**EI/ECSE Standard 7**

**Component 7.4**

Overview and Speaker Notes

**Intended Audience:**

Overview for Facilitators:

ECPC has developed an anchor presentation for each of the Initial Practice-Based Professional Preparation Standards for Early Interventionists/Early Childhood Special Educators (EI/ECSE)*.* The components under each standard are presented separately. The materials are designed for an in-service professional development (PD) program but can be used in a pre-service teacher preparation course. This resource will increase professionals’ ability to address each of the EI/ECSE Standards and components. Additional materials for each Standard can be found on the ECPC Website: [Curriculum Module | The Early Childhood Personnel Center (ecpcta.org)](https://ecpcta.org/curriculum-module/)

Speaker Notes

The speaker notes provide a narrative and activities for each slide. You will see speaker notes for most of the slides within the slide deck. The notes provide additional details about the information on a particular slide, including the context for the information and key points. The notes are a guide, and speakers should feel free to modify these as needed. Please note the following:

* The narrative is a sample script for the presenter. Although you may read it verbatim, speaker notes are intended as a guide for the presenter, and you may modify them as needed.

Materials required for face to face:

1. Share the outline with timelines for the training (build in breaks)
2. Conduct an opening activity (introductions/ice breaker)
3. Computers or tablets with internet access for participants (if possible)
4. Handouts
5. Projector with audio capable for playing video with speakers
6. Presentation slides with speaker notes
7. Develop an evaluation tool for all attendees (e.g., continuous improvement activity)

Materials required for virtual:

1. Distribute the link to the online platform in advance
2. Share the outline with timelines for the training (build in breaks)
3. Conduct an opening activity (introductions/ice breaker)
4. Determine how participants will receive handouts and materials, on the cloud, using a storage platform (e.g., Dropbox, google, etc.)
5. Platform to share presentation (e.g., zoom, teams, etc.) with polling questions prepared in advance and breakout room capability
6. Upload or send handouts in advance or through platform (insert through chat)
7. Download videos ahead of time to prepare for low bandwidth from slide deck
8. Share screen capability (be sure to enable sound for videos)
9. Develop an evaluation tool for all attendees (e.g., continuous improvement activity)

**Objectives for Standard 7, Component 7.4:**

After participating in this professional learning opportunity, participants will be able to:

* Describe ethical and legal policies and procedures that govern the profession of EI/ECSE.
* Identify professional association codes of ethics and resources that support their application.

Outline of Session Activities

|  |  |  |
| --- | --- | --- |
| Topic | Slides | Activity |
| Introduction/Objectives | 1-4 |  |
| Defining the Terms: Policies, Procedures, and Ethics  Activity: Professional Ethics: Time for Reflection | 5-8 | Activity (Slide 7) |
| Introduction to a Code of Ethics | 9-11 |  |
| DEC Position Statement on Ethical Practice | 12-14 |  |
| Activity: Core Principles for Ethical Practices: A Closer Look | 15 | Activity (Slide 15) |
| NAEYC Code of Ethical conduct and Statement of Commitment  Activity: NAEYC Code of Ethical Conduct: A Closer Look | 16-18 | Activity (Slide 18) |
| Ethical Dilemmas | 19 |  |
| Ethical Finesse Strategy | