivery methods for educational agency providing remote learning
7. Any other specific documents or policies identified by the Department prior to the review

Additional documents requested for CTCs:
1. The local Perkins Plan with supporting evidence of implementation
2. Program or course catalog including statement of equal access to all programs
3. The CTC admissions policy and procedures
4. The CTC communications plan and CTC-specific special education policies and procedures

Additional documents requested for ESCs:
1. List of districts served
2. List of services provided
3. List of districts sponsored (if applicable)

Additional documents requested for Electronic Schools
1. How specially designed instruction and related services are provided
2. Locations where services are provided
3. Description of how related services are planned and delivered
Instructions for Uploading Documents

Submit all required student records and any documents with personally identifiable information to the Department’s secure upload site at [https://docupload.ode.state.oh.us/](https://docupload.ode.state.oh.us/). Records submitted through this site do not need to be redacted.

Enter the name and email address of the person uploading the records.

Then select “OEC Monitoring” for the purpose of uploading documents. Then you will need to complete the other required fields:
Select “Choose File” to upload the document/record. Make sure to name the document using the student’s initials and type of document (for example, “John Doe IETR,” “John Doe IEP,” “John Doe Previous IEP”). Please include any related documents with the ETR and IEP (prior written notices, parent invitations, consent forms, progress reports).

If you are having difficulty uploading the documents, please contact your IT department for assistance.
Appendix 3:
Record Review Guide
<table>
<thead>
<tr>
<th>Record Review Item</th>
<th>Regulation 34 CFR 300 or OAC 3301-51</th>
<th>Record Review Question</th>
<th>Compliant</th>
<th>Evidence</th>
<th>Potential Source(s) of Documentation</th>
</tr>
</thead>
</table>
| CF-1               | 300.305(a) [Review of existing evaluation data] | For children transitioning from Part C, did the educational agency utilize child information from the Individual Family Service Plan (IFSP) and other documentation provided by Part C in suspecting or when determining eligibility for Part B supports and services? | YES | Information from Part C must be documented and can include:  
- Observations in more than one setting and in multiple activities  
- Interviews (information provided by parents or caregiver)  
- Results of the required Part C assessments |  
- Help Me Grow forms  
- Records from the Transition Conference  
- PR-06 ETR – Part 2  
- PR-04 Referral Form  
- PR-01 Prior Written Notice |
|                    |                                      | *Preschool Only  
*Initial Evaluation Only | NO | There is no evidence that the data indicated above are documented as part of the decision-making process for suspecting or determining eligibility. | |
<p>|                    |                                      |                  | NA | The child is not transitioning from C to B. | |</p>
<table>
<thead>
<tr>
<th>Record Review Item</th>
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<th>Record Review Question</th>
<th>Compliant</th>
<th>Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>CF-2</td>
<td>3301-51-06(A) [Evaluations – General]</td>
<td>Does the educational agency provide interventions to resolve concerns for any child who is performing below grade-level standards? Preschool Note: The summary of interventions provided is <strong>required</strong> for preschool children only if the preschool child previously received services under Part C and/or Part B of IDEA or is being evaluated under the suspected disability category of specific learning disability.</td>
<td>YES</td>
<td>The record shows evidence of intervention data and provides a summary of the interventions that have been implemented prior to referral OR during the evaluation process. <strong>For initial evaluations</strong>, the summary of interventions provided must include: 1. A description of the research-based intervention(s) used; 2. How long the intervention was provided (how many weeks); 3. The intensity of the intervention – how often, and for how many minutes; 4. A description of the results compared to the baseline data; 5. The decision as a result of the intervention(s). <strong>For reevaluations</strong>, the summary of interventions provided would include: 1. A description as delineated above if interventions were provided in addition to the specially designed instruction, related services, and other supports contained in the IEP; 2. <strong>If no additional interventions were provided</strong>, a statement that it was determined by the ETR team that the student is making adequate progress with current special education supports and services required in the IEP.; 3. This area cannot be left blank and must refer to actual interventions, if provided, and not simply accommodations or modifications.</td>
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<td></td>
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<td>NO</td>
<td>The student record contains no evidence that interventions were provided to the child; OR For a reevaluation, there is no statement that the <strong>student was making adequate progress with current special education supports and services.</strong></td>
</tr>
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<td></td>
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<td>NA</td>
<td>Transfer ETR from previous educational agency; OR The preschool child did not previously receive services under Part C and/or Part B of IDEA.</td>
</tr>
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</table>

**Potential Source(s) of Documentation**
- Data from interventions
- PR-06 ETR – Part 2
- PR-04 Referral Form
- PR-01 Prior Written Notice
<table>
<thead>
<tr>
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<th>Regulation 34 CFR 300 or OAC 3301-51</th>
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<th>Evidence</th>
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</table>
| CF-3              | 300.9 [Consent] 300.305 [Additional requirements for evaluations and reevaluations] | Were the parents/guardians provided the opportunity to be involved in the ETR planning process to establish informed parental consent? | YES       | There is evidence of parental involvement; OR Evidence the parent was provided the opportunity to participate in the ETR planning process. This also applies to in-state transfer-in ETRs adopted by the educational agency. Note: A new evaluation for a child who transfers into Ohio from another state is considered to be an initial evaluation in Ohio. | • Evaluation Planning Form  
• PR-01 Prior Written Notice  
• PR-02 Parent Invitation  
• PR-04 Referral Form  
• Other Documentation: Phone logs, parent contact logs, e-mails, conference calls  
• Documentation of educational agency and parent agreement (must be verified by consultant for compliance)  
• If transfer ETR, adopting educational agency documentation of parent involvement in the ETR planning |
|                   |                                     |                        | NO        | No evidence of parental involvement; OR No evidence the parent was provided the opportunity to participate in the ETR planning process. | |
|                   |                                     |                        | NA        | The parent and the educational agency agreed that a reevaluation was unnecessary. | |
| CF-4              | 300.300 [Parental Consent] 300.9 [Consent] | Was written, informed parental consent obtained prior to an evaluation? | YES       | Signed PR-05 Parent Consent for Evaluation OR evidence that the district made reasonable efforts to obtain consent for evaluation and the child’s parent failed to respond. | • PR-05 Parent Consent for Evaluation  
• PR-01 Prior Written Notice  
• OP-9 Attempts to Obtain Parent Participation |
<p>|                   |                                     |                        | NO        | No evidence of PR-05; OR PR-05 is signed prior to the planning form date; OR The evaluation report addressed other areas NOT noted on the planning form; OR An individual evaluator’s assessment was completed prior to the date of consent; OR Consent was not obtained in writing. | |
|                   |                                     |                        | NA        | The parent and the educational agency agreed in writing that a reevaluation was unnecessary and provided supporting documentation. | |</p>
<table>
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<tr>
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</thead>
<tbody>
<tr>
<td>CF-5</td>
<td>300.304(c)(4) [Other evaluation procedures]; 300.305 [Additional requirements for evaluations and reevaluations]; 300.307-311 [Additional Procedures for Identifying Children with Specific Learning Disabilities]</td>
<td>Is there evidence that the evaluation addresses all areas related to the suspected disability including: - Health - Vision and hearing - Social and emotional status - General intelligence - Academic performance - Communicative status - Motor abilities</td>
<td>YES</td>
<td>There is evidence that the evaluation addressed all areas related to the suspected disability as noted on the planning form, including, if appropriate: - Health - Vision and hearing - Social and emotional status - General intelligence - Academic performance - Communicative status - Motor abilities</td>
<td>• Evaluation Planning Form  • PR-04 Referral Form  • PR-01 Prior Written Notice  • Preschool evaluation form  • OP-4 Agreement to Waive Reevaluation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Note: Anything listed on the planning form for inclusion in the evaluation must be reported in Part 1 (Individual Evaluator’s Assessment).</td>
<td></td>
<td>There are additional procedures for evaluating for Specific Learning Disabilities, Multiple Disabilities, Deafness or Hearing Impairment and preschool-age children. Multiple sources of information are required to determine eligibility. For preschool, these sources include, but are not limited to, information from Part C when children transition from early intervention, structured observations in more than one setting and in multiple activities, information provided by the parent or caregiver and criteria and norm-referenced evaluations. All developmental areas, not just those related to the disability, must be assessed with at least one source of information.</td>
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<td></td>
<td></td>
<td>The evaluation report did not address all areas related to the suspected disability; OR the evaluation report did not address all areas noted on the planning form in a Part 1; OR there is no Planning Form (unless tested for everything); OR not all required components of a Part 1 were completed.</td>
<td>NO</td>
<td></td>
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<tr>
<td></td>
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<td>The parent and the educational agency agreed that a reevaluation is not necessary.</td>
<td>NA</td>
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<tr>
<td>Record Review Item</td>
<td>Regulation 34 CFR 300 or OAC 3301-51</td>
<td>Record Review Question</td>
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<tr>
<td>CF-6</td>
<td>300.306 (c) [Procedures for determining eligibility and educational need]</td>
<td>Does the ETR clearly state the summary of assessment results? <strong>Note: All information in Part 1s (Individual Evaluator’s Assessment) must be summarized in Part 2.</strong></td>
<td>YES</td>
<td>There is a clear and concise summary of the data/information obtained during the evaluation process for the results of each Part 1 assessment. The summary of the assessment results is in language understandable to the parent.</td>
<td>• PR-06 ETR – Part 2</td>
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<tr>
<td></td>
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<td>NO</td>
<td>The ETR does not contain a clear summary of the results of all the data and assessments; <strong>OR</strong> There is merely a re-statement of all the assessments conducted without a concise summarization; <strong>OR</strong> The summary is not stated in parent-friendly language.</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>NA</td>
<td>The parent and the educational agency agreed that a reevaluation is not necessary.</td>
<td></td>
</tr>
<tr>
<td>CF-7</td>
<td>300.306 (c) [Procedures for determining eligibility and educational need]</td>
<td>Does the ETR contain a clear and succinct description of educational needs?</td>
<td>YES</td>
<td>The description of educational needs contains specific and adequate information about the child that will allow the IEP team to develop an effective and actionable IEP based on educational needs synthesized from all Part 1s of the ETR. This includes the need for special education, related services and other supports.</td>
<td>• PR-06 ETR – Parts 1 and 2</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>NO</td>
<td>The ETR does not contain a description of educational needs for the child or contains generic information that is not individualized to the child’s needs; <strong>OR</strong> The ETR does not address educational needs described in Part 1s, or educational needs described in Part 1 were omitted in Part 2 without explanation.</td>
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<td></td>
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<td>NA</td>
<td>The parent and the educational agency agreed that a reevaluation is not necessary; <strong>OR</strong> This ETR substantiates the decision that the child no longer qualifies as a child with a disability under IDEA.</td>
<td></td>
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<tr>
<td>Record Review Item</td>
<td>Regulation 34 CFR 300 or OAC 3301-51</td>
<td>Record Review Question</td>
<td>Compliant</td>
<td>Evidence</td>
<td>Potential Source(s) of Documentation</td>
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<tr>
<td>CF-8</td>
<td>300.306 (c) [Procedures for determining eligibility and educational need]</td>
<td>Does the ETR contain specific implications for instruction?</td>
<td>YES</td>
<td>The ETR clearly describes the implications for specially designed instruction and, if applicable, related services based on implications for instruction synthesized from all Part 1s of the ETR.</td>
<td>PR-06 ETR – Parts 1 and 2</td>
</tr>
<tr>
<td></td>
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<td>NO</td>
<td>There is no description of the implications for instruction; OR The implications description is generic in nature and does not address the individualized needs of this child; OR The ETR does not address implications for instruction described in Part 1s, or that information is omitted from Part 2 without explanation.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>NA</td>
<td>The parent and the educational agency agreed that a reevaluation is not necessary; OR This ETR substantiates the decision that the child no longer qualifies as a child with a disability under IDEA.</td>
<td></td>
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<tr>
<td>Record Review Item</td>
<td>Regulation 34 CFR 300 or OAC 3301-51</td>
<td>Record Review Question</td>
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</table>
| CF-9                | 300.306(a)(1) [Determination of eligibility] 300.303(a) [Reevaluations] | Did a group of qualified professionals and the parent of the child determine whether the child is a child with a disability? **Note:** The OP-5 Parent/Guardian Excusal form is not applicable for the evaluation team. | YES | Initial Evaluations  
A group of qualified professionals determines eligibility:  
1. Parent  
2. A group of qualified professionals that includes:  
   • The child’s general education teacher;  
   • Person qualified to conduct individual assessments and interpret the results of those assessments such as a School Psychologist; and  
   • Educational agency representative.  
3. Additional group members for determining a specific learning disability (SLD) would include:  
   • The child’s general education teacher; or  
   • If the child does not have a general education teacher, a general education classroom teacher qualified to teach a child of his or her age; or  
   • For a child of less than school age, an individual qualified by the State Educational Agency (SEA) to teach a child of his or her age; and  
   • At least one person qualified to conduct individual diagnostic examinations of children, such as a school psychologist, speech-language pathologist or remedial reading teacher.  
4. When appropriate, the child. **Initial Evaluations for Preschool**  
For Initial Evaluations the group includes:  
1. Parent  
2. At least 2 representatives of the school district who collectively meet the following requirements:  
   • Qualified to provide or supervise the provision of specially designed instruction to meet the unique needs of the child;  
   • Qualified to provide or supervise the provision of instruction in the preschool general education curriculum;  
   • Authorized to make decisions about the use of school district resources for special education and related services; and  
   • Qualified to interpret the instructional implications of evaluation results.  
3. Additional group members for determining a specific learning disability (SLD) would include:  
   • The child’s general education teacher; or if the child does not have a general education teacher, a general education classroom teacher qualified to teach a child of his or her age; or  
   • For a child of less than school age, an individual qualified by the State Educational Agency to teach a child of his or her age; and  
   • At least one person qualified to conduct individual diagnostic examinations of children, such as a school psychologist and/or speech-language pathologist. | | PR-06 ETR – Section 1 Individual Evaluator’s Assessment and Section 5 Signatures  
PR-01 Prior Written Notice to parents  
PR-02 Parent Invitation  
Documentation of educational agency and parent agreement (must be verified by consultant for compliance)  
OP-9 Attempts to Obtain Parent Participation |
<table>
<thead>
<tr>
<th>Record Review Item</th>
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</thead>
<tbody>
<tr>
<td>CF-9 (Con't.)</td>
<td>300.306(a)(1) [Determination of eligibility] 300.303(a) [Reevaluations]</td>
<td>Did a group of qualified professionals and the parent of the child determine whether the child is a child with a disability? <strong>Note:</strong> The OP-5 Parent/Guardian Excusal form is not applicable for the evaluation team.</td>
<td>YES</td>
<td><strong>Reevaluations</strong>&lt;br&gt;A group of qualified professionals determines eligibility. IEP Team Members:&lt;br&gt;1. Parent&lt;br&gt;2. General education teacher&lt;br&gt;3. Special education provider&lt;br&gt;4. Educational agency representative&lt;br&gt;5. An individual who can interpret the instructional implications of evaluation results&lt;br&gt;6. At the discretion of the parent or the school educational agency, other individuals who have knowledge or special expertise regarding the child, including related services personnel as appropriate&lt;br&gt;7. Whenever appropriate, the child with a disability <strong>For Preschool Reevaluations:</strong> The IEP team is the Qualified Team, which includes:&lt;br&gt;1. Parent&lt;br&gt;2. General education teacher&lt;br&gt;3. Special education provider&lt;br&gt;4. At least 2 representatives of the school district who collectively meet the following requirements:&lt;li&gt;Qualified to provide or supervise the provision of specially designed instruction to meet the unique needs of the child;&lt;/li&gt;&lt;li&gt;Qualified to provide or supervise the provision of instruction in the preschool general education curriculum;&lt;/li&gt;&lt;li&gt;Authorized to make decisions about the use of school district resources for special education and related services; and&lt;/li&gt;&lt;li&gt;Qualified to interpret the instructional implications of evaluation results.&lt;/li&gt;&lt;li&gt;At the discretion of the parent or the school district, other individuals who have knowledge or special expertise regarding the child, including related services personnel, as appropriate. If related services are provided to the child or are indicated in the ETR, the related service personnel should be part of the ETR team.</td>
<td>• PR-06 ETR – Section 1 Individual Evaluator’s Assessment and Section 5 Signatures&lt;br&gt;• PR-01 Prior Written Notice to parents&lt;br&gt;• PR-02 Parent Invitation&lt;br&gt;• Documentation of educational agency and parent agreement (must be verified by consultant for compliance)&lt;br&gt;• OP-9 Attempts to Obtain Parent Participation</td>
</tr>
<tr>
<td></td>
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<td>NO</td>
<td>Eligibility was not determined by a group of qualified professionals OR The school district did not make reasonable efforts to obtain informed consent from the parent.</td>
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<td></td>
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<td>NA</td>
<td>The parent and the educational agency agreed that a reevaluation is not necessary.</td>
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<tr>
<td>Record Review Item</td>
<td>Regulation 34 CFR 300 or OAC 3301-51</td>
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<tr>
<td>CF-10</td>
<td>3301-51-01 (B)(10) [Definitions] 3301-51-06 (Evaluations)</td>
<td>Did the ETR team provide a justification for the eligibility determination decision?</td>
<td>YES</td>
<td>The statement provides a justification for the eligibility determination decision describing how the student meets or does not meet the eligibility criteria AND The justification statement includes how the disability affects the child's progress in the general education curriculum.</td>
<td>• PR-06 ETR – Part 4</td>
</tr>
<tr>
<td></td>
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<td></td>
<td>NO</td>
<td>The statement does not provide a justification for the eligibility determination decision describing how the student meets or does not meet the eligibility criteria; OR The justification statement does not include how the disability affects the child's progress in the general education curriculum; OR SLD was suspected but Part 3 was not completed.</td>
<td></td>
</tr>
<tr>
<td>Record Review Item</td>
<td>Regulation 34 CFR 300 or OAC 3301-51</td>
<td>Record Review Question</td>
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<tr>
<td>DS-1</td>
<td>SPP Indicator 13 300.320 (b) [Transition Services] 3301-51-07(H) (2) [Transition Services]</td>
<td>Does the transition plan in the current IEP meet all 8 required elements for IDEA? 1. There are appropriate measurable postsecondary goal(s). 2. The postsecondary goals are updated annually. 3. The postsecondary goals were based on age-appropriate transition assessment (AATA). 4. There are transition services that will reasonably enable the student to meet the postsecondary goal(s). 5. The transition services include courses of study that will reasonably enable the student to meet the postsecondary goal(s). 6. The annual goal(s) are related to the student's transition service needs. 7. There is evidence the student was invited to the IEP team meeting where transition services were discussed. 8. When appropriate, there is evidence that a representative of any participating agency was invited to the IEP Team Meeting.</td>
<td>YES</td>
<td>The transition plan in the IEP is compliant with all eight required federal elements outlined on the National Technical Assistance Center on Transition (NTACT) Indicator 13 Checklist.</td>
<td>• PR-07 IEP – Sections 4 and 5</td>
</tr>
<tr>
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<td>NO</td>
<td>The transition plan in the IEP is noncompliant with one or more of the 8 required federal elements outlined on the checklist.</td>
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<td>NA</td>
<td>The child is not 14 or older within the current IEP year.</td>
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<td>Record Review Item</td>
<td>Regulation 34 CFR 300 or OAC 3301-51</td>
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| DS-2               | 300.320(a)(1) [Definition of individualized education program] | Does the IEP include Present Levels of Academic Achievement and Functional Performance that address the needs of the student? | YES | Present Levels of Performance must include the following information as it relates to each goal:  
- Summary of current daily academic/behavior and/or functional performance compared to expected grade-level standards or to expected age-appropriate performance in order to provide a frame of reference for annual goal development in the specific area of academic and/or functional need;  
- Baseline data provided for developing a measurable goal (for example, ETR results, if current, formative academic assessments, curriculum-based measurements, transition assessments or functional behavior assessments);  
- Current performance measurement directly relates to the goal measurement. | PR-07 IEP – Section 6 (Present Level of Academic Achievement and Functional Performance) |
<p>|                    |                                     |                        | NO        | Present levels of performance do not provide a detailed and targeted summary of current daily academic/behavior and/or functional performance related to the development of measurable goals; OR there is no comparison to grade-level or age-appropriate performance expectations. |</p>
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<tr>
<th>Record Review Item</th>
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<tr>
<td>DS-3</td>
<td>300.320(a)(2)(i) [Definition of individualized education program]</td>
<td>Are annual goals stated in measurable terms?</td>
<td>YES</td>
<td>Annual goals are stated in measurable terms that describe what can be taught to the child using specially designed instruction within a twelve-month period. A measurable annual goal must contain the following: - Clearly defined behavior: the specific action the child will be expected to perform. - The condition (situation, setting or given material) under which the behavior is to be performed. - Performance criteria desired: the level the child must demonstrate for mastery AND the number of times the child must demonstrate the skill or behavior. The goal must be measurable on its own.</td>
<td>• PR-07 IEP – Section 6 (Measurable Annual Goals)</td>
</tr>
<tr>
<td>DS-4</td>
<td>300.320(a)(2)(i) [Definition of individualized education program]</td>
<td>Do annual goals address the child’s academic area(s) of need?</td>
<td>YES</td>
<td>There is alignment between the academic needs identified in the ETR and the annual goals; OR there is evidence in the IEP that the IEP team, based on the severity of needs, decided to prioritize certain needs above others; OR there is a statement that the IEP team has determined there is no longer a need for a specific goal.</td>
<td>• PR-07 IEP – Section 6</td>
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<tr>
<td></td>
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<td></td>
<td>NO</td>
<td>Annual goals fail to address the child’s academic needs identified in the ETR and/or IEP.</td>
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<tr>
<td></td>
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<td>NA</td>
<td>Academic needs were not identified at this time.</td>
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<td>Record Review Item</td>
<td>Regulation 34 CFR 300 or OAC 3301-51</td>
<td>Record Review Question</td>
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<tr>
<td>DS-5</td>
<td>300.320(a)(2)(i) [Definition of individualized education program]</td>
<td>Do annual goals address the child’s functional area(s) of need?</td>
<td>YES</td>
<td>There is alignment between the functional needs identified in the ETR and the annual goals; OR there is evidence in the IEP that the IEP team, based on the severity of needs, decided to prioritize certain needs above others; OR there is a statement that the IEP team has determined there is no longer a need for a specific goal. <strong>Functional</strong> means nonacademic, as in “routine activities of everyday living.”</td>
<td>PR-07 IEP – Section 6</td>
</tr>
<tr>
<td></td>
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<td>NO</td>
<td>The annual goals fail to reasonably address functional area(s) of need identified in the ETR and/or IEP.</td>
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<td></td>
<td></td>
<td></td>
<td>NA</td>
<td>Functional needs were not identified at this time.</td>
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<tr>
<td>DS-6</td>
<td>300.320(a)(4) [Definition of individualized education program] 3301-51-01 (B) (54) [Definition of Related Services] 3301-51-01(B) (60) (b) (iii) [Definition of Specially Designed Instruction]</td>
<td>Does the IEP contain a statement of specially designed instruction, including related services, that addresses the needs of the child and supports annual goals?</td>
<td>YES</td>
<td>The IEP specifically identifies the provision of specially designed instruction (SDI) and related services <strong>AND</strong> describes the nature of the instruction that aligns with the needs of the child <strong>AND</strong> supports achievement of annual goals. The SDI describes skills and methods used for instruction specific to the goal; <strong>OR</strong> The child is receiving related services that the IEP team has determined is specially designed instruction.</td>
<td>PR-07 IEP – Section 7 Description(s) of Specially Designed Services</td>
</tr>
<tr>
<td></td>
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<td>NO</td>
<td>The IEP does not specifically identify the provision of specially designed instruction, including related services, <strong>AND/OR</strong> does not describe the nature of the instruction that aligns with the needs of the child <strong>AND/OR</strong> does not support achievement of annual goals.</td>
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<tr>
<td>Record Review Item</td>
<td>Regulation 34 CFR 300 or OAC 3301-51</td>
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<tr>
<td>DS-7</td>
<td>300.320(a)(7) [Definition of individualized education program]</td>
<td>Does the statement of specially designed instruction, including related services, indicate the location where it will be provided?</td>
<td>YES</td>
<td>The IEP specifically identifies the location of services. If more than one location, each location is separated to show the specially designed instruction and/or related services for each location.</td>
<td>• PR-07 IEP – Section 7 Description(s) of Specially Designed Services (Location of Services)</td>
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<tr>
<td></td>
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<td></td>
<td>NO</td>
<td>The IEP does NOT specify where specially designed instruction and/or related services will be provided; OR Each location is not separated to show the specially designed instruction and/or related services for each location.</td>
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<tr>
<td>DS-8</td>
<td>300.320(a)(7) [Definition of individualized education program]</td>
<td>Does the statement of specially designed instruction, including related services, indicate the amount of time and frequency?</td>
<td>YES</td>
<td>The statement of specially designed instruction and/or related services specifically identifies the amount of time and frequency of services the child will receive AND it is clear and understandable to parents.</td>
<td>• PR-07 IEP – Section 7 Description(s) of Specially Designed Services (Amount of Time and Frequency)</td>
</tr>
<tr>
<td></td>
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<td>NO</td>
<td>The specially designed instruction statement does not specify the amount of time and frequency of services received; OR more than one goal or provider is specified in the amount of time; OR Amounts of time and frequency are not clear and understandable to parents regarding when services are being provided.</td>
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</tbody>
</table>
## Delivery of Service

<table>
<thead>
<tr>
<th>Record Review Item</th>
<th>Regulation 34 CFR 300 or OAC 3301-51</th>
<th>Record Review Question</th>
<th>Compliant</th>
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<th>Potential Source(s) of Documentation</th>
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<tbody>
<tr>
<td>DS-9</td>
<td>300.324(a)(2)(v) [Consideration of special factors]</td>
<td>Does the IEP identify assistive technology to enable the child to be involved and make progress in the general education curriculum?</td>
<td><strong>YES</strong></td>
<td>The IEP includes assistive technology and/or assistive technology services to meet the described needs for the child. For clarity, the statement should include how the device, or the service meets the needs of the child. <strong>300.5 Assistive Technology Device:</strong> any device item, piece of equipment, or product system, whether acquired commercially off the shelf, modified, or customized, that directly assist a child with a disability to increase, maintain, or improve his or her functional capabilities. A medical device that is surgically implanted or the replacement of such a device is not included under the term “assistive technology device.” <strong>300.6 Assistive Technology Service:</strong> Any service that directly assists the child in the selection, acquisition or use of an assistive technology device.</td>
<td>• PR-07 IEP – Section 2 Special Instructional Factors • PR-07 IEP – Section 7 Description(s) of Specially Designed Services-Assistive Technology or Accommodations</td>
</tr>
<tr>
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<td><strong>NO</strong></td>
<td>Assistive technology and/or services were identified in the ETR but not included on the IEP; OR Assistive technology is listed as needed, at the discretion of the teacher, as requested; OR Assistive technology is generic and not specific to individual needs.</td>
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<td><strong>NA</strong></td>
<td>Based on the needs of the child, assistive technology and/or services were not identified at this time.</td>
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<td>Record Review Item</td>
<td>Record Review Question</td>
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<tr>
<td><strong>DS-10</strong> 300.320(a)(6)(i) [Definition of individualized education program]</td>
<td>Does the IEP identify accommodations provided to enable the child to be involved and make progress in the general education curriculum?</td>
<td><strong>YES</strong></td>
<td>The IEP describes accommodations provided to the child and explains the conditions for and the extent of each accommodation. <strong>Accommodations</strong> provide access to course content but do not alter the scope or complexity of the information taught to the child.</td>
<td>• PR-07 IEP – Section 7 Description(s) of Specially Designed Services – Accommodations</td>
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<td><strong>NO</strong></td>
<td>Accommodations are noted in the Profile or Present Levels of Performance or in the ETR only and not listed in Section 7, OR Accommodations were identified by the IEP team but not included on the IEP, OR Accommodations are listed as needed, at the discretion of the teacher, as requested; OR The conditions and/or extent of each accommodation were not explained.</td>
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<td><strong>NA</strong></td>
<td>Based on the needs of the child, accommodations were not identified at this time.</td>
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<tr>
<td><strong>DS-11</strong> 300.320(a)(4) [Definition of individualized education program]</td>
<td>Does the IEP identify modifications to enable the child to be involved and make progress in the general education curriculum?</td>
<td><strong>YES</strong></td>
<td>The IEP describes the type of modification and the extent of the modification provided to the child. <strong>Modifications</strong> means changes made to the content that students are expected to learn where the amount or complexity of materials is altered from grade-level curriculum expectations. When an instructional or curriculum modification is made, either the specific subject matter is altered, or the performance expected of the student is changed. Sometimes the nature and severity of the student’s disability require that both the materials and the performance expected of the student be changed. Modifications of the curriculum result in the child being taught the same information as the same-age and grade-level peers, but with less complexity.</td>
<td>• PR-07 IEP, Section 7 • Description(s) of Specially Designed Services- Modifications • Profile or Present Levels of Performance</td>
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<td><strong>NO</strong></td>
<td>The IEP does not describe the type of modification and the extent of the modification provided to the child; <strong>OR</strong> Modifications are listed as needed, at the discretion of the teacher, as requested.</td>
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<td><strong>NA</strong></td>
<td>Based on the needs of the child, modifications were not identified at this time.</td>
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## Delivery of Service

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<tr>
<th>Record Review Item</th>
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| DS-12              | **300.320(a)(4)** [Definition of individualized education program] | Does the IEP identify supports for school personnel to enable the child to be involved and make progress in the general education curriculum?  
*Note: For preschool, provide the amount of time and frequency in the description for each support.* | YES | The IEP describes support(s) to school personnel who may need assistance in implementing the child’s IEP. The section describes what support adult staff are receiving from other adult staff. For each support, the team must list the school personnel to receive the support, the specific support that will be provided and who will provide the support. | • PR-07 IEP – Section 7 Description(s) of Specially Designed Services – Support for School Personnel |
<p>|                    |                                      |                        | NO      | Supports for school personnel were identified by the IEP team but were not included on the IEP, or are listed “as needed,” “at the discretion of the teacher;” OR Section 7 of the IEP did not specify what the support is or who would provide the support; OR The section described student services and not what support adult staff are receiving from other adult staff. For preschool: Section 7 of the IEP did not provide the amount of time and frequency. | |
|                    |                                      |                        | NA      | Supports for school personnel were not identified at this time. | |
| DS-13              | <strong>300.320 (a)(6)(ii)</strong> [Definition of individualized education program] | Is there a justification statement regarding alternate assessment participation? | YES | There is a statement describing why the child cannot participate in the regular assessment and why the alternate assessment is appropriate for the student AND Evidence was provided that the IEP team used the required Alternate Assessment for Students with Significant Cognitive Disabilities (AASCD) Decision-Making Tool documenting evidence of significant cognitive disability. | • PR-07 IEP – Section 12: Justification statement for AASCD |
|                    |                                      |                        | NO      | The statement does not describe why the child cannot participate in the regular assessment or how the selected alternate assessment is appropriate for the student; OR there is no evidence of significant cognitive disability documented in the AASCD Decision-Making Tool; OR The AASCD Decision-Making Tool with parent signature was not provided. | |
|                    |                                      |                        | NA      | The student did not participate in the alternate assessment. | |</p>
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| DS-14               | 300.320(a)(3) [Description of individualized education program] | Was progress reporting data collected and analyzed to monitor performance on each goal? **This refers to progress reporting data used to inform instruction.** | YES | There are instructional data collected for each measurable annual goal **AND** there is evidence that the progress data reported align to measurement(s) used in the annual goal statement. | • Progress Reports  
• Progress toward last year’s goals  
• Concerns of parents  
• Input from related service providers  
• Use of objective/measurable terms in present levels of performance and goals/objectives |
|                     |                                      |                        | NO        | There is no evidence of data collection on each annual goal, progress reports/analysis; **OR** there is no evidence that the progress data for each annual goal were reported; **OR** Progress reported does not align to measurement(s) used in the annual goal statement. |                                      |
| DS-15               | 300.324(b) [Review and revision of IEPs]] | During this school year, were revisions to the IEP made based on data indicating changes in student needs or abilities? | YES | Data from progress monitoring and/or recent evaluations drive decisions made to modify the IEP. After data analysis, the decision was made to adjust instruction to promote increased student learning. Rationale for instructional adjustment is documented. The IEP details the instructional adjustment(s) in the relevant sections. | • Evidence that staff use student progress data to assess the effectiveness of each special education instructional service and strategy that have been implemented to determine if the instructional approach is effective with the student.  
• Documentation verifies that interventions have been implemented with fidelity (training, observations) prior to request for change.  
• Evidence exists that when progress monitoring shows the student is not likely to reach his/her annual goals, the educational agency schedules IEP reviews in a timely manner to review and, if appropriate, revise the IEP.  
• Data analysis indicating the necessary instructional adjustment(s).  
• Parental participation to adjust instructional strategies actively pursued.  
• The IEP amendment. |
<p>|                     |                                      |                        | NO        | Data indicating the need for revision were available (goal was mastered or no progress was made), but no revisions were evident (PR-02, IEP amendment, change of placement). |                                      |
|                     |                                      |                        | NA        | This is the first assessment reporting period of the year and sufficient data are not yet available to inform IEP adjustments; <strong>OR</strong> Based on progress monitoring data, no revisions were necessary. |                                      |</p>
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| DS-16             | 300.321 (1)-(7) [IEP Team]           | Did the IEP meeting consist of a qualified team? | YES       | The IEP Team consisted of the following:  
  - Parent  
  - General education teacher  
  - Special education teacher  
  - Educational agency representative (authorized to allocate funds)  
  - Person qualified to interpret instructional implications participated in the meeting and signed the IEP  
A member of the IEP team may be excused from attending an IEP team meeting, in whole or in part, if the parent and the educational agency consent, in writing, to the excusal prior to the IEP meeting.  
If the IEP discussion involves any excused members’ area of the curriculum or related service, the member must submit, in writing, input into the development of the IEP prior to the meeting. | PR-02 Parent Invitation  
PR-01 Prior Written Notice  
Signed excusal by parent and written information from the excused IEP team member |
|                   |                                      | NO                     | One or more of the above team members were not involved in the IEP meeting with no evidence of excusal where appropriate. |
# Least Restrictive Environment

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<th>Record Review Item</th>
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| LRE-1              | 300.320(a)(5) [Definition of individualized education program] | Does the IEP include an explanation of the extent to which the child will not participate with nondisabled children in the general education classroom? | YES | The IEP includes a justification for why the child was removed from the general education classroom, AND:  
- It is based on the individual needs of the child, not the child’s disability, and aligns with SDI or related services location;  
- It reflects that the team has given adequate consideration to meeting the student’s needs in the general classroom with supplementary aids and services;  
- There is documentation that the nature or severity of the disability is such that education in general education classes, even with the use of supplementary aids and services, cannot be achieved satisfactorily;  
- It describes potential harmful effects to the child or others, if applicable. | • PR-07 IEP - Section 11 (LRE)  
• PR-07 – Section 3 (Profile)  
• PR-07 – Section 6  
• Present levels of academic achievement and functional performance |
|                    |                                      | A rationale is not given; OR the rationale given:  
- Is NOT based on the student's individual needs or does not align with SDI or related service location;  
- Does NOT reflect consideration for provision of supplementary aids and services in the general education classroom;  
- Does NOT describe potential harmful effects to the child or others, if applicable. | NO | | |
|                    |                                      | The student receives all special education services with nondisabled peers. | NA | | |
Appendix 4:
Indicator 13 Checklist
Questions
Indicator 13 Checklist Questions

For guidance, resources and best practices for transition planning, visit the [Secondary Transition Planning page of the Ohio Department of Education website](#) or the [National Technical Assistance Center on Transition (NTACT)](#).

When reviewing a transition plan, answer each question in the areas of Education/Training; Employment and, where appropriate, Independent Living. Use the Record Review Comment Form to record findings.

1. Is there an appropriate measurable postsecondary goal or goals?
   - Can the goal(s) be counted?
   - Will the goal(s) occur after the student graduates from school?
   - Based on the information available about this student, does (do) the postsecondary goal(s) seem appropriate for this student?

2. Is (are) the postsecondary goal(s) updated annually?
   - Was (were) the postsecondary goal(s) addressed/updated in conjunction with the development of the current IEP?

3. Is there evidence that the measurable postsecondary goal(s) were based on age-appropriate transition assessment?
   - Is the use of transition assessment(s) for the postsecondary goal(s) mentioned in the IEP or evident in the student’s file?

4. Are there transition services in the IEP that will reasonably enable the student to meet his or her postsecondary goal(s)?
   - Is a type of instruction, related service, community experience, or development of employment and other post-school adult living objectives, and if appropriate, acquisition of daily living skills, and provision of a functional vocational evaluation listed in association with meeting the post-secondary goal(s)?

5. Do the transition services include courses of study that will reasonably enable the student to meet his or her postsecondary goal(s)?
   - Do the transition services include courses of study that align with the student’s postsecondary goal(s)?

6. Is (are) there annual IEP goal(s) related to the student’s transition services needs?
   - Is (are) an annual goal(s) included in the IEP that is/are related to the student’s transition services needs?

7. Is there evidence that the student was invited to the IEP Team meeting where transition services were discussed?
   - For the current year, is there documented evidence in the IEP or cumulative folder that the student was invited to attend the IEP Team meeting?

8. If appropriate, is there evidence that a representative of any participating agency was invited to the IEP Team meeting with the prior consent of the parent or student who has reached the age of majority?
   - For the current year, is there evidence in the IEP that representatives of any of the following agencies/services were invited to participate in the IEP development including but not limited to: postsecondary education, vocational education, integrated employment (including supported employment), continuing and adult education, adult services, independent living or community participation for this post-secondary goal?
   - Was consent obtained from the parent or student who has reached the age of majority?
Appendix 5: Record Review Comment Forms
Record Review Comment Form

The Internal Monitoring Team will use the following Record Review Comment Form when reviewing individual records. The Record Review Guide in the previous section outlines the questions and areas in detail.

Record #  Student Name:  Disability:  DOB:  Grade:

- [ ] Reevaluation  - [ ] Initial Evaluation  ETR Date:  IEP Date:

Reviewer’s Initials:  Date Reviewed:  Date Corrected:

<table>
<thead>
<tr>
<th>RR #</th>
<th>Item Reviewed</th>
<th>Compliant</th>
<th>IC</th>
<th>Comments/Notes</th>
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<tbody>
<tr>
<td>CF-1</td>
<td>Part C to B</td>
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<tr>
<td>CF-2</td>
<td>ETR-Interventions provided</td>
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<tr>
<td>CF-3</td>
<td>Parents afforded opportunity to participate</td>
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<td>CF-4</td>
<td>Informed parental consent for evaluation</td>
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<td>CF-5</td>
<td>ETR addresses all areas related to disability</td>
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<td>CF-6</td>
<td>ETR clearly states summary of assessment results</td>
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<td>CF-7</td>
<td>ETR contains clear description of educational needs</td>
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<tr>
<td>CF-8</td>
<td>ETR contains specific implications for instruction</td>
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**Additional Comments**


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<tr>
<td>Independent Living</td>
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1. Measurable Goals

2. Goals updated annually

3. Evidence goals were based on AATA

4. Transition Services

5. Courses of Study

6. IEP Goals related to transition services

7. Student was invited to IEP meeting

8. Representative of any participating Agency
Appendix 6:
IEP Verification Checklist
### IEP Verification Checklist

The IEP Verification Checklist will be completed using observations, teacher interviews and/or other documentation such as teacher data tracking and work samples.

**School Name:** __________________________  **Name of Student(s) or Record #:** __________

**Instructional Platform:** _________________  **Date:** __________________________

**Teacher Name:** _________________________  **Length of Observation:** ______

**Subject and Grade:** _____________________  **Number of Students in Class:** __________

**Name of Observer:** _____________________  **Title of Observer:** ________________

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<th>NR</th>
<th>Evidenced by and Comments</th>
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<tr>
<td>1. Evidence when asked by observer that teacher is aware of contents of IEP(s) for which they are responsible.</td>
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<td>2. Evidence that teacher is providing what is required in IEP:</td>
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<tr>
<td>• Addressing goals/objectives</td>
<td></td>
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<tr>
<td>• Specially designed instruction</td>
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<td>• Related services</td>
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<td>• Modifications</td>
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<td>• Assistive technology</td>
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<td>3. Evidence of setting for instruction as described in the LRE statement.</td>
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<td>4. Evidence of ongoing progress monitoring.</td>
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<td>5. Evidence of any applicable plans (such as behavior) attached to the IEP.</td>
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<tr>
<td>6. Evidence that Transition Services are being delivered as written.</td>
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**Comments:**
Appendix 7:
Record Review Tally
Record Review Tally
(available in Excel on Department Website)

The Question Sheet is used to record the answers for each record reviewed.

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<tr>
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<th>R2</th>
<th>R3</th>
<th>R4</th>
<th>R5</th>
<th>R6</th>
<th>R7</th>
<th>R8</th>
<th>R9</th>
<th>R10</th>
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The Tally sheet will total the answers from the Questions sheet and provide percentages for each of the questions. There is a separate tally sheet for the Transition Plan questions and IEP Verifications.

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Appendix 8: Sample Agenda for Tier 3 Review Activities
### DAY 1 Sample Agenda

Note: Depending on district size and demographics, review activities may take 3-4 days. This is a sample of a 2-day review.

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<th>Office for Exceptional Children (OEC) State Support Team (SST)</th>
<th>School District Staff</th>
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<td>8:00 am to 8:30 am</td>
<td>OEC Team</td>
<td>School District Cross-Functional Team</td>
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<td>SST Members</td>
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<td>Time</td>
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<td>School District Staff</td>
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<td>1:00 – 2:00 pm</td>
<td>OEC Team</td>
<td>Middle/High School Teachers</td>
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<td>SST Members</td>
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<td>1:00 – 2:00 pm</td>
<td>OEC Team</td>
<td>Elementary/Middle School Teachers</td>
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# DAY 2 Sample Agenda

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<tr>
<td>1:00 pm to 1:15 pm</td>
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<td>1:25 pm to 1:55 pm</td>
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Appendix 9: Corrective Action Plan Instructions
Corrective Action Plan (CAP) Instructions

The CAP template is available through the Department contact or on the Department website.

The Department contact will provide the educational agency with a drafted CAP which will address all areas identified for systemic correction in the IDEA Monitoring Summary Report.

Area of Improvement or Correction:

The CAP will address the systemic areas for correction indicated in the IDEA Monitoring Summary Report across the following categories:

- Writing, revising or reviewing policies, practices and procedures
- Correction of all noncompliant records
- Development of an internal monitoring process and review procedures
- Training, professional development and technical assistance (LMS and SST trainings) for staff members or other stakeholders

When requested or directed, the plan can include any other areas that are addressed with a corrective action step that would be in addition to the areas described above, including efforts to include students, parents and families.

Summary (Baseline Data):

Enter the baseline data showing the current status of the educational agency with the area of needed correction.

For a CAP, this can be found in the IDEA Monitoring Summary Report. Do not list every record review noncompliant item. Any non-compliance found in Child Find, Delivery of Services and/or Least Restrictive Environment can be summarized. For example, 45% of records reviewed for Child Find were found noncompliant, 52% of records reviewed for Delivery of Services were found noncompliant, and 30% of records reviewed for Least Restrictive Environment were found noncompliant.

Goal:

Describe the goal to address the specific area of correction in measurable terms that can be achieved within the timelines indicated in the Summary Report. For example, "All IEPs and ETRs will be 100% compliant by (date)." Each goal should be numbered consecutively.

Activity and Implementation Steps:

Describe the activity that will be completed to achieve the goal/outcome. Describe how the activity will be implemented throughout the educational agency.

Indicate only one activity per box. If there is more than one activity for the goal, add a new row, and number each activity consecutively in relation to the goal. For example, the first activity for goal 1 would be 1.1, the second activity would be 1.2 and so on. For goal 2 the numbering would be 2.1, 2.2, 2.3.
Evidence of Activity Completion:
This is a list of the documentation (for example, agendas, sign-in sheets, procedures manual) that will be submitted to the Department demonstrating that this activity was completed.

Evidence of Improvement (Impact):
Describe the data or documentation showing the educational agency has made improvement in the targeted area.

Timeline for Completion of Activity:
This should list all the completion dates for each component of the activity and set a projected completion date for the activity. Be sure to number them with the corresponding activity number.

Resources:
Resources needed can include SST personnel, educational agency administrative personnel, state approved training modules, time for teacher training or team meetings.

Individual Responsible for Ensuring Implementation:
This should be the position title(s) of the person(s) who will manage the completion of the activity.

Individual Responsible for Supervision of Implementation:
This should be the position title(s) of the person(s) who will be responsible for ensuring this activity is completed on time.

Plan for Continued Improvement:
This is a description of how the educational agency plans to ensure continued improvement. Include specific actions and timelines. For example, new staff members will be trained in special education policies and procedures at the start of each school year, or all special education staff will meet quarterly for special education update training and discussion.

Signature Page:
Enter the educational agency’s information. The superintendent, special education contact and SST contact will sign by typing their names on the lines provided. The educational agency will then email the document to the Department contact for approval. In order for the Department to use the interactive form to sign and also document completion of activities, please do NOT send a scanned copy of the document.

Verification of Correction Action Plan Completion Page:
This page will be completed once the educational agency has submitted all documentation verifying completion of all CAP activities. The superintendent, special education contact and SST contact will sign by typing their names on the lines provided. The educational agency will then email the document to the Department contact to sign, verifying the evidence submitted shows completion of all activities.
Appendix 10: Perception Surveys
Administrator Survey

Your participation in this survey is part of the Department’s review process and your responses will help guide efforts to improve services and results for children and families.

<table>
<thead>
<tr>
<th>Special Education Policies, Procedures and Practices</th>
<th>Yes</th>
<th>No</th>
<th>NA</th>
<th>Don’t Know</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Does your district have written special education policies, procedures and practices?</td>
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<tr>
<td>2. Are all staff personnel trained on the special education policies and procedures?</td>
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<tr>
<td>3. Do you feel the policies and procedures are being implemented throughout your district with fidelity?</td>
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<tr>
<td>4. Are building practices for identification, placement and discipline of students with disabilities free of cultural and/or racial bias?</td>
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<tr>
<td>5. Do all staff members involved in implementing a child’s IEP have access to and understand the requirements in the IEP?</td>
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<tr>
<td>6. Does the district provide sufficient opportunities for instructional staff to engage and collaborate with other instructional staff (e.g., other teachers, related service professionals, aides) in order to provide the services listed in IEPs?</td>
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<tr>
<td>7. Does the district provide professional development and training addressing the diverse needs of all students, including students with disabilities?</td>
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<tr>
<td>8. Does the educational agency monitor the implementation and effectiveness of staff professional development in terms of outcomes for students with disabilities?</td>
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<tr>
<td>9. Do staff members always keep parents updated regarding their child’s progress on annual goals and needs throughout the implementation of the IEP?</td>
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<tr>
<td>10. Are the educational agency/building improvement plans and IDEA funding aligned with and focused on meeting the needs of students with disabilities?</td>
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<tr>
<td>11. Do all students with disabilities have access to the general education curriculum and receive appropriate instruction in the general education classroom (if no, please explain in the comments)?</td>
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<tr>
<td>12. During IEP team meetings, is an educational agency representative with the authority to authorize the resources necessary to implement the IEP is always present?</td>
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<td>13. When decisions for all students are made by leadership, is there representation and consideration given from staff who are knowledgeable of IDEA?</td>
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<tr>
<td>14. Does the educational agency identify students at risk of dropping out of school and provide prevention and intervention services to keep students in school and promote graduation (all grade levels)?</td>
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<tr>
<td>15. Does the educational agency determine case management requirements for a particular service provider, and then make sure that the service provider has enough time to provide specially designed instruction or direct related service to all assigned children?</td>
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<tr>
<td>16. If a provider cannot perform all workload duties and meet the direct service/specially designed instruction needs for their assigned children, do you reduce the caseload or workload? (Service Provider Ratio and Workload Clarification OEC Memo 2016-2).</td>
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<tr>
<td>Policies, Procedures and Practices</td>
<td>Yes</td>
<td>No</td>
<td>NA</td>
<td>Don’t Know</td>
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<tr>
<td>1. Does your district have written PBIS policies, procedures and practices?</td>
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<tr>
<td>2. Are all staff personnel trained on the PBIS policies and procedures?</td>
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<tr>
<td>3. Do you feel the policies and procedures are being implemented throughout your district with fidelity?</td>
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<td>4. Does your district have written restraint and seclusion policies, procedures and practices?</td>
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<tr>
<td>5. Are all staff personnel trained on the restraint and seclusion policies and procedures?</td>
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<td>6. Do you feel the policies and procedures are being implemented throughout your district with fidelity?</td>
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<tr>
<td>7. When any student requires physical restraint and/or seclusion is it clearly documented and reported to administration immediately and the Department annually?</td>
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<td>8. Does your district have a system for students who are struggling?</td>
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<tr>
<td>9. Are all staff personnel trained on this system?</td>
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<td>10. Do you feel it is being implemented throughout your district with fidelity?</td>
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<td>11. Does your district have a written policy for discipline of students with disabilities?</td>
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<tr>
<td>12. Are all staff personnel trained on the policy?</td>
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<td>14. Does your district have a formal process for parent involvement?</td>
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<td>15. Are all staff personnel trained on the process?</td>
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<tr>
<td>17. Do you keep parents updated regarding their child’s progress on annual goals and needs throughout the implementation of the IEP?</td>
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</table>
### Teacher Survey

Your participation in this survey is part of the Department’s review process and your responses will help guide efforts to improve services and results for children and families.

<table>
<thead>
<tr>
<th>Special Education Policies, Procedures and Practices</th>
<th>Yes</th>
<th>No</th>
<th>NA</th>
<th>Don’t Know</th>
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</thead>
<tbody>
<tr>
<td>1. Does your district have written special education policies, procedures and practices?</td>
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<tr>
<td>2. Have you been trained on the special education policies and procedures?</td>
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<td>3. Do you feel the policies and procedures are being implemented throughout your district with fidelity?</td>
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<td>4. Are building practices for identification, placement and discipline of students with disabilities free of cultural and/or racial bias?</td>
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<tr>
<td>5. When students are removed from instructional time, do you provide them with information and instruction on what is missed (out for services, discipline, or medical needs)?</td>
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<td>6. Does the district provide sufficient opportunities to engage and collaborate with other instructional staff (e.g., other teachers, related service professionals, aides) in order to provide the services listed in IEPs?</td>
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<tr>
<td>8. Is the specially designed instruction provided to a student with a disability in your classroom based upon that student’s individual needs and is different from what other students receive in the general education setting?</td>
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<tr>
<td>9. Are the required components for post-secondary goals, age-appropriate transition assessments and secondary transition services clear to you? (Respond N/A if the building’s student population is younger than 14 years old).</td>
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<td>11. During ETR meetings, does the educational agency use current data (classroom, intervention, record review, parental input) in the evaluation process?</td>
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<td>12. During IEP team meetings, is an educational agency representative with the authority to authorize the resources necessary to implement the IEP always present?</td>
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<td>13. When determining the least restrictive environment for students with disabilities, does the team consider all settings, including placement in the general education classroom, regardless of the student’s disability category?</td>
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<td>3. Do you feel the policies and procedures are being implemented throughout your district with fidelity?</td>
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<td>9. Do you feel it is being implemented throughout your district with fidelity?</td>
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<td>14. Have you been trained on the process?</td>
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<td>16. Do you keep parents updated regarding their child’s progress on annual goals and needs throughout the implementation of the IEP?</td>
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Parent Survey

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

For each statement below, please select one of the following response choices: Agree, Disagree, Don’t Know, or Not Applicable.

<table>
<thead>
<tr>
<th>Child’s School:</th>
<th>Child’s Age</th>
<th>Grade Level</th>
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<tbody>
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<table>
<thead>
<tr>
<th>Statement</th>
<th>Agree</th>
<th>Disagree</th>
<th>Don’t Know</th>
<th>NA</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. When my child has learning and/or behavior problems, the school quickly involves me in making a plan to help and follows through with the plan.</td>
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<td>2. I am involved in the planning of my child’s evaluation, and I am included in a discussion of tests to be given to assess my child’s needs for special education services.</td>
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<td>3. During the IEP meeting, we review my child’s needs, state test results and current classroom progress to determine what my child needs next to succeed.</td>
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<td>4. Reading my child’s IEP, I understand what special education services my child is receiving.</td>
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<td>5. The school works with me to help my child make a smooth transition from one grade to the next.</td>
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<tr>
<td>6. The school keeps me informed about my child’s progress on IEP goals.</td>
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<tr>
<td>7. When my child has behavioral issues, the school looks for positive ways for my child to be successful in his or her classroom. (Respond N/A if your child is not having behavior issues at school.)</td>
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<tr>
<td>8. Before my child’s third birthday, a meeting was held to discuss various service and program options for my child. (Respond N/A if your child did not receive special education services before age three.)</td>
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<tr>
<td>9. When my child moved from the Early Intervention program (such as Help Me Grow) at age 3, other special education services were available right away. (Respond N/A if your child did not receive special education services before age three.)</td>
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<tr>
<td>10. The IEP team developed an effective plan for my child’s future after high school and I and/or my child had input on strengths, needs and preferences. (Respond N/A if your child is younger than 14 years old).</td>
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<tr>
<td>11. I am invited to my child’s IEP/ETR meetings in a timely manner so I can participate.</td>
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<tr>
<td>12. My child has received all services as described in the IEP, or when services were not provided, I was included in a plan to address the issue.</td>
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<td>13. Overall, the special education services meet my child’s needs.</td>
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</table>

Additional Comments:
The Ohio Department of Education is conducting a review of your school. This is a survey for students with disabilities receiving special education services. By filling out this survey, you will help guide efforts to improve your school’s services and results for children with disabilities and their families.

For each statement below, please select one of the following response choices: Agree, Disagree, Don’t Know, or NA (Not Applicable).

<table>
<thead>
<tr>
<th>Statement</th>
<th>Agree</th>
<th>Disagree</th>
<th>Don’t Know</th>
<th>NA</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. My teachers make it easier to learn.</td>
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<tr>
<td>2. My teacher spends extra time with me to make sure I understand the lessons.</td>
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<tr>
<td>3. My school helps me learn about different jobs I could have in the future.</td>
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<tr>
<td>4. My school prepares me for life after graduation (such as extra help in applying for jobs, college, trade, military and preparing for interviews).</td>
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<tr>
<td>5. I am invited to my IEP meetings.</td>
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<tr>
<td>6. I am asked to give my input on what goes into my IEP.</td>
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<tr>
<td>7. I feel comfortable approaching my teacher(s) for help or discussing my learning goals.</td>
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<tr>
<td>8. Have you been trained on this system?</td>
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<tr>
<td>9. I am provided the opportunity to participate in any clubs, theatre activities, music activities, sports and other after-school activities.</td>
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<tr>
<td>10. My teacher understands my learning needs.</td>
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Additional Comments:
Appendix 11:
One Needs Assessment
IDEA Review Questions
One Needs Assessment – IDEA Review Questions

These questions will be triggered in the ED STEPS One Needs Assessment for educational agencies involved in either a Tier 2 or Tier 3 IDEA Monitoring Review. This includes associate educational agencies involved with a DD, ESC or CTC review. The educational agency’s cross-functional team will gather and analyze data for these questions and determine specific areas of concern and root cause. This information will assist the educational agency in completing the One Needs Assessment/One Plan.

Note: Career Technical Centers will need to complete the OEC Special Education Needs Assessment utilizing the CTC specific questions within this guide.

College and Career Readiness

Early Warning System

1. How does the organization identify students who are at risk of dropping out?
2. How does the organization identify students with disabilities that are at risk of dropping out?
3. How many students are identified as at risk for dropping out in grades 6-12? How many of those identified as at risk of dropping out have success plans?
4. How many students at risk of dropping out are identified as having the following disabilities? Options: Multiple Disabilities (other than Deaf-Blind); Deaf-Blindness; Deafness; Visual Impairments; Speech and Language Impairments; Orthopedic Impairments; Emotional Disturbance; Intellectual Disability; Specific Learning Disabilities; Autism; Traumatic Brain Injury (TBI); Other Health Impaired (Major); and Other Health Impaired (Minor).
5. What do the data indicate about the effectiveness of efforts to prevent students from dropping out? How do these data reflect on the number of students who dropped out last year?
6. What programs and services are available for students at risk of dropping out? How are students targeted to participate?

Graduation

1. How many students with a disability are not on track to graduate, by the following categories: Multiple Disabilities (other than Deaf-Blind); Deaf-Blindness; Deafness; Visual Impairments; Speech and Language Impairments; Orthopedic Impairments; Emotional Disturbance; Intellectual Disability; Specific Learning Disabilities; Autism; Traumatic Brain Injury (TBI); Other Health Impaired (Major); and Other Health Impaired (Minor)?
2. Are any student populations over-represented in the data identified in the previous question?
3. Are any disability categories over-represented in the data identified in the "on track to graduate" question?
4. How are students monitored to determine if they are not on track to graduate? What programs and services are available for students at risk of not graduating? How are students targeted to participate in these programs and services?
5. How are external partnerships utilized to improve students’ post-high school outcomes in education, competitive integrated employment, and independent living?
6. Which graduation pathways are most utilized by students?
7. What barriers limit student access to all graduation pathways?
8. What evidence demonstrates the business advisory council helps improve student graduation and post-high school outcomes?
9. What is the district or building’s annual process for developing and updating graduation plans for students in grades 9-12?

**Postsecondary**

1. What do data indicate about ensuring all students are able to transition from high school to successful post-graduation outcomes?
2. What data are used to analyze if the marketing of career-technical education programs and access to postsecondary coursework is reaching all students?
3. How are career-focused education programs made accessible to all students, including students with disabilities?
4. What do data indicate about post-graduation outcomes (military, college/trade school, employment, Opportunities for Ohioans with Disabilities) for students with disabilities?
5. What do data indicate about post-graduation outcomes (military, college/trade school, employment, Opportunities for Ohioans with Disabilities) for students who are gifted?

**Career Connections**

1. In analyzing career advising support to students, which supports are most effective for the previously specified populations (all students, students with disabilities, military family students and gifted students)?

**Community and Family Engagement**

**Engagement**

1. What procedures, policies and practices does the educational agency have in place for disputes? How are the policies and practices for disputes regarding special education services and programs communicated and implemented?
2. Identify the number of complaints you have had in the past three years. What are the areas of the complaints?
3. What methods are used to seek parent input and participation, including parent participation in the evaluation process? How do you know that these methods are effective?
4. What types of support services are available to intervene and establish accountability for the educational agency, students, and parents? How do you know that these support services are effective?

**Curriculum, Instruction and Assessment - Content Areas**

**Literacy**

1. List and describe the evidence-based strategies used to meet specific adult and student goals and improve instruction. Include the following:
   (a) Strategies reflecting culturally responsive practices.
   (b) A process for monitoring the progress and implementation of the plan’s strategies.
   (c) Action steps to implement the plan’s strategies, including professional development for each strategy.
(d) A description of how these strategies support students on reading improvement and monitoring plans (RIMP).

(e) A description of how the proposed strategies will be effective and improve strategies utilized during the previous two years.

**English Language Arts**

2. In what area(s) of reading achievement are students not proficient? PreK-3? 4-12? Data sources may include, but are not limited to, the English Language Arts assessment prescribed under Ohio Revised Code 3301.0710 (grades 3-8, ELA I and II), language and literacy portion of the Kindergarten Readiness Assessment, reading diagnostic assessments (required for grades K-3 under the Third Grade Reading Guarantee), Early Learning Assessment and screeners.

3. How many students are not on track for the Third Grade Reading Guarantee? For those not on track, what subgroups are noticeably not on track? For students with disabilities who are not on track, how many students have a RIMP in place?

4. What do your growth data show about reading achievement for all students, including local and report card data? What do your growth data show for students with disabilities, including special education profile data?

5. How does the educational agency track progress for students with disabilities in reading proficiency to ensure that specially designed instruction and accommodations support student needs? What is the district’s process for reviewing IEPs for students who scored below proficient on reading assessments?

6. Describe the evidence-based strategies used to meet specific learner needs and improve instruction. What do the data indicate about implementation of identified evidence-based practices? What data or trends demonstrate the evidence-based literacy strategies are effective?

**Career Technical Education – Equity**

1. How are students from special populations performing in the career-technical education programs in comparison to students without identified special needs?

2. What are the potential root causes of inequities in the career-technical education programs?

3. How are special population groups performing in these programs? How are students with disabilities performing in these programs? Which disability categories are underrepresented in career-technical education programs?

4. What additional accommodations, modifications and supportive services would help ensure access and equity for all students within the programs?

5. To what degree do students have access to career guidance that is comprehensive, equitable and unbiased?

**Career-Technical Education**

1. What opportunities exist in the local labor market for students with disabilities, English learners or other special populations?

2. To what degree do learners have access to meaningful work-based learning experiences, opportunities to receive credit for prior learning, career advisement and development opportunities, job placement services, and/or Career and Technical Student Organizations? How does this vary across programs or pathways? How does this vary across student groups, including students with disabilities?

3. Are programs aligned and articulated across secondary and postsecondary education? How?

4. In what subject areas is there a need to develop or recruit faculty and staff due to looming retirements, growing student interest and/or emerging priority employment areas?
5. To what degree do faculty, staff and administrators have opportunities to work with and learn directly from representatives of business and industry OR their peers in professional learning communities?

Curriculum, Instruction and Assessment – Teaching

Instruction

1. What supports are available to all students in Tier 1 (core) instruction across all grade levels?
2. How does the educational agency identify the needs of students who are not responding to Tier 1 instruction?
3. What data does the educational agency collect to determine the fidelity of adult implementation of the three levels of MTSS practices in schools?
4. What is the process for collecting intervention data? What data does the educational agency collect to determine the fidelity of adult implementation of the three levels of MTSS practices in schools? What is the process for analyzing and reporting the intervention data for feedback? What do the data tell the educational agency regarding instruction?
5. Based on the evidence collected for the questions above, what barriers prevent schools from implementing MTSS at all three levels?
6. How does the educational agency monitor effective instructional strategies and methods to assure strong academic learning programs are implemented and quality instructional time is maximized?
7. What differentiated instructional technology is available to meet diverse student preferences? How often are these instructional technology strategies used? What is the capacity of staff to suggest, identify and utilize these instructional technology strategies? What is the capacity of students to identify and utilize available instructional technology?

Assessments

1. What are the educational agency's current policies, procedures and practices surrounding the Alternate Assessment? How are applicable staff trained/informed on these policies, procedures and practices? How are newly hired staff trained?
2. Is there a formal written procedure for determination of eligibility to participate in the Alternate Assessment?
3. What factors are considered when determining eligibility for participation in the Alternate Assessment?
4. Does the educational agency use the Department’s AASCD Decision-Making Tool when determining eligibility for the Alternate Assessment?
5. What members of the IEP team are present when determining eligibility for the Alternate Assessment?
6. How are parents involved in decision making and made aware of the implications of their student participating in the Alternate Assessment?
7. If determination is not appropriate for a student who has been previously identified as participating in the Alternate Assessment, how would this issue be approached?
8. If a student is determined eligible to participate in the Alternate Assessment, how is this reflected in supports and services provided on the student’s IEP?
9. What kind of professional development or formal training does the educational agency provide to staff members regarding the Alternate Assessment and determination for eligibility?
10. Are participation rates different for certain subgroups (for example, Black, Hispanic, Asian, White, English learners, economically disadvantaged) as compared to other subgroups?

Standards Alignment
1. How are professional development opportunities determined and evaluated to ensure they meet the needs of teachers (including intervention specialists, paraprofessionals, related service providers, etc.) to implement adopted standards aligned curriculum?

2. How are professional development opportunities selected to ensure they meet the needs of all staff and service providers (including TESOL, general education intervention specialists, paraprofessional related service providers, etc.)?

Curriculum, Instruction and Assessment – Special Populations

Special Populations – Students with Disabilities

1. What do internal monitoring data indicate about alignment of student needs identified in Evaluation Team Reports (ETR) with Individualized Education Program (IEP) goals?
2. How are student progress data on IEP goals collected and shared, and shared with whom?
3. How do progress monitoring data inform changes to supports and services for students with disabilities?

Leadership, Administration and Governance

Shared Leadership

1. How are special education professionals and leadership included within district, building and teacher-based team structures?
   A. Has the educational agency established a leadership team that reviews data, monitors and determines next steps in the improvement process? The team should include individuals with key positions at various levels of the organization (system wide learning/decision making) and community stakeholders.
   B. Are building and department leaders knowledgeable about evidence-based instructional strategies that are successful for students with disabilities and how to use data to inform instruction?
   C. Do leaders engage staff in rigorous procedures for monitoring and evaluating instructional practices?
   D. How does the educational agency leadership build capacity through support and accountability?
   E. How does the educational agency leadership sustain an open and collaborative culture? Does leadership collaborate with internal and external stakeholders (including staff, parents, other outside entities, the Department, SSTs, and other educational agencies)?

Administrative Support

1. What are some areas of concern found in the Department’s summary report for record reviews?
2. What are the results of the Internal Monitoring Team’s record reviews (Child Find, Delivery of Services, Least Restrictive Environment, Discipline)?
3. What do IEP verifications reveal about specially designed instruction, accommodations and modifications?
4. How are professional development strategies from record review results implemented and monitored?
5. How does the educational agency plan to train additional staff in the internal monitoring process?

Operations
Technology

1. Do all students have access to the technology and internet needed to meet all learning standards and IEP goals/accommodations?
2. Are all instructional staff trained in using the technology, as well as technology targeted for students with disabilities?
3. How does the educational agency address any concerns with student and/or teacher access to technology?
4. How does the educational agency ensure parental access and training with technology, including assistive technology?
5. How does the educational agency provide training to all educators, including paraprofessionals, to ensure learning is implemented effectively and as designed?
6. How is monitoring used to identify relevant professional development?

School Climate and Supports

Safe and Healthy Schools

1. How does the educational agency address cyberbullying and internet safety?

Behavioral Supports

2. Number of students (0-1 discipline referrals) for what behavior(s), gender, ethnicity, disability status and grade?
3. Number of students (2-5 discipline referrals) for what behavior(s), gender, ethnicity, disability status and grade?
4. Number of students (6+ discipline referrals) for what behavior(s), gender, ethnicity, disability status and grade?
5. Based on review of your discipline referral data, which grade level(s) represents the largest number of referrals, and what was the frequency per location? Which gender represents the largest number of referrals?
6. When looking at discipline data, what are the trends and patterns, including gender, ethnicity, disability status, grade, location, time of day and referring staff, that you can identify? What trends and patterns can you identify for vulnerable populations?
7. How often are Functional Behavioral Assessments and Behavior Improvement Plans revisited or adjusted?
8. Of the number of students with disabilities who have been disciplined, how many students had behavior goals in their IEP prior to the discipline?
9. How many students had IEPs amended to include behavior goals?
10. What are the top three behavioral infractions that result in students receiving out-of-school suspensions? When looking at these behaviors, are there trends or patterns, including for gender, ethnicity, disability status, grade, location, time of day, or referring staff? What is the relationship between discipline and student performance for students with disabilities?
11. How many times were students removed from their LRE due to behavior? Please breakdown these data by disability, grade, gender and race.
12. What does the educational agency-wide review of discipline policies, practices and procedures reveal with regard to:
   A. Staff training for all school personnel: teachers, administrators, aides, bus drivers, and cafeteria workers?
B. The implementation and effectiveness of positive behavioral supports and interventions?
C. Development of behavior goals and supports for students with disabilities, based on individual needs?
D. The application and use of Functional Behavioral Assessments and Behavior Improvement Plans?
E. The educational agency’s Manifestation Determination Review process?

Positive Behavioral Interventions and Supports (PBIS)

1. What PBIS are available to all students in Tier 1 across all grade levels?
2. How are the needs of students who are not responding to Tier 1 PBIS identified and supported through Tier II and Tier III interventions?
3. What data are collected (such as PBIS Tiered Fidelity Inventory data) to determine the fidelity of adult implementation of the three levels of PBIS practices in schools? How is the fidelity of PBIS implementation measured?
4. What impact has PBIS implementation had on the number of office referrals, in- and out- of school suspensions and expulsions?
Appendix 12: One Needs Assessment IDEA Review Questions

For Educational Service Centers (ESCs)
One Needs Assessment – IDEA Review Questions for ESCs

These questions will be triggered in the ED STEPS One Needs Assessment for ESCs involved in either a Tier 2 or Tier 3 IDEA Monitoring Review. The ESC’s cross-functional team will gather and analyze data for these questions and determine specific areas of concern and root cause. This information will assist the ESC in completing the One Needs Assessment/One Plan.

Curriculum and Instruction

ESC Subsection

1. What is the continuum of alternative placements, and how are placement decisions made for students entering ESC programs and services?
2. What is the written application process for entering students, and what are the written acceptance criteria? How are these documents shared with associate districts?
3. How does the ESC ensure that the least restrictive environment is provided when a child comes from a less restrictive environment in the previous placement?
4. How are special education records reviewed for compliance and services required before the student enters?
5. How does the internal monitoring team review student records for compliance?
6. How are pre-entrance and annual IEP meetings conducted with parents and home district personnel?
7. How does the ESC ensure that the IEP is implemented as written, including the provision of all special education instruction, supports and services?
8. Where are students being provided services?
9. How are related services provided to students in ESC programs?
10. How is transition planning for post-secondary life accomplished?
11. What is the process for students to return to a less restrictive environment (home district)?
12. How does the ESC partner with community and county resources and agencies to provide improved opportunities and outcomes for students with disabilities?

Operations

1. How often do administrators from the ESC meet with associate district administrators?
2. How often do ESC special education leaders meet with special education supervisors from associate districts? What topics or issues are addressed at these meetings?
3. Is there a written, approved and shared communications plan that describes joint responsibilities for the ESC and associate districts?
4. What is the collaborative process for reviewing and revising the communications plan between the ESC and associate districts?
5. What is the process for reviewing and revising application procedures, entrance criteria and selection/acceptance processes?
6. What is the process for reviewing and revising the ESC special education policies and procedures in collaboration with associate districts?

Professional Capital

1. How are special education staffing levels tracked and maintained?
2. How does the ESC ensure compliance with special education staff workload and caseload requirements?
3. How are special education staffing levels adjusted to meet changing special education enrollment levels?

**School Climate**

1. Does the ESC collect behavior data for students with disabilities? If so, how are these data shared with associate districts, and how are they used for analyses and improvement?
2. What is the Restraint and Seclusion policy and Positive Behavioral Intervention and Supports (PBIS) process?
3. How are data collected and reported for restraint and seclusion?
4. How are ESC and home district personnel involved in manifestation determinations?
5. How many children have had a Functional Behavior Assessment (FBA) completed?
6. How many children have a Behavior Intervention Plan (BIP), and how is the BIP implemented and monitored?
Appendix 13: One Needs Assessment IDEA Review Questions

For County Boards of Developmental Disabilities (DDs)
One Needs Assessment – IDEA Review Questions for DDs

These questions will be triggered in the ED STEPS One Needs Assessment for DDs involved in either a Tier 2 or Tier 3 IDEA Monitoring Review. The DD’s cross-functional team will gather and analyze data for these questions and determine specific areas of concern and root cause. This information will assist the DD in completing the One Needs Assessment/One Plan.

College and Career Readiness

Graduation

1. How does the board of developmental disabilities determine if students are on track for graduation, and what supports are in place to help students who are at risk of not graduating?

Transitions

1. How does the board of DD provide ongoing support to students experiencing challenges in transitioning to employment?
2. What percentage of graduating students gained community employment in the most recent program year?
3. How does the board of DD provide social and life skills to assure a smooth transition from school to work?
4. How does the organization ensure students learn self-reliance and respectful citizenship skills?

Family and Community Engagement

Engagement

1. What is the rate of attendance of parents at IEP meetings during last school year?
2. What is the rate of attendance at parent-teacher conferences during last school year?
3. What is the rate of attendance at parent events during last school year?

Partnerships

1. What community partnerships does the board of DD have in place to support parent and family engagement?
2. How does the DD partner with the community?
3. How often does the DD provide student engagement opportunities within the community?
4. What are some examples of those community engagement opportunities?
5. What are the methods for seeking input and participation from the community to the DD?

Curriculum, Instruction and Assessment

Assessment

1. What is the percentage of IEP goals that were mastered for the students served by the board of DD?
2. What supports are in place for students to ensure IEP goals are met?
Curriculum

1. What are the existing reading curriculum and supports, and are these supports driving student success?
2. What are the existing math curriculum and supports, and are these supports driving student success?
3. What nonacademic supports are in place to meet the particular needs of the students?

Instruction

1. What is the process the board of DD uses to determine if a student will be included in the group of students who are exempted from state tests?

Leadership/Administration/Governance

Shared Leadership

1. How does the organization involve staff, students, parents and the community in the decision-making processes of the board of DD, such as policy development, budget development, fiscal development and community outreach?

Data-Driven Decisions

1. What data does the administrative team use to drive decision-making and planning? Some examples might be alternate assessments, COS, KRA, ASQ-SE, ELA and the IEP goals and objectives.

Records

1. Does the board of DD develop and maintain a record of contracts, agreements or memoranda of understanding between the board of DD and school districts in the placement and services to students with a disability placed into school districts?

Internal Monitoring Process

1. What do internal monitoring data indicate about alignment of student needs identified in Evaluation Team Reports (ETR) with Individualized Education Program (IEP) goals?
2. How are student progress data on IEP goals collected and shared, and shared with whom?
3. How do progress monitoring data inform changes to supports and services for students with disabilities?

Operations

Transportation

1. What is the process used to determine the transportation needs of all students?

Technology

1. How does the board of DD use technology to enhance student success?
School Climate and Supports

Connections

1. What supports are in place for districts that are having difficulty maintaining a special education student within the classroom?
2. How does the board of DD collaborate with school districts to assist administrators, teachers and students to learn different techniques and strategies to be successful in the classroom as well as at home?
3. What are the written procedures in regard to communication with districts of residence? How often does the board of DD communicate with districts of residence? What is the nature of the communication?
4. How can the communication improve with parents? Community? Districts of residence?

Disproportionality

1. Does the board of DD gather and monitor data regarding students with special needs who are involved with behavior incidents?
2. What systems and supports does the board of DD have in place to monitor students’ behavior and schools’ responses to intervene to assure students with special needs are not disproportionately disciplined for behavior incidents.
3. What policy or procedure does the board of DD have in place to identify and address the root cause of student behavioral problems and the school staff responses to the incident?
4. How do districts plan to utilize funds set aside for comprehensive, coordinated early intervening services to ensure it aligns with the district improvement plan to address significant disproportionality?
Appendix 14: OEC Special Education Needs Assessment

For Career Technical Centers (CTCs)
OEC Special Education Needs Assessment
Instructions for Completion and Prioritization of Needs

Career Technical Centers (CTCs) are required to complete the OEC Special Education Needs Assessment utilizing the Questions for Career Technical Centers within this guide. Once the CTC completes the OEC Special Education Needs Assessment, the CTC will develop a Strategic Improvement Plan that addresses all identified priority areas. The CTC will submit both the Special Education Needs Assessment and Strategic Improvement Plan to the Department for approval.

The CTC, with SST assistance, will utilize the OEC Special Education Needs Assessment to:

1. Identify a priority area.
2. Summarize current data for each area of focus in the first column.
3. Summarize the analysis of the specific data in the second column.
4. Determine if each area of focus shows a need for improvement as a result of the data analysis.
5. If the analysis indicates a need for improvement, develop a hypothesis for the root cause and explain what action steps might address the issue for improvement. These action steps will be used in developing the Strategic Improvement Plan goals and activities.
6. After examining all the areas identified as needing improvement, the team will rank the areas by priority to determine what will be addressed in the Strategic Improvement Plan.

Note: Internal Monitoring must be included as one of the priority areas.
OEC Special Education Needs Assessment

Application/Enrollment Process
1. What is the written application process for entering students, and what are the written acceptance criteria? What are the criteria for the acceptance or rejection of students with disabilities for programs at the CTC?
2. What is the process for reviewing and revising application procedures, entrance criteria and selection/acceptance processes?
3. What types of age-appropriate transition assessments are used to help determine an appropriate CTC program for a student?
4. When in the enrollment process does the CTC know that the student has an IEP?
5. When students are completing the application for enrollment, if accommodations and supports are needed, how are those provided? (Who is responsible for providing accommodations? How is the student made aware of their access to accommodations during the application process?)
6. How are parents involved in the application process for entering the CTC?

Communication Plan
1. What is the collaborative process for reviewing and revising the communications plan between the CTC and associate districts?
2. What is the process for reviewing and revising the CTC special education policies and procedures in collaboration with associate districts?
3. How often do administrators from the CTC meet with associate district administrators?
4. How often do CTC special education leaders meet with special education supervisors from associate districts? What topics or issues are addressed at these meetings?
5. How are the written application process and acceptance criteria for entering students shared with associate districts?
6. How is progress reported back to the associate schools? Are there written procedures in communicating with associate schools when a student is not on track for completing their program requirements? Are there written procedures in communicating with associate schools when a student is not on track for completing graduation requirements?
7. How are discipline issues reported back to the associate schools?

Internal Monitoring/Special Education Processes
1. How are pre-entrance and annual IEP meetings conducted with parents and associate district personnel?
2. Does the CTC receive a copy of the student’s IEP by the beginning of the school year?
3. How and when are special education records reviewed for compliance and services required?
4. Are IEP supports, services, or specially designed instruction removed or altered prior to enrollment in a CTC program? Please explain.
5. Once a student has been accepted to one of the programs, how does the CTC become involved with reevaluations? Who is responsible for writing the IEP?
6. Who is responsible for providing related services (speech, OT, PT, etc.) once a student is enrolled?
7. What is the continuum of alternative placements, and how are placement decisions made for students entering CTC programs?
8. Where are students being provided services?
9. How does the CTC ensure that the IEP is implemented as written, including the provision of all special education instruction, supports and services?
10. How does the CTC ensure that the least restrictive environment is provided in alignment with the student’s IEP?
11. What are some areas of concern found in the Department’s Summary Report for record reviews?
12. What are the results of the Internal Monitoring Team’s record reviews (Child Find, Delivery of Services, Least Restrictive Environment, Discipline)?
13. What do IEP Verifications reveal about specially designed instruction, accommodations and modifications?
14. How are professional development strategies from record review results implemented and monitored?
15. How does the district plan to train additional and/or newly hired staff in the internal monitoring process?

Program Completion

1. How does the organization identify students with disabilities who are not on track to complete their program requirements?
2. How many students are not on track for completing their program requirements by disability category? Are any disability categories over-represented in the data?
3. How many students are not on track to completing their program requirements by ethnic code? Are any student populations over-represented in the data?
4. How does the CTC ensure students stay on track for completing their program requirements?
5. What programs and services are available to assist students at risk of not completing their program requirements? How are students targeted to participate? What do the data indicate about the effectiveness of these programs and services?

Graduation

1. How does the CTC ensure students stay on track for completing the graduation requirements?
2. How many students with a disability are not on track to graduate? By disability category? By ethnic code? Are any disability categories or ethnic codes over-represented in the data?
3. How are students monitored to determine if they are not on track to graduate? What programs and services are available for students at risk of not graduating? How are students targeted to participate in these programs and services? What do the data indicate about the effectiveness of these programs and services?
4. Which graduation pathways are most utilized by all students? By students without disabilities? By students with disabilities?
5. What barriers limit student access to all graduation pathways?
6. What is the CTC’s annual process for developing and updating graduation plans for students?

Postsecondary

1. What do data indicate about ensuring all students are able to transition from high school to successful post-graduation outcomes?
2. How are external partnerships utilized to improve students' post-high school outcomes in education, competitive integrated employment, and independent living?
3. What data are used to analyze if the marketing of career-technical education programs and access to postsecondary coursework is reaching all students?
4. How are career-focused education programs made accessible to all students, including students with disabilities?
5. What do data indicate about post-graduation outcomes (military, college/trade school, employment, Opportunities for Ohioans with Disabilities) for students with disabilities?
6. In analyzing career advising support to students, which supports are most effective for the previously specified populations (all students, students with disabilities, military family students and gifted students)?
7. How does your agency partner with community and county resources and agencies to provide improved opportunities and outcomes for students with disabilities?

**Alternate Assessment**

1. What kind of professional development or formal training has your CTC received regarding the Alternate Assessment and determination for eligibility?
2. What are your CTC’s current policies, procedures and practices surrounding the Alternate Assessment? How are applicable staff trained/informed on these policies, procedures and practices? How are newly hired staff trained?
3. Is there a formal written procedure for determination of eligibility to participate in the Alternate Assessment?
4. Does your CTC use the Department’s AASCD Decision-Making Tool when determining eligibility for the Alternate Assessment? What factors are considered when determining eligibility for participation in the Alternate Assessment?
5. What members of the IEP team are present when determining eligibility for the Alternate Assessment?
6. How are parents involved in decision making and made aware of the implications of their student participating in the Alternate Assessment?
7. If a student no longer qualifies for the Alternate Assessment, what steps does the CTC take to document and implement necessary changes?
8. If a student is determined eligible to participate in the Alternate Assessment, how is this reflected in supports and services provided on the student’s IEP?
9. Are participation rates different for certain subgroups (for example, Black, Hispanic, Asian, white, English learners, economically disadvantaged) as compared to other subgroups?

**Behavior**

1. Do the CTC collect behavior data for students with disabilities? If so, how are these data shared with associate educational agencies, and how are they used for analyses and improvement?
2. How are CTC personnel involved in manifestation determinations?
3. How many students have had an FBA completed?
4. How many students have a BIP, and how is the BIP implemented and monitored?

**Restraint and Seclusion**

1. What type of training is provided to CTC staff? How often? How do you ensure that someone in each building has received training?
2. How is the CTC staff trained in your Restraint and Seclusion policy? How is it documented? How often? What arrangements are made (including timeframes) for training newly hired staff?
3. What are your procedures for documenting restraints and/or seclusions? Who tracks (either district wide and/or building level) the occurrences?
Discipline

1. How many student discipline referrals were made? Why were they made? What was the frequency per reason? What was the frequency per location?
2. Was a significant number of discipline referrals made by the same teacher(s)?
3. How many students were placed in in-school suspension? What were the reasons?
4. How many students received out-of-school suspension? What were the reasons?
5. How many students were expelled from school? What were the reasons?
6. Are there disability subgroups who receive more discipline actions compared to other disability subgroups?
7. What was the relationship between discipline and student performance?
8. When disciplinary action is being considered, how are all stakeholders (including intervention specialists) informed and included in the decision-making process?
9. What does your review of discipline policies, procedures and practices reveal with regard to:
   a. Staff training for all school personnel: teachers, administrators, aides, bus drivers, cafeteria workers?
   b. The implementation and effectiveness of positive supports and interventions?
   c. Development of behavior goals and supports for students with disabilities, based on individual needs?
   d. The application and use of Functional Behavioral Assessments and Behavior Improvement Plans?
   e. The district’s Manifestation Determination Review process?
10. How often are Functional Behavioral Assessments and Behavior Improvement Plans revisited or adjusted?
11. Of the number of students with disabilities who have been disciplined, how many students had behavior goals in their IEP prior to the discipline? How many students had IEPs amended to include behavior goals?

Dispute Resolution

1. What policies, procedures, policies and practices does the CTC have in place for disputes?
2. What is the average number of parent complaints and what is the nature of the complaints?
3. Are there any patterns in parent complaints (for example, lack of related services, lack of assistive technology)?
4. What types of support services are available to intervene and establish accountability for the CTC, students and parents?

Perception Surveys

1. Does the CTC have an ongoing formal process for communicating and receiving feedback from all stakeholders?
2. What were the results of the perception surveys (Parents, Staff, Administrators, Students)?
3. What do the data reveal/what other areas identified do they align with?
4. What current initiatives are in place to address identified concerns?

Use and Access to Technology

1. Do all students have access to the technology and internet needed to meet all learning standards and IEP goals/accommodations?
2. Are all instructional staff trained in using technology?
3. How does the CTC address cyber bullying and internet safety?
4. How does the CTC address any concerns with student and/or teacher access to technology?
5. How does the CTC ensure parental access and training with technology if in a remote/blended learning environment?

**Inclusive Leadership**

1. Has the CTC established a Leadership Team that will review data, monitor and determine next steps to include individuals with key positions at various levels of the organization (system wide learning/decision making)? For example, positions may include:
   - Superintendent
   - Special Education Director/Coordinator
   - EMIS Coordinator
   - Treasurer/Fiscal Agent
   - Legal
   - General education leadership
   - Curriculum
   - Parent
   - Community/Agencies
   - Union leadership
2. Are building and department leaders knowledgeable of evidence-based instructional strategies that are successful for students with disabilities and how to use data to inform instruction?
3. Do leaders engage staff in rigorous procedures of monitoring and evaluating instructional practices?
4. How does the CTC leadership build capacity through support and accountability?
5. How does the CTC leadership sustain an open and collaborative culture? Do they collaborate with internal and external stakeholders (including staff, parents, other outside entities, the Department, SST staff, other educational agencies)?

**Staffing**

1. How are special education staffing levels tracked and maintained?
2. How does the CTC ensure compliance with special education staff workload and caseload requirements?
3. How are special education staffing levels adjusted to meet changing special education enrollment levels?
## OEC Special Education Needs Assessment

**Career Technical Center:** 

**IRN:** 

**Date Submitted to the Department:**

### Overarching Questions
1. What are the current data?
2. What do the data reveal about the trends and patterns over time? What is the impact of these trends and patterns?
3. Is this an area identified as a concern? If yes, what is the potential influence? What is the priority for this area of concern overall?
4. What current initiatives are in place to address identified concerns?
5. In what additional area(s) should we collect data?

<table>
<thead>
<tr>
<th>Application/Enrollment Process</th>
<th>Area of Concern? (Yes or No)</th>
<th>Priority (1 = highest priority)</th>
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<tr>
<td><strong>Current Data</strong></td>
<td>Summary of Analysis</td>
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<td>Priority (1 = highest priority)</td>
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<th>Priority (1 = highest priority)</th>
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<td>Area of Concern?</td>
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### Perception Surveys

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<th>Current Data</th>
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### Use and Access to Technology

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### Inclusive Leadership

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### Staffing

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Appendix 15:
Progress Review Report
Progress Review Report

The educational agency will need to submit to the Department quarterly update reports on the status of the educational agency’s One Plan or Strategic Improvement Plan special education priorities. This report should be developed in collaboration with the educational agency cross-functional team and the SST. It should include all relevant information and documentation of evidence for implementation and monitoring of the One Plan Goals and Action Steps.

District:   IRN: Date of Report:

The following is a summary of the progress made towards each of the Department approved special education goals and action steps for the educational agency’s One Plan. Copy and paste as many action steps and activities under each goal as needed and submit documentation to the Department by email.

<table>
<thead>
<tr>
<th>Priority Area:</th>
<th>Evidence</th>
<th>Indicate Who Assisted (SST, Cross-Functional Team)</th>
<th>Completion Date</th>
<th>Status (Not Started, In Progress, Completed)</th>
<th>Date Submitted to the Department</th>
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<tr>
<td>Goal/Activity:</td>
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<td>Current Data:</td>
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Click + to add additional Priority Areas
Appendix 16: Definitions and Resource Links
Definitions and Resource Links

The following are definitions of terms encountered during review activities:

**Accountability/Ohio School Report Card Spreadsheets** – This series of report cards and spreadsheets summarizes the accountability data that educational agencies submit to the Department’s Education Management Information System (EMIS). The spreadsheets are designed to help educational agencies and buildings understand how the data they submit will be used in calculations of achievement rates, attendance rates, graduation rates and other factors.

**Benchmarks** – These are expected levels of performance. Some benchmarks are indicated on the educational agency and building Local Report Cards and include the Adequate Yearly Progress (AYP) goals associated with the *No Child Left Behind* Act.

   Example: Federal AYP requirements identify a series of standards that each school and educational agency must reach.

**CCIP** – The Comprehensive Continuous Improvement Plan (CCIP) is a unified grants application and verification system that consists of two parts: The Planning Tool and the Funding Application. The Planning Tool contains the goals, strategies, action steps and educational agency goal amounts for all grants in the CCIP. The Funding Application contains the budget, budget details, nonpublic services and other related pages. There are six Funding Applications in the CCIP: Consolidated, Competitive, Student Intervention, Career-Technical and Adult Education, Adult Basic and Literacy Education and Community School.

**Data Analysis** – Data analysis is conducted by the educational agency with the assistance of the SST to identify strengths and weaknesses through quantitative and qualitative indicators. The results may indicate necessary professional development or other areas that emphasize the improvement of educational results and functional outcomes for students with disabilities.

**Disaggregated Data** – Disaggregated data points are those that have been separated into components. For example, educational agency data can be disaggregated to show individual building data, and student data can be separated into various demographic subgroups (for example, educational agency’s current Special Education Profile data).

**Disproportionality** – Disproportionality is an equity measure and occurs when students from a racial or ethnic group are identified for special education, placed in more restrictive settings or disciplined at markedly higher rates than their peers. Disproportionality becomes significant when the overrepresentation exceeds a threshold defined by each state.

**ED STEPS** – The Education Department System of Tiered E-Plans and Supports (ED STEPS) will increase coordination and streamline the timelines and processes for assessing needs, planning and applying for funds. Ohio was a pioneer in the development of the Comprehensive Continuous Improvement Plan (CCIP) that is used throughout the nation. The ED STEPS system will replace the CCIP. As a part of the ED STEPS project, the One Needs Assessment and One Plan have been developed to assist with creating quality improvement plans.

**Educational Agency** – Article II of ORC 3301 defines a “local education agency” as “a public authority legally constituted by the state as an administrative agency to provide control of and direction for kindergarten through twelfth grade public educational institutions.” School educational agencies, school educational agencies of service, open enrollment school educational agencies, community schools, the Ohio Department of Youth Services, joint vocational school educational agencies, juvenile justice facilities, educational service centers, county boards of developmental disabilities and any department;
division; bureau; office; institution; board; commission; committee; authority; or other state or local agency, other than a school educational agency or an agency administered by the Department of Developmental Disabilities, that provides or seeks to provide special education or related services to children with disabilities, unless Chapter 3323 of the Revised Code, or a rule adopted by the state board of education specifies that another school educational agency, other educational agency, or other agency, department, or entity is responsible for ensuring compliance with Part B of the IDEA are considered educational agencies.

**EMIS** – The Education Management Information System (EMIS) is the statewide data collection system for Ohio’s primary and secondary education programs. The EMIS provision in law ([Ohio Law](#)) requires that certain student, staff, and financial data elements be collected and maintained by school educational agencies and subsequently submitted to the Department.

EMIS provides the architecture and standards for reporting data to the Department. School educational agencies, data processing centers operated by ITCs, and other EMIS reporting entities are linked for the purposes of transferring data to the Department. One of the primary functions of EMIS is to streamline state and federal reporting requirements for school educational agencies. EMIS also provides a streamlined system for educational agencies to report information required to receive state funding and to determine eligibility for federal funding. For more information, please consult this page.

**FAPE** – Section 1401(9) of IDEA defines FAPE as “special education and related services that—(A) have been provided at public expense, under public supervision and direction, and without charge;(B) meet the standards of the State educational agency;(C) include an appropriate preschool, elementary school, or secondary school education in the State involved; and (D) are provided in conformity with the individualized education program required under section 1414(d)” of Chapter 33 of IDEA. FAPE is the entitlement of a child with a disability, as IDEA defines that term, with the IEP serving as a means by which this entitlement is mapped out. While each child’s education must be free and while a public agency provides and pays for that education, what is “appropriate” for one child will not necessarily be appropriate for another. Determining what is appropriate for a specific child requires an individualized evaluation in which the child’s strengths and weaknesses are identified in detail.

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

**Formative Assessment** – When incorporated into classroom practice, formative assessments provide information that teachers can use to assess student understanding of grade-level content standards while instruction is occurring. This type of assessment provides information that allows the teacher to adjust instruction at a time when adjustments can enhance student learning. It also informs the student about his or her progress in mastering grade-level content standards. A formative assessment does not replace summative assessment, since the two types of assessment differ in purpose. The primary purpose of a formative assessment is to measure student understanding during instruction, while summative assessment measures student mastery after instruction has occurred.

**IDEA** – Individuals with Disabilities Education Act (IDEA) is a law that makes available a free appropriate public education to eligible children with disabilities throughout the nation and ensures special education and related services to those children. The IDEA governs how states and public agencies provide early intervention, special education, and related services to more than 7.5 million (as of school year 2018-19) eligible infants, toddlers, children, and youth with disabilities.
Infants and toddlers, birth through age 2, with disabilities and their families receive early intervention services under IDEA Part C. Children and youth ages 3 through 21 receive special education and related services under IDEA Part B.

**Indicator** – An indicator is a data point that measures how well an educational agency, or the state is performing within a priority area. The State Performance Plan (SPP) includes 20 indicators designed to measure state and educational agency efforts to implement the requirements and purposes of the Individuals with Disabilities Education Improvement Act of 2004 (IDEA).

Example: The performance of students with disabilities on statewide reading achievement tests is an indicator.

**One Needs Assessment and One Plan** – The One Needs Assessment and One Plan are designed to allow educational agencies (including community schools) to identify all their needs in a single location to drive effective planning and funding applications. It is a systemic consolidated district planning tool for all district operations, strategically aligned to funding and resources and focused on improving outcomes for all students.

**Parent** – Under FERPA, a “parent” means a parent of a student and includes a natural parent, a guardian or an individual acting as a parent in the absence of a parent or guardian. 34 CFR § 99.3 definition of “Parent.” Additionally, in the case of the divorce or separation of a student’s parents, schools are required to give full rights under FERPA to either parent, unless the school has been provided with evidence that there is a court order, State statute or legally binding document relating to such matters as divorce, separation or custody that specifically revokes these rights. 34 CFR § 99.4.

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

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

**Supplemental Aids and Services** – Means aids, services and other supports that are provided in regular education classes, other education-related settings, and in extracurricular and nonacademic settings, to enable children with disabilities to be educated with nondisabled children to the maximum extent appropriate.

**Summative Assessment** – Summative assessment provides a measurement of student mastery of grade-level content standards after instruction has occurred. Unlike formative assessment, summative assessment does not provide information that can assist teachers in making instructional adjustments during the actual learning process, but it does help measure the overall effectiveness of instructional practices and programs. Examples of summative assessments include standardized state-level assessments and interim educational agency and classroom assessments, such as end-of-unit or semester exams. The results of summative assessments can be used as part of the educational agency and state accountability measures, as in the case of standardized statewide assessments. They also can be used in the grading process, as in the case of educational agency and classroom developed assessments.

**State Systemic Improvement Plan (SSIP)** – IDEA requires each state to have a Part B State Performance Plan to evaluate the state’s efforts to implement the requirements and purposes of Part B of IDEA and to describe how the state will improve such implementation. The SSIP includes rigorous and measurable targets for required indicators.

**State Support Teams (SST)** – Ohio’s state support system includes 16 regional State Support Teams that use a connected set of tools to improve instructional practice and student performance on a continuing basis.
Resource Links:

- Special Education Profile
- Educational Agency Determinations
- Ohio School Report Cards
- Value Added Resources
- Comprehensive Continuous Improvement Plan (CCIP)
- The Department Data Tools
- Required and Optional Special Education Forms
- Universal Support Materials
- Ohio’s Evidence-Based Clearinghouse
- One Needs Assessment
- One Plan