



EI/ECSE
SPR&I
Procedural
Compliance:
File Review
User Guide

2018-19

This User Guide provides guidance on the submission of data for the annual Performance Compliance Review (PCR) and evidence of corrections of any noncompliance, including additional file reviews and interventions.

**Documentation
of Compliance
& Corrections**

**EI/ECSE SPR&I Procedural Compliance: File Review User Guide
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Welcome to the 2018-19 EI/ECSE SPR&I Procedural Compliance Review!

This manual provides guidance to complete your 2018-19 EI/ECSE SPR&I Procedural Compliance Review (PCR). Completing the SPR&I process can be an experience that allows programs to not only identify and correct program noncompliance, but to:

- Create a team-building opportunity;
- Identify staff development needs;
- Analyze the efficiency of program systems;
- Provide a link between compliance in child files with progress in indicators;

Most importantly:

- Ensure that children who are entitled to **FAPE** are receiving it.

County Contact Information

Your ODE County Contacts are available to assist you with your questions regarding SPR&I:

Alan Garland:	alan.garland@ode.state.or.us	(503) 947-5759
Holly Reed-Schindler:	holly.reed.schindler@ode.state.or.us	(503) 947-5820
Bruce Sheppard:	bruce.sheppard@ode.state.or.us	(503) 947-5612
Mandy Stanley:	mandy.stanley@ode.state.or.us	(503) 947-5662
Renee Van Norman:	renee.vannorman@ode.state.or.us	(503) 934-0795

**Your 2017-18 Procedural Compliance Review
Corrections (last year's review) are
due by April 14, 2019.**

EVIDENCE OF CORRECTION: Any non-compliance found during your 2017-18 Procedural Compliance Review (PCR), **must** be corrected by:

1. Correcting all non-compliance in all standards in individual files (if possible);
2. Completing additional file reviews for each standard with non-compliance; **and**
3. If systemic Issues were identified during your PCR process, complete interventions and additional file reviews for each standard with systemic non-compliance.

You must submit all evidence of correction for 100% of your program's noncompliance (corrections, additional file reviews, and interventions) as soon as possible, but no later than **April 14, 2019.**

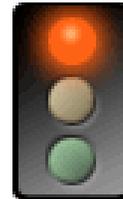
Reader's Note: Screen shots are used for illustration purposes and do not reflect the current dates

It is the policy of the State Board of Education and a priority of the Oregon Department of Education that there will be no discrimination or harassment on the grounds of race, color, sex, marital status, religion, nation origin, age, sexual orientation, or disability in any educational programs, activities or employment. Persons having question about equal opportunity and nondiscrimination should contact the Deputy Superintendent of Public Instruction at the Oregon Department of Education, 255 Capitol Street NE, Salem, Oregon 97310; phone 503-947-5740; or fax 503-378-4772.

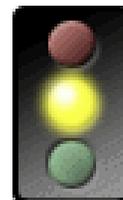
A Note about “Lights”

The lights on your dashboard indicate where your program is in any given process. Generally:

A red light means something needs your attention. If you have started on a task, but have not yet finished it, the light will remain red.



A yellow light means ODE staff needs to review or approve your work so you can move into the next phase of your PCR Indicator work.



A green light means you have done as much as you can do *right now* on this task. It does not necessarily mean you are completely finished with the task.



No light means the task is not ready.



Check your dashboard frequently during SPR&I “season” for updates, changes in lights, and other information.

Procedural Compliance Review (PCR)

Step 1: Updating your Contact Information

Before you begin, please be sure your program contact information is up-to-date. SPR&I notifications go to the email addresses listed in the **Program Staff** section.

ODE county contacts do not receive “bounce” notices from the system, so they do not know if you are not receiving updates. Notifications go to every contact listed. Please make sure the people on this list are the ones you want to receive SPR&I updates.

Updating your contact information is simple. First, double click on the area below the gray box on the right side of your dashboard page that says “Program Staff”.



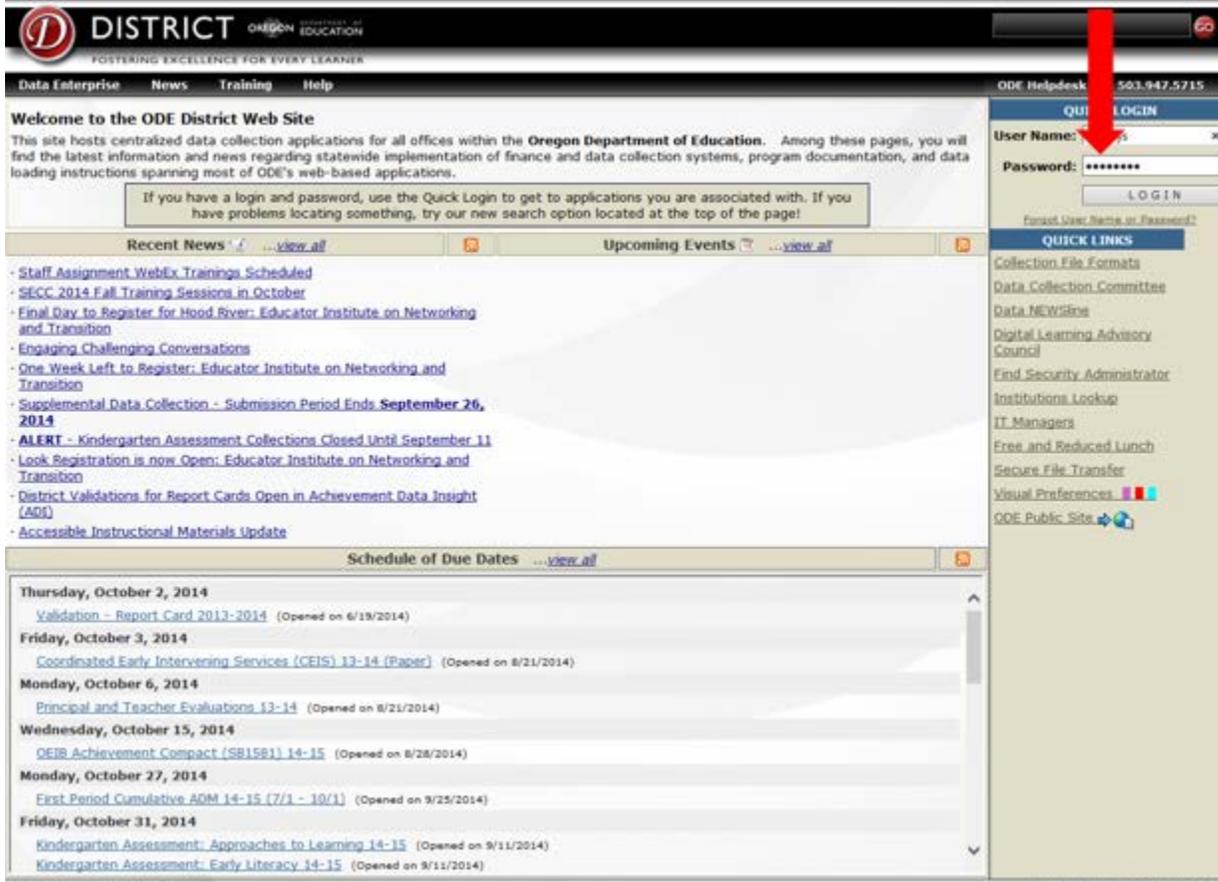
This will bring up your Program **Staff** editing box.



To change information, click on **Edit**, **Delete**, or **Add New Contact**. After you make your updates, click on “**Save**” (not shown.)

Step 2: Logging In

Using your secure password, **login** to the system via the ODE District Website at <https://district.ode.state.or.us> . Passwords are obtained through your program, not through ODE.

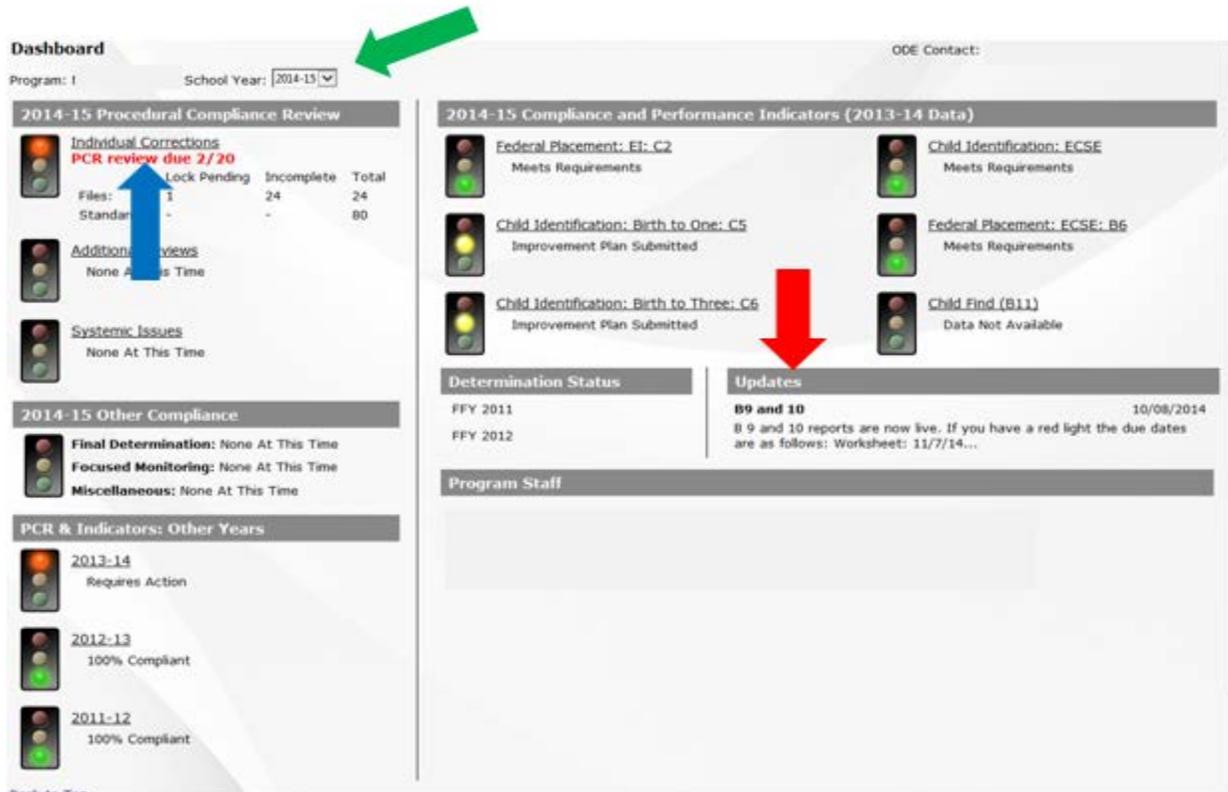


After you click on “**LOGIN**”, the SPR&I dashboard will appear.

Step 2: Logging-In (continued)

When your dashboard appears, check for any **updates**. Always check to make sure you are working in the correct **school year** (this year is 2018-19).

Please note: “PCR due date” indicates the date the final PCR for 2018-19 (this year) is due (2/1/2019.)



Step 3: Selecting Your Files

The system will automatically provide the **required number of slots** to enter file information for each category for your program (EI, ECSE, and EI Transition). To the extent possible, select files that reflect a variety of children’s eligibilities and ethnicities. If your program had fewer children in a category than the number of slots appearing on your dashboard, please contact your ODE County Contact for assistance.

Note: Files listed in **bold** print require action.

Dashboard > PCR 2014-15

Program: School Year: [View Reports](#)

Click on each Unlocked file to enter information and Lock it.
 Select files to represent children with different ages, ethnic backgrounds, and disabilities in your program.
 Note that for EI Transition you MAY duplicate children from EI or ECSE files if they transitioned out of EI services during the year.
 Files listed in **bold** require action.

File Info	More Detail		Standard Info	More Detail		
Child Type	First Name	Last Name	Status	Not Reviewed	Total	Validated?
EI			Unlocked	36	36	No
EI			Unlocked	36	36	No
EI			Unlocked	36	36	No
ECSE			Unlocked	39	39	No
ECSE			Unlocked	39	39	No
ECSE			Unlocked	39	39	No
EI Transition			Unlocked	3	3	No
EI Transition			Unlocked	3	3	No
EI Transition			Unlocked	3	3	No
Total:				234	234	

9 Files: 3 EI, 3 ECSE, 3 EI Transition

Step 3: Selecting Your Files (continued)

Select and lock in only the files of children who meet the criteria below under Eligibility and Census Verification.

Eligibility and Census Verification

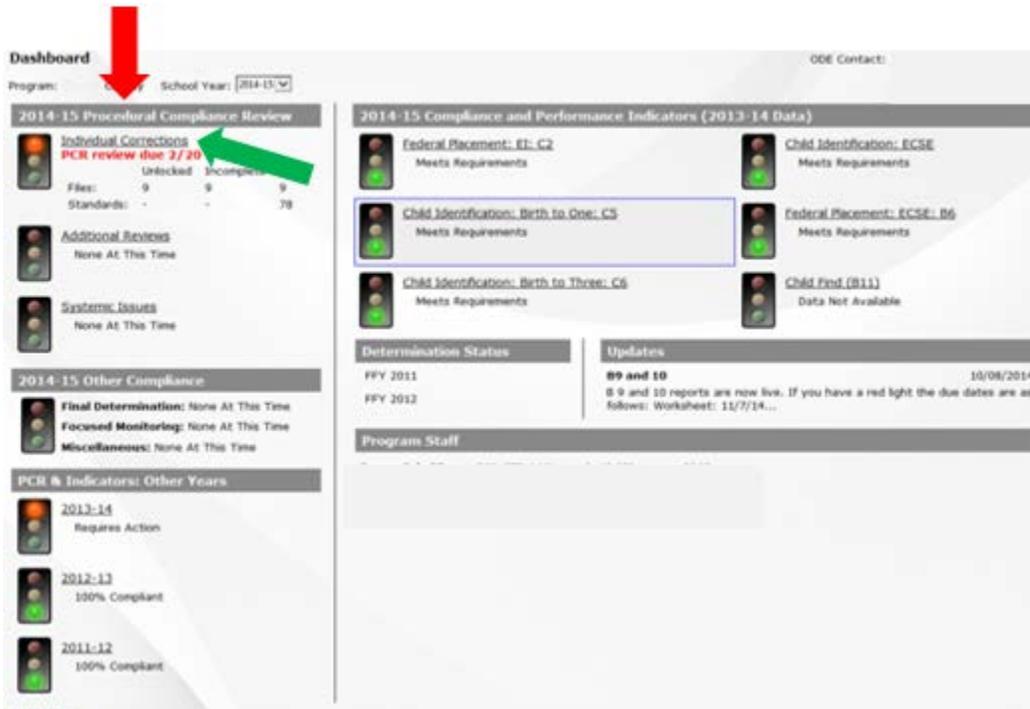
The child file being reviewed includes:

- Documentation that the child was enrolled in the program on December 1st of the census review year whenever possible; and
- A statement of eligibility signed by an Eligibility Team which was in effect by the child’s enrollment in the program; and,
- An Individualized Family Service Plan (IFSP) which was in by the child’s enrollment in the program; and
- The ISFP contained specially designed instruction.

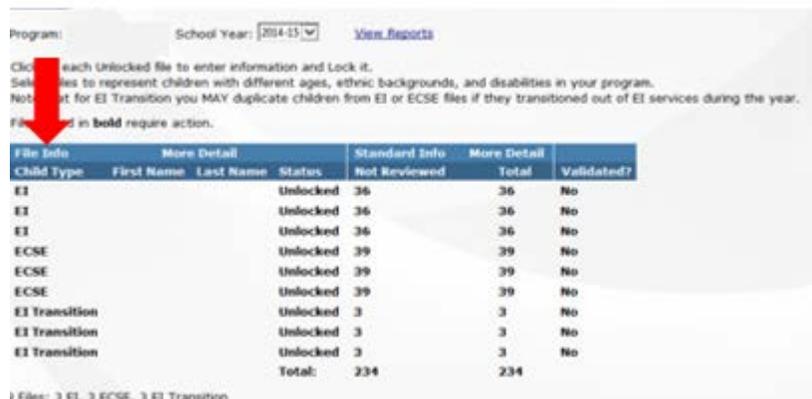
If the child was in the program prior to 12/1 but had a lapsed IFSP on 12/1, the file should not be reviewed – an alternate file should be selected for review. Also, please email your ODE County Contact as soon as possible so that any necessary corrections to the SECC can be made.

Step 4: Locking in Your Files

To lock in your files, first check to make sure that **2018-19** appears in the “School Year” box at the top of the page. Then click on **Individual Corrections** next to the red light under “2018-19 Procedural Compliance Review”.



When you arrive at “PCR 2018-19” screen, click on a line under “**Child Type**” to begin entering an individual child file. When you enter a child’s information, be sure to enter only information relevant to the category of the file you have selected (EI, ECSE or EI Transition.)



Once the information has been entered, click on **“Save”** and then **“Lock”** to lock in the file for the PCR review process. ODE staff will review and approve your file selections.

Eligibility and Census Verification

Mark NA if the child entered the program after December 1st of the census year.

The child file being reviewed includes:

- Documentation that the child was enrolled in the program on December 1st of the census review year when possible; **and**
- A statement of eligibility signed by an Eligibility Team which was in effect by child's enrollment in the program; **and**
- An Individualized Family Service Plan (IFSP) which was in effect by child's enrollment in the program; **and**
- The IFSP contains specially designed instruction.

If the child was in the program prior to 12/1 but had a lapsed IFSP on 12/1 mark "No" and the file should not be reviewed - an alternate file should be selected for review. Also, please email your County Contact as soon as possible so that any necessary corrections to the SECC can be made.

Yes No N/A

PCR File: EI - Unlocked

List the child's SSID:

List the child's name: First: Last:

List the child's date of birth:

List the child's ethnicity:

List the child's primary disability:

Did the program establish eligibility? Yes No

Has the child been reevaluated since initial EI eligibility? Yes No

Date of the child's initial EI IFSP:

Date of the child's current EI IFSP:

Date of initial EI evaluation:

Does the child have an EI six month IFSP? Yes No

Date of EI eligibility:

Note: ODE staff cannot approve files for your review until you **lock** them.

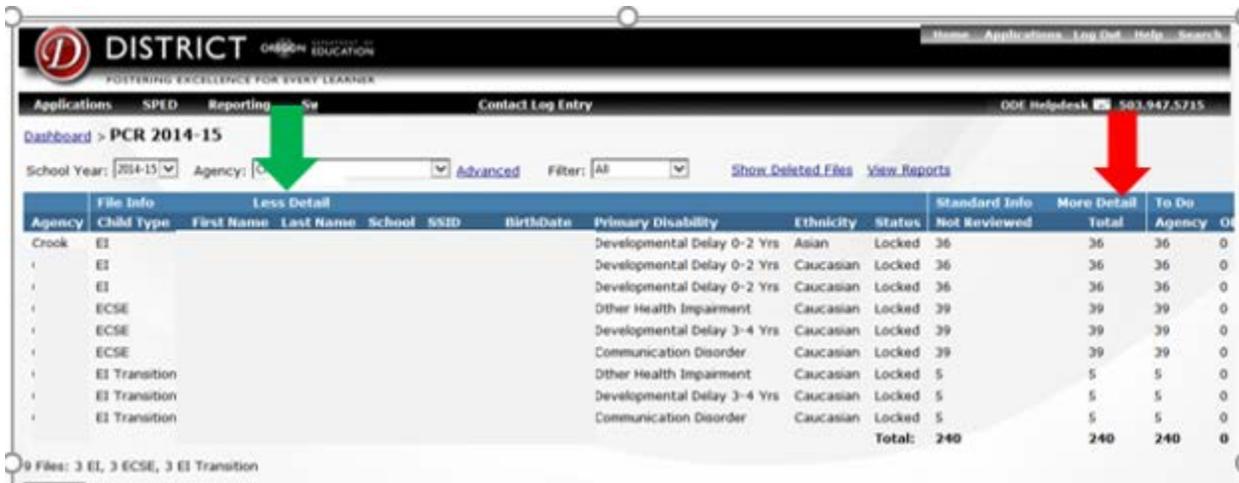
A Note about Timing: To ensure the child continues to meet all criteria for file review, complete the lock-in process close to the time the file is reviewed.

If the child no longer meets all criteria at the time of the PCR review process (e.g., the child is no longer eligible or has transferred to a different program), the file should be unlocked and a new child file selected. If a file needs to be unlocked, contact your ODE County Contact.

Step 4: Locking in your files (continued)

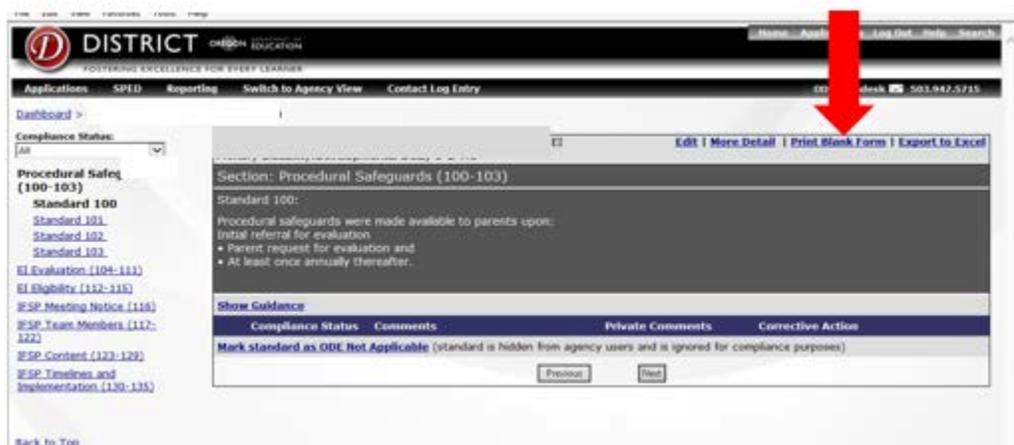
To view demographic information for all files at once, click on **More Detail** located in the File Info box. Information was based on the December 2017 SECC data collection.

The **More Detail** section located in the **Standard Info** box provides a quick summary of the compliance status for individual files, including the number of applicable standards and compliance status for each file and verification of any necessary corrections. An additional column indicates ODE verification of the submitted data. Click on “**Less Detail**” to remove all demographic information except for the child’s name and file category.

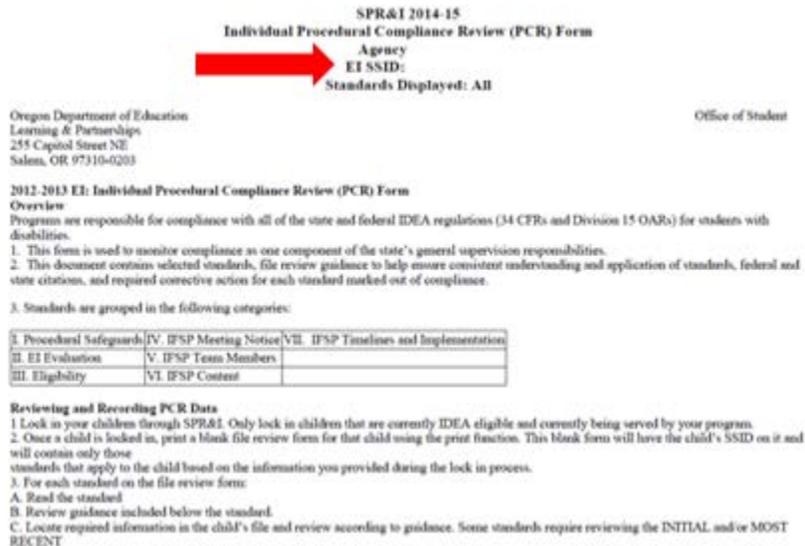


Step 5: The PCR Review Form

After your files have been locked in, print a copy of the PCR Review Form for each child by double clicking on the child’s name and then on **Print Blank Form** in the information box.



The PCR form will show the **Agency name, the child’s SSID number, and the applicable category of standards for the child (EI, ECSE, or EI Transition).**



Step 5: The PCR Review Form (continued)

ODE recommends completion of file reviews using the printed **PCR form** (above) for entering the data into the system. Each Individual standard on the printed PCR form includes ODE guidance and the required corrective actions if the standard is not in compliance.

We also recommend that you retain copies of any printed PCR review forms or materials you use in to complete your correction process. This will assist in facilitating ODE’s review during any verification monitoring activities¹.

¹ Verification monitoring is an additional process that ODE uses to confirm validity of data in the PCR self-evaluation process.

Step 6: Entering Your Data into the System

Select “**Not Entered**” in the **Display Standards** box to initiate the data entry process. The **Compliance Status** box lists the various compliance areas, followed by the standards that apply to the selected file. The drop down menu allows sorting by other criteria (e.g., “All” or by compliance status). In the **Compliance Status** box in the individual standard, click on “**Not Reviewed**” and then select the appropriate response from the drop-down menu (e.g. yes, no, NA, or corrected).

The screenshot displays the user interface for entering data. On the left, a navigation menu includes 'Dashboard > ECR 2014-15 > G'. The 'Display Standards' dropdown is set to 'Not Entered'. The 'Compliance Status' dropdown is set to 'Not Reviewed'. The main content area shows 'Primary Disability: Developmental Delay 0-2 Yrs' and 'id Type: EI'. The 'Section: Procedural Safeguards (100-103)' is selected. Under 'Standard 100', the text reads: 'Procedural safeguards were made available to parents upon: Initial referral for evaluation • Parent request for evaluation and • At least once annually thereafter.' Below this, there is a 'Show Guidance' link and a table with columns 'Compliance Status' and 'Comments'. The 'Compliance Status' dropdown is set to 'Not Reviewed' and the 'Comments' text area is empty. At the bottom, there are buttons for 'Save and Previous', 'Save', and 'Save and Next'.

Step 6: Entering Your Data into the System (continued)

Select the appropriate **Compliance Status** for the standard you are reviewing, add a comment if required or to explain the circumstances, and then click on one of the **“Save”** options. **“Save and Previous”** will save your work and then display the previous standard; **“Save and Next”** will save your work and then display the next standard that requires review.

Dashboard > PCR 2014-15 > ODE Contact

Display Standards: [Not Entered]

Compliance Status: [Not Reviewed]

Procedural Safeguards (100-103)

Standard 100

Standard 101

Standard 102

Standard 103

El Evaluation (104-111)

El Eligibility (112-115)

IFSP Meeting Notice (116)

IFSP Team Members (117-122)

IFSP Content (123-129)

IFSP Timelines and Implementation (130-135)

Primary Disability: Developmental Delay 0-2 Yrs

Section: Procedural Safeguards (100-103)

Standard 100:

Procedural safeguards were made available to parents upon:

Initial referral for evaluation

- Parent request for evaluation and
- At least once annually thereafter.

Show Guidance

Compliance Status	Comments
<input type="radio"/> Not Reviewed <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Corrected	Date safeguards initially sent: <input type="text"/> Date most recent safeguards sent: <input type="text"/>

Save and Previous Save Save and Next

Tip: You can use the keyboard by pressing Alt-P (Previous), Alt-S (Save), and Alt-N (Next). (Optional: Alt-P, etc. in Firefox)

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Note We strongly recommend that you correct as you go. It is not necessary to wait for ODE verification to begin making corrections on individual standards. See page 22 for information about making corrections.

Step 6: Entering Your Data into the System (continued)

You may add comments to any standard, but if you entered **No** or **N/A**, a **comment** must be included that describes what was out of compliance or why the standard was not applicable. To simplify the process, the SPR&I system may automatically insert a typical response. You can edit this response or replace it with a different comment if you wish.

The screenshot displays the SPR&I system interface for entering data. On the left, there is a navigation menu with categories like 'Procedural Safeguards (300-303)', 'ECSE Evaluation (304-308)', and 'ECSE Eligibility (309-315)'. The main content area shows the 'Section: Procedural Safeguards (300-303)' and 'Standard 300: Procedural safeguards were made available to parents upon:'. A red arrow points to the 'Comments' field, which contains the text: 'Date safeguards initially sent: 9/27/2013, Date most recent safeguards sent: 9/29/2014'. Below the comments field is a 'Compliance Status' dropdown menu with 'Yes' selected. At the bottom, there are three buttons: 'Save and Previous', 'Save', and 'Save and Next'. A tip at the bottom reads: 'Tip: If you are on the Compliance Status dropdown and you press the first letter of the status, you'll select that status.'

Note: ODE County Contacts closely review these comments, so please explain any unusual circumstances, provide specific details, and be concise.

Step 7: Double Checking Your PCR Entries

To check on progress or to double check your data before submitting to ODE, look in the **Standard Info** column that shows the number of standards that were not reviewed. Click on **“More Detail”** in the **Standard Info** box to show more information, including the number of standards marked No, Yes, NA, and Corrected. In the example below, “More Detail” for Standard Info was clicked and is therefore not visible in the screen (it would be where **“Less Detail”** is, which you can click on to return to the screen without standard information detail.)

ODE **completes** the **“Correction Verified”** column. We may mark a standard **“Pending”** if further information is needed from you.

Applications **SPED** Reporting Switch to Agency View Contacting Entry

Dashboard > PCR 2014-15

School Year: 2014-15 Agency: [] Advanced Filter: All Details View Reports

Agency	File Info		More Detail		Status	Standard Info				Less Detail				Total
	Child Type	First Name	Last Name			Not Reviewed	No	Yes	N/A	Cor	Cor Ver	Pend	ODE	
EI					Locked	0	0	33	3	0	0	0	0	36
EI					Locked	0	1	33	2	0	0	0	0	36
EI					Locked	36	0	0	0	0	0	0	0	36
EI					Locked	0	1	33	2	0	0	0	0	36
ECSE					Locked	0	0	31	8	0	0	0	0	39
ECSE					Locked	39	0	0	0	0	0	0	0	39
ECSE					Locked	0	1	30	8	0	0	0	0	39
ECSE					Locked	39	0	0	0	0	0	0	0	39
EI Transition					Locked	5	0	0	0	0	0	0	0	5
EI Transition					Locked	0	0	5	0	0	0	0	0	5
EI Transition					Locked	0	0	4	1	0	0	0	0	5
EI Transition					Locked	5	0	0	0	0	0	0	0	5
Total:						124	3	169	24	0	0	0	0	320

12 Files: 4 EI, 4 ECSE, 4 EI Transition

Add File

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Step 8: Submitting Your PCR Data to ODE

Once you have entered all of the information for all of your files, you can submit your data to ODE for verification. At this point a “**Submit All PCR Files**” *button* will appear. ²

Program: Demo 677

School Year: 2010-11

Click the Submit button below to notify ODE that your PCR file review is complete.



Files listed in **bold** require action.

File Info		More Detail		Standard Info	
Child Type	First Name	Last Name	Status	Not Reviewed	Total
School Age	DARRIN	Thomas	Locked	0	33
School Age	Brendan	TOLEDO	Locked	0	24
School Age	TRISTA	Webb	Locked	0	27
Charter	Scott	DAY	Locked	0	30
Total:				0	114

4 Files: 3 School Age, 1 Charter

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² Student names used in this example are fictitious.

Don't forget to click on the "Submit" button!

**This year's PCR submission due date is
February 1, 2019.**



Step 9: ODE Verification

ODE staff will begin our verification process after the PCR submission due date **(February 1, 2019)**.

If ODE staff agrees with your compliance rating, they will verify your rating by selecting “Yes” under **Compliance Status**.

If staff disagree with your rating, or have questions for clarification, they may mark the standard with a different rating than you used, such as “No” or “Pending”. These responses generally require more work by your program in order to finish the PCR process.

Primary Disability: Developmental Delay 0-2 Yrs
 Section: Procedural Safeguards (100-103)
 Standard 100:
 Procedural safeguards were made available to parents upon:
 Initial referral for evaluation
 • Parent request for evaluation and
 • At least once annually thereafter.

[Show Guidance](#)

Compliance Status	Comments
<input type="checkbox"/> Uncertain Not Verified Yes No Correction Verified Other Correction Pending ODE N/A	ODE agrees that this standard is compliant. Enter comments on compliance here
Compliance Status	Comments
2/12/2014 Agency Yes	Date safeguards initially sent: 9/16/2013, Date most recent safeguards sent: 9/16/2013

ODE tracks and reports all noncompliance through to 100% correction in our Annual Performance Review (APR), which we submit to the US Dept. of Education, Office of Special Education Programs (OSEP).

Step 10: Correction of Any PCR Noncompliance

All noncompliance resulting from your PCR is corrected through individual file corrections and/or additional file reviews.³ Specific instructions for correction of each indicator appear in the review screen in the window labeled “**Corrective Action**”. Further **Guidance** is available on the PCR review form.

Once you have completed your correction, choose “**Corrected**” from the drop down menu into the Compliance Status box. You will also need to enter information under Comments in the data entry box(es). You must complete these boxes in order for ODE staff to verify your correction.

The screenshot displays the SPR&I File Review User Guide interface. On the left, a sidebar lists navigation options such as 'Display Standards', 'Compliance Status', and 'Procedural Safeguards (300-303)'. The main content area shows a form for 'Standard 300' with a 'Compliance Status' dropdown menu set to 'Corrected'. A blue arrow points to this dropdown. The 'Corrective Action' section contains text: 'Send Procedural Safeguards to parents immediately. Include date safeguards were provided to parents in SPR&I. Review additional files where this event occurred after the incidence of noncompliance (enter SSD and compliance status information in the Additional Review section of the SPR&I application)'. A red arrow points to this text. Other elements include a 'Show Guidance' link, a 'Comments' field, and 'Date' input fields for 'Date safeguards initially sent' and 'Date most recent safeguards sent'. A tip at the bottom reads: 'Tip: If you are on the Compliance Status dropdown and you press the first letter of the status, you'll select that status.'

Note: It is not necessary to wait for ODE staff to complete verification of your initial file review in order to begin making corrections on individual standards.

Step 10: Correction of PCR Noncompliance (continued)

Complete corrections **as soon as possible**, but in any case no later than one year from written notification from ODE of a finding (April 14) ODE recommends that you complete your corrections quickly because:

³ See page 22 for more information about additional file reviews.

- Corrections take time. For example, correction of a standard that requires an IFSP meeting (and then additional file reviews) may take longer to complete than one that requires a mailing a form.
- If Systemic Issues occur, you will need to complete the individual correction a systemic intervention, and additional file reviews.⁴

Most importantly...

- Noncompliance in certain ECSE standards may mean that a child is not receiving **FAPE**. These standards must be corrected quickly to assure that the child receives his or her educational entitlements.

Once ODE's verification process is completed and all of your necessary individual file corrections are complete, the light on your dashboard for "Individual [file] Corrections" will change to green. Now it is time to move on to Additional [file] Reviews.



Additional File Reviews

After you have corrected each standard that was out of compliance, the SPR&I system will require you to complete **Additional File Review(s)** to determine whether this instance of noncompliance was an isolated one. Some standards require only additional file review(s) for correction. We recommend that you complete *all* of your individual corrections before you begin reviewing additional files.⁵

⁴ See page 27 for information about Systemic Issues.

⁵ See page 21 for more information about PCR corrections.

Dashboard OOE Contact:

Program: 2013-14

2013-14 Procedural Compliance Review

-  **Individual Corrections**
Corr. before 4/14/15
100% Compliant
-  **Additional Reviews**
Corr. before 4/14/15
0/2 Completed
-  **Systemic Issues**
Corr. before 4/14/15
Additional Reviews Incomplete

2013-14 Other Compliance

-  **Final Determination:** None At This Time
-  **Focused Monitoring:** None At This Time
-  **Miscellaneous:** None At This Time

PCR & Indicators: Other Years

-  **2014-15**
Requires Action
-  **2012-13**
100% Compliant
-  **2011-12**
100% Compliant

2013-14 Compliance and Performance Indicators (2012-13 Data)

 Federal Placement: EI: C2 Meets Requirements	 Child Identification: ECSE Meets Requirements
 Child Identification: Birth to One: C5 Meets Requirements	 Federal Placement: ECSE: B6 Improvement Plan Meets Requirements
 Child Identification: Birth to Three: C6 Meets Requirements	 Child Find (B11) Meets Requirements

Determination Status

FFY 2010 Meets Requirements

FFY 2011

FFY 2012

Updates

B9 and 10 10/08/2014

B 9 and 10 reports are now live. If you have a red light the due dates are as follows: Worksheet: 11/7/14...

Program Staff

Note: This screen is an example based on a previous year's Procedural Compliance Review. The due dates above do not apply to the 2018-19 review.

Additional File Reviews (continued)

Step 1: How Many Files Will You Need to Review?

The number of files that you need to select for additional file reviews will depend on the number you reviewed during your PCR. This number is generated automatically by the system, and you will need to review the required number for each missed standard.

Program Size	Required # of files for initial PCR	Required # of files for Additional File Review
Very Small (1-99 SECC)	9 (3 for each category)	2
Small (100-499 SECC)	12 (4 for each category)	2
Medium (500-999 SECC)	24 (8 for each category)	4
Large (1000+ SECC)	30 (10 for each category)	6

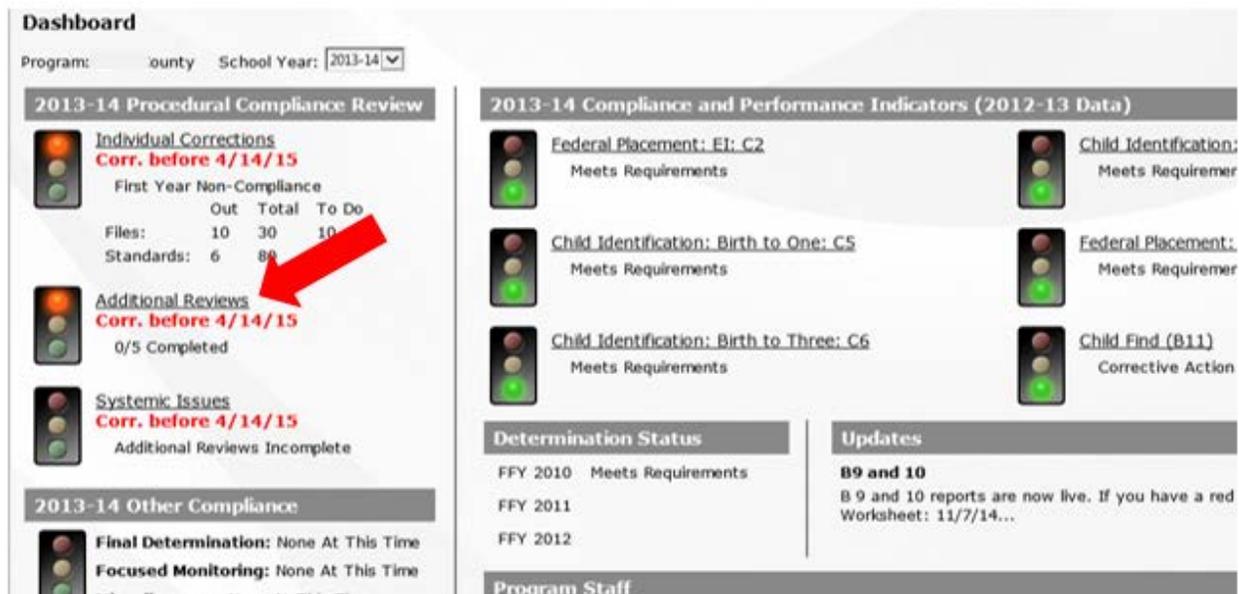
NOTE: If the child you entered into the system is no longer enrolled in your program, contact your ODE County Contact for guidance.

Additional File Reviews

Step 2: Selecting Your Files

Select files in which the information you are reviewing occurred after the date of noncompliance in your initial review of the standard (s).

You may select files for each standard you need to review, but we strongly recommend that you use the SSID Master Summary. Find this by clicking on **Additional Reviews** on your dashboard.



Note: This screen is an example based on a previous year's Procedural Compliance Review. The due dates above do not apply to the current review.

Using the Master SSID Summary list is optional, but it can help reduce the amount of time required to complete your additional file reviews, *especially* if you have more than one standard out of compliance.

When using the Master SSID list, select files that cover the majority of noncompliant standards. The Master SSID Summary will automatically give you the correct number of file spaces for your additional file review(s).

If a standard you need to do additional reviews for does not apply to a file on the Master SSID Summary, do not change the Master SSID summary. Instead, when you click on an individual standard in the additional review list, after you have completed interventions a corrective file review tab will open. Click on “**Add SSID**” and enter the SSID number for a file in which the standard is applicable.

Note: You can print a blank form from this page for your additional file reviews by clicking on **Print Blank Form** (for EI or ECSE.) You don’t have to use the entire form, just use the standards that need additional reviews.

SSID Master List

- The SSID Master List is used to automatically populate the SSID list for each standard requiring additional review.
- This list should be completed before beginning any additional reviews.
- If your agency doesn't have enough files available to completely fill the list, contact your county contact so they can adjust the number of SSIDs required

EI
[Show Master SSID Summary](#)

	SSID
Delete Edit	
Delete Edit	
Delete Edit	

ECSE
[Show Master SSID Summary](#)

	SSID
Delete Edit	
Delete Edit	
Delete Edit	

Additional Review List

Type	#	Standard Text	Status
EI	103	Written consent was obtained for EI Services. Include the date of consent.	Additional Review Incomplete
EI	118	EI IFSP team members included parent(s) at 6 month review (Chose NA only if this is the...	Additional Review Incomplete
EI	132	The EI IFSP was reviewed at least every six months.	Additional Review Incomplete
EI	135	IFSP Progress Reviews with parents: Occurred every six months, or more frequently if...	Additional Review Incomplete
ECSE	300	Procedural safeguards were made available to parents upon: Initial referral for...	Additional Review Incomplete

Additional File Reviews

Step 3: Entering Your Data

When you are ready to enter the results of your additional file review, there will be two choices for the compliance status for your correction (**Yes** or **No**.) You may also enter a **Comment for** clarification.

Standard 201 - Additional Review Incomplete

The child's EI IFSP contains/contained transition steps and services. Transition steps were developed at least 90 days, and at the discretion of all parties third birthday.

Additional File Review

- The additional file review is required for all standards with noncompliance.
- If additional non-compliance is found during this review, the non-compliance is considered systemic for that standard and the agency is required to complete a corrective file review.
- Some standards do not apply to all SSIDs. If an SSID in the master SSID list doesn't apply to this standard, it should be replaced with an SSID that is applicable SSIDs available, select "Not Applicable" for the remaining SSIDs.
- Comments are not required. If comments are entered, ODE will need to verify the review.

Master SSID List	SSID	Compliance Status	Agency Comment
<input type="text"/>	<input type="text"/>	<input type="button" value="Not Reviewed"/> <input type="button" value="Yes"/> <input type="button" value="No"/>	<input type="text" value="[No comment]"/>

Note: In rare cases, an N/A can be used during this step **only** if N/A was an acceptable response for that standard in the initial review **and** there are no other files available to review for this standard.⁶

Click on the “**Save Review**” button after you have entered your information!

If during your additional file reviews, you find that any of the standards you are reviewing are noncompliant, this standard becomes a **Systemic Issue**. The next step will be to complete interventions and subsequent corrective file reviews to demonstrate compliance.⁷

Systemic Issues

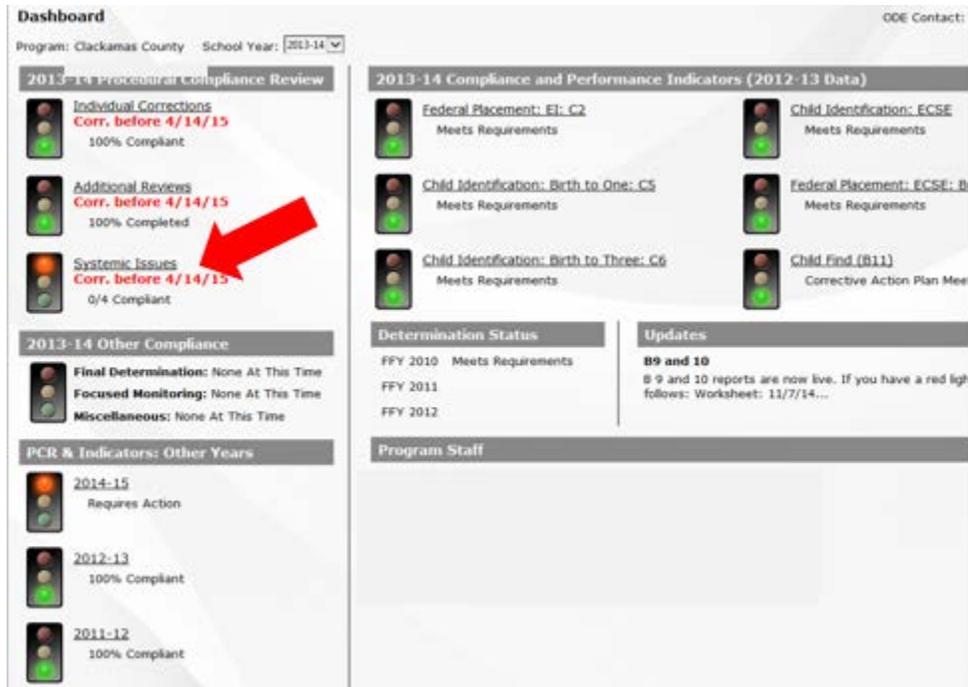
Systemic Issues are triggered in the SPR&I system when...

- More than 33% of your files are out of compliance for a specific standard during the initial Procedural Compliance Review; and/or
- You report noncompliance of a standard during the Additional File Review process.

⁶ See MEMO 09-02, US Dept. of Education, Office of Special Education Programs

⁷ See “Systemic Issues” on page 27 for more information.

To correct a Systemic Issue, you must complete at least one intervention and a corrective review (additional file review) for each standard that is out of compliance.



You will not be able to begin to work on your Systemic Issues until your **Systemic Issues** light is red.

Note: This screen is an example based on a previous year's Procedural Compliance Review. **The due dates above do not apply to the current review.**

Systemic Issues (continued)

To correct Systemic Issues (noncompliance) in the system, you will need to:

1. Complete individual file corrections as needed;
2. Complete interventions for specific standards;
3. Complete "Corrective" (additional) file reviews after you complete the intervention(s).

Clicking on the Systemic Issues light on your dashboard will take you to the **Systemic Issue List**.

Dashboard > Systemic Issues 2013-14 ODE Contact:

School Year: 2013-14

Interventions Master List

- Interventions are actions taken by the agency to address systemic non-compliance.
- The Interventions Master List is used to add an Intervention to all Systemic Issues at once.
- To add an Intervention to a single standard, click the standard in the Systemic Issues List and add the Intervention on the detail page.
- Choose "Other" to enter an intervention that is not one of the primary options.

	Intervention	Estimated Completion Date	Actual Completion Date
Delete Edit	Meet with individual staff members (including regular education staff, as appropriate)	8/27/2014	8/27/2014

[Add Intervention](#)

Systemic Issue List

- Systemic Issues are standards that show evidence of systemic non-compliance
- A standard is considered to have systemic non-compliance if more that one-third of the files originally reviewed were out of compliance or if non-compliance was fou additional review for that standard.
- The type of systemic non-compliance is indicated in the "Reason" column below.

Reason	Type	#	Standard Text	Status
>33%	ECSE	328	The current ECSE IFSP includes a statement of Present Levels of Development including: ...	Corrective Review Incomplete
>33%	ECSE	340	The child's educational placement: Was determined by a group of persons, including the...	Corrective Review Incomplete

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Step 1: Wrapping Up Individual File Corrections

You will need to complete any remaining individual file corrections before you proceed to identifying and completing interventions for Systemic Issues. The procedure for completing corrections is the same as that described in Step 10 of the 2018-19 Procedural Compliance Review entitled, "Correction of PCR Non-compliance. See page 22 for this procedure.

Systemic Issues (continued)

Step 2: Completing Interventions for Specific Standards

“Interventions” are actions taken by your program to address Systemic Issues (non-compliance.) The **Interventions Master List** applies an Intervention to all Systemic Issues at the same time. Click on one of the listed standards under the **Standard Text heading** in the **Systemic Issues List...**

Dashboard > Systemic Issues 2013-14

School Year: 2013-14

Interventions Master List

- Interventions are actions taken by the agency to address systemic non-compliance.
- The Interventions Master List is used to add an Intervention to all Systemic Issues at once.
- To add an Intervention to a single standard, click the standard in the Systemic Issues List and add the Intervention on the detail page.
- Choose "Other" to enter an intervention that is not one of the primary options.

Intervention	Estimated Completion Date	Actual Completion
Meet with individual staff members (including regular education staff, as appropriate)	8/27/2014	8/27/2014

[Add Intervention](#)

Systemic Issue List

- Systemic Issues are standards that show evidence of systemic non-compliance
- A standard is considered to have systemic non-compliance if more than one-third of the files originally reviewed were out of compliance or if non-compliance is noted in the "Reason" column below.
- The type of systemic non-compliance is indicated in the "Reason" column below.

Reason	Type	#	Standard Text	Status
>33%	ECSE	328	The current ECSE IFSP includes a statement of Present Levels of Development including: ...	Corrective Review Incomplete
>33%	ECSE	340	The child's educational placement: Was determined by a group of persons, including the...	Corrective Review Incomplete

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...and select “**Add Intervention**” to reach a list of suggested interventions for that standard (see next page for example.)

Dashboard > Systemic Issues 2013-14 > Standard 340

Standard 340 - Intervention Incomplete

The child's educational placement:

- Was determined by a group of persons, including the parents, and other persons knowledgeable about the child, the meaning of the evaluation data (options);
- If the parent did not participate, includes documentation that the parent was invited.
- Is based on the child's current IFSP;
- Was made in conformity with the requirements of Least Restrictive Environment (LRE) (200.114-200.118);
- Is as close as possible to the child's home, or
- If the placement is not as close as possible to the child's home, the documentation describes supplementary aids and services attempted or considered in a setting closer to home.

Interventions

- Interventions are actions taken by the agency to address systemic non-compliance.
- Choose "Other" to enter an intervention that is not one of the primary options.
- Interventions entered in the Interventions Master List must be edited and deleted in the Intervention Master List.

Intervention	Estimated Completion Date	Actual Completion
Meet with individual staff members (including regular education staff, as appropriate)	8/27/2014	8/27/2014

[Add Intervention](#)

Systemic Issues (continued)

Step 2: Completing Interventions for Specific Standards (continued)

Example: Suggested **Interventions** for ECSE standard 328:

Standard 328 - Intervention Incomplete

The current ECSE IFSP includes a statement of Present Levels of Development including:

- A description of the child's strengths and interests
- The present level of developmental and functional performance
- How the child's disability affects their involvement and progress in appropriate activities.
- The child's pre-literacy, language and numeracy skills if the child has needs in these areas.

Interventions

- Interventions are actions taken by the agency to address systemic non-compliance.
- Choose "Other" to enter an intervention that is not one of the primary options.
- Interventions entered in the Intervention Master List must be added and deleted in the Intervention Master List.

Intervention	Estimated Completion Date	Actual Completion Date
<input type="checkbox"/> Meet with individual staff members (including regular education staff, as appropriate) <input type="checkbox"/> Use peer mentors to train staff (including regular education staff, as appropriate) <input type="checkbox"/> Staff will attend workshops (including regular education staff, as appropriate) <input type="checkbox"/> Send memorandum to staff (including regular education staff, as appropriate) <input type="checkbox"/> Revise written special education procedures <input type="checkbox"/> Revise staff handbook <input type="checkbox"/> Review procedures at department meeting(s) <input type="checkbox"/> Meet with individual staff members (including regular education staff, as appropriate) <input type="checkbox"/> Administrator observes IEP/IFSP meeting(s) <input type="checkbox"/> Conduct in-service with staff <input type="checkbox"/> Arrange staff training by non-district personnel <input checked="" type="checkbox"/> Other	8/27/2014	8/27/2014

Single standard interventions - If you want to add an Intervention for one single standard only, click on “**Other**” and manually add the intervention.

In either case, be sure to enter the **Estimated Completion Date**. When you have completed your intervention, be sure to enter the **Actual Completion Date**.

Be sure that the **Estimated Completion Date** of your intervention allows sufficient time within the one year correction period to complete all the required steps (for example, completing the intervention and corrective file reviews to verify compliance post-intervention.⁸⁾

Note: Make sure to click **Update** when you have finished your work.

