

EI Transition: Individual Procedural Compliance Review (PCR) Form

Overview

Programs are responsible for compliance with **all of the state and federal IDEA regulations (34 CFRs and Division 15 OARs)** for students with disabilities.

1. This form is used to monitor compliance as one component of the state’s general supervision responsibilities.
2. This document contains selected standards, file review guidance to help ensure consistent understanding and application of standards, federal and state citations, and required corrective action for each standard marked out of compliance

Reviewing and Recording PCR Data

1. Lock in your children through SPR&I. Only lock in children that are currently IDEA eligible and currently being served by your program.
2. Once a child is locked in, print a blank file review form for that child using the print function. This blank form will have the child’s SSID on it and will contain only those standards that apply to the child based on the information you provided during the lock in process.
3. For each standard on the file review form:
 - A. Read the standard
 - B. Review guidance included below the standard.
 - C. Locate required information in the child’s file and review according to guidance. Some standards require reviewing the **INITIAL** and/or **MOST RECENT** document.
 - D. Rate each standard by marking the appropriate response:

<input type="radio"/> Yes (Meets Requirement Requirement)	<input type="radio"/> No (Does Not Meet)	<input type="radio"/> N/A (Not Applicable)
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 - E. Include an explanatory comment for every standard identified as “No” or “N/A.”

How to Read this Form:

	I. EI Transition	Comments/Corrective Action
Item # and response choices listed here: 200	The item to review is listed here.	<input type="radio"/> Yes <input type="radio"/> No This area is for clarifying comments for those items you answer “No” or “NA” or which may require additional documentation to substantiate compliance.
Guidance for the item above is listed here. Please note, the guidance is not comprehensive and does not address all points of the law.		Corrective action for each standard is included at the end of this document.

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Corrective Action Guide (CAG)

Noncompliance must always be corrected as soon as possible. Whenever possible, noncompliance must be corrected at the individual file level. Additionally, ODE requires evidence of current compliance through additional files reviews. Some noncompliance cannot be corrected due to the nature of the standard (e.g., missed timelines) or due to child circumstance (e.g., no longer eligible, moved out of the program area) and therefore require additional files to be reviewed to establish evidence of correction/compliance.

ODE requires additional follow up for systemic noncompliance. If further noncompliance is identified after completing the additional file review, the noncompliance is considered systemic.

In the case of **non-systemic noncompliance** (<33% of files show noncompliance for any single standard) ODE requires LEAs to:

- Report the required corrective action and the date it was corrected in SPR&I for standards that can be corrected at the individual file level; and
- For all standards with noncompliance, including those that cannot be corrected at the individual student file level, conduct an analysis for the cause(s) of noncompliance and review additional files. If the standard involved a particular age linked requirement (e.g., ECSE, school age, transition), disability type, or files from a unique program, the additional files to be reviewed need to target that age, disability type or program. Report the SSID and compliance status for each additional file reviewed in the SPR&I database.

In the case of **systemic noncompliance** (>33% of files out on any single standard or additional noncompliance found through additional file review), ODE requires programs to:

- Report required corrective action and date corrected in SPR&I for standards that can be corrected at the individual file level;
- Conduct an analysis of the cause(s) for the noncompliance and choose appropriate intervention;
- Document the projected and actual dates of completion of the intervention in SPR&I;
- Conduct a second review of files on the same standard where evidence of compliance occurs after intervention;
- Report number of compliant files (must be 100% of files reviewed after training/intervention for ODE approve correction) in SPR&I.

How to Read this Form:

I. Procedural Safeguards		Comments	
Item #:	The item to review is listed here.	<input type="radio"/> Yes	<input type="radio"/> No
100		This area is for clarifying comments for those items you answer "No" or "NA" or which may require additional documentation to substantiate compliance	
Guidance for the item above is listed here. Please note, the guidance is not comprehensive and does not address all points of the law.			

Corrective action by standard is listed at the end of the document.

EI Transition Identifying Information				
Name	First:	Last:	Date of birth : __/__/__	SSID
Race/ethnicity		Additional Information		
		Primary disability:	Did the EI/ECSE program or the school district conduct evaluation? _____ If district, provide district name: _____	
EI Required Dates				
Referred to EI program on: __/__/__		Transition Conference: <input type="checkbox"/> Yes <input type="checkbox"/> No Date: __/__/__		EI Eligibility: __/__/__
ECSE Required Dates				
ECSE eligibility: <input type="checkbox"/> Yes <input type="checkbox"/> No Date: __/__/__			Initial ECSE IFSP: __/__/__	

Eligibility and Census Verification

Eligibility and Census Verification		Comments		
	<p>The child file being reviewed includes:</p> <ul style="list-style-type: none"> 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. The child completed the transition from EI to ECSE. <p>Mark NA if the child entered the program after December 1st of the census year and proceed with the file review.</p> <p>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.</p>	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> NA
<p>Guidance: This question is for tracking purposes only; it is not a compliance question. The file review can continue with the selected file as long as the file has not lapsed.</p> <p>A. There must be a statement of eligibility, signed by the eligibility team, in effect by the child's enrollment. Check the child's educational record for this document.</p> <p>B. There must be an IFSP in the child's educational record that was <i>in effect</i> by child's enrollment in the program. Check the child's educational records for this document.</p> <p>C. A child's IFSP must contain specially designed instruction. Check the service summary on the child's IFSP for documentation of specially designed instruction.</p> <p>D. When possible choose a child who was enrolled in the program on December 1st of the special education census year reviewed. The child must have completed the transition from EI to ECSE by the time of file review and submission. Check the child's educational records for documentation that the child was enrolled in the program on December 1st. Examples of documents that satisfy proof of enrollment include dates of IFSP meetings, notes from service providers, and child performance data.</p> <p>Documentation for children <i>enrolled in the program</i> but receiving services outside the program may include Interdistrict Agreements, contact logs, and attendance reports from service providers (e.g., state or regional programs).</p>				

EI Transition

EI Transition		Comments		
200	<p>A transition conference occurred at least 90 days and, at the discretion of the parties involved, not more than 9 months prior to the child's third birthday. Choose "NA" only if the delay was caused by parents and provide an explanation of what happened.</p> <p>34 CFR §§300.301, 303.209; OAR 581-015-2805</p>	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> NA
<p>Guidance 200: If the conference occurred less than 90 days prior to the child's third birthday, provide the reason. 581-015-2805(2)(b) With the approval of the child's family and in accordance with OAR 581-015-2810, a transition meeting to establish a transition plan must be held at least 90 calendar days, and at the discretion of the parties, not more than nine months before the child's third birthday.</p>				
201	<p>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 not more than nine months prior to the third birthday. Please note the date transitions steps and services were added to the IFSP or discussed at an IFSP meeting.</p> <p>34 CFR §303.344; OAR 581-015-2805</p>	<input type="radio"/> Yes	<input type="radio"/> No	Date:
<p>Guidance 201: There should be clear documentation of what the steps are. Steps should indicate procedures to prepare the child for changes in service delivery, including steps to help the child adjust to and function in a new setting, or, if appropriate, steps to exit from the program. Transition steps must be developed at least 90 days, and at the discretion of all parties not more than nine months prior to the third birthday. Document the date transition steps were added, or the date that they were discussed at a transition conference. If the transition steps were reviewed at a transition conference/IFSP meeting within the timeline and documented, mark this item as compliant.</p>				

202	ECSE Eligibility was determined prior to the child’s third birthday. Choose “NA” only if the delay was caused by parents and provide an explanation of what happened. 34 CFR §§300.124, 303.209, 303.344; OAR 581-015-2810	O Yes	O No	O NA

Guidance 202

203	An ECSE IFSP was developed and in effect by the child's third birthday. Choose “NA” only if the delay was caused by parents and provide an explanation of what happened. 34 CFR §300.124; OAR 581-015-2830	O Yes	O No	O NA

Guidance 203: The ECSE IFSP is in place and resources are committed for ECSE services by the child’s 3rd birthday.

EI Transition Corrective Action by Standard

200	For all transition standards: Review additional files where this event occurred after the incidence of noncompliance and list in SPR&I the compliance status for each.
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