⁸ See page 31 for information regarding Corrective File Reviews.

Systemic Issues (continued)

Step 3: Corrective File Review(s)

After the intervention(s) for your Systemic Issue(s) are completed, you will need to verify the effectiveness of your intervention(s) through a Corrective File Review in which the activity in the standard occurred **after** the date you completed your intervention(s). The **Corrective File Review** tab will become available to enter SSID numbers and indicate compliance status during your Corrective File Review.

For your **Corrective File Review**, select only those files in which the action in the standard occurred **after** the **intervention** completion date. In the example below, the program completed the intervention and needed to review the Family Outcomes page from **three files** with IFSPs dated after **the actual completion date of the intervention**⁹.

Standard 331 - Corrective Review Compliant

Family outcomes (with concurrence of family):
 A statement of family priorities and concerns;
 • A statement of family resources available or needed;
 • Steps to address family's priorities and concerns;
 • Timelines
 • Person responsible for steps to address family priorities and concerns (service coordinator, etc.)

Mark "NA" if there is documentation if the family declines.

Interventions | **Corrective File Review**

- The corrective review provides evidence that the agency has successfully corrected the systemic issue.
- The files used in the corrective review must be applicable to the given standard and show evidence of compliance **after** the relevant
- If your agency doesn't have enough files available to completely fill the list, your county contact can adjust the number of SSIDs rec

	SSID	Corrective Review Date
Edit		9/24/2014
Edit		9/24/2014
Edit		9/24/2014

Note: The end/due date for the completion of this process is one year from your notice of findings (April 14, 2019 for 2017-18).

⁹ To see where **Actual Completion Dates** are located in the system, refer to **Completing Interventions for Specific Standards** on page 30.

Systemic Issues (continued)

Step 3: Corrective File Review (continued)

When you have indicated in the system that your corrective file reviews were completed and in compliance, the **light on your dashboard for Systemic Issues** will turn green.

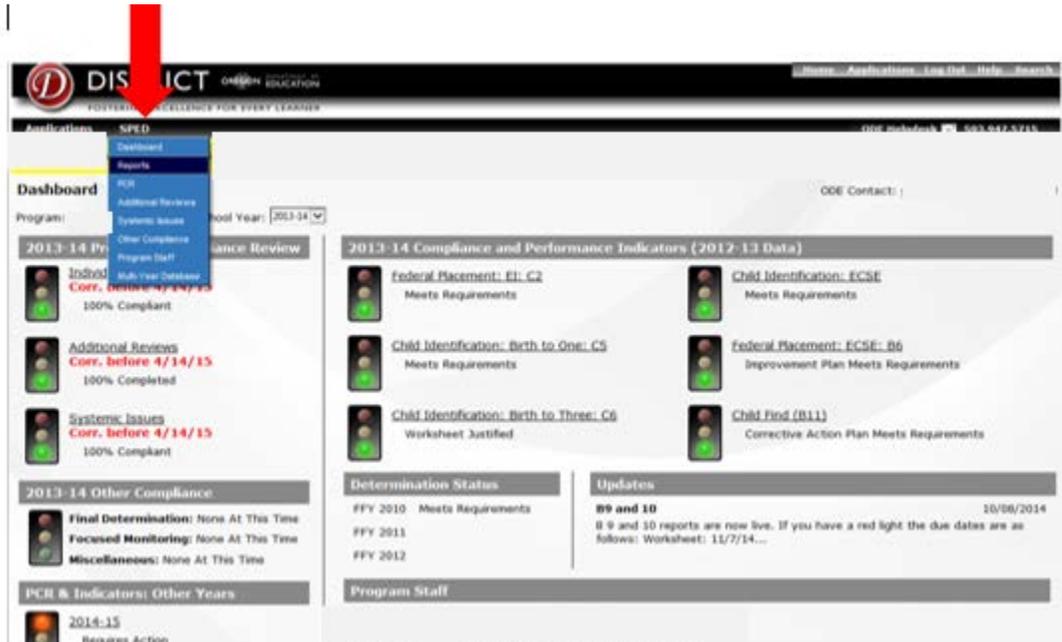
The screenshot shows a dashboard with the following sections:

- 2013-14 Procedural Compliance Review:**
 - Individual Corrections: Corr. before 4/14/15, 100% Compliant (Green light)
 - Additional Reviews: Corr. before 4/14/15, 100% Completed (Green light)
 - Systemic Issues: Corr. before 4/14/15, 100% Compliant (Green light) - **Red arrow points here.**
- 2013-14 Other Compliance:**
 - Final Determination: None At This Time (Green light)
 - Focused Monitoring: None At This Time (Green light)
 - Miscellaneous: None At This Time (Green light)
- PCR & Indicators: Other Years:**
 - 2014-15: Requires Action (Red light)
 - 2012-13: 100% Compliant (Green light)
 - 2011-12: 100% Compliant (Green light)
- 2013-14 Compliance and Performance Indicators (2012-13 Data):**
 - Federal Placement: EI: C2: Meets Requirements (Green light)
 - Child Identification: ECSE: Meets Requirements (Green light)
 - Child Identification: Birth to One: C5: Meets Requirements (Green light)
 - Federal Placement: ECSE: B6: Improvement Plan Meets Requirements (Green light)
 - Child Identification: Birth to Three: C6: Worksheet Justified (Green light)
 - Child Find (B11): Corrective Action Plan Meets Requirements (Green light)
- Determination Status:**
 - FFY 2010: Meets Requirements (Green light)
 - FFY 2011: (Green light)
 - FFY 2012: (Green light)
- Updates:**
 - B9 and 10** 10/08/2014
 - B 9 and 10 reports are now live. If you have a red light the due dates are as follows: Worksheet: 11/7/14...
- Program Staff:** (Empty section)

This completes the PCR process!

SPR&I Reports

You can print a number of reports using the SPR&I database. In addition to extensive data provided for each indicator under their reports tab, you can access the multi-year database and other reports by clicking on **SPED**.

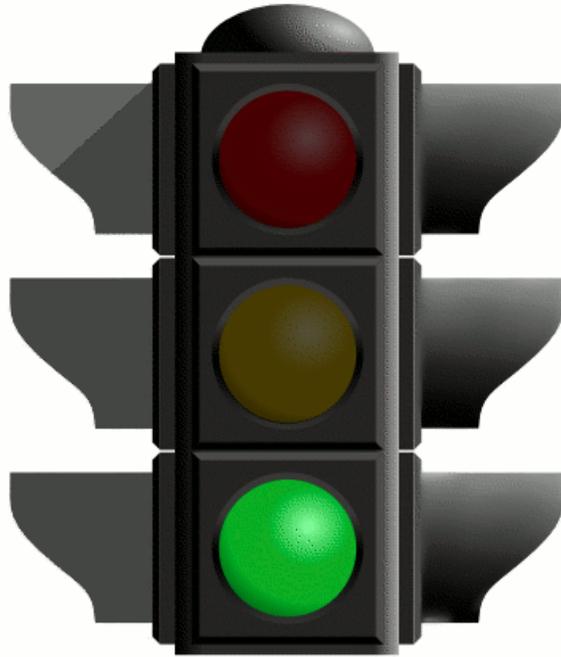


When you click on “Reports” in the drop down menu, you will arrive at the screen below. Click on any of the reports to open them for your program. Note that some of the reports are for **Indicators**, and will give you information about their current status.



If you have any questions, please call your ODE County Contact. ODE staff welcomes the opportunity to provide you with assistance!

May all your lights be green!



Addendum:

EI/ECSE SPR&I Flow Chart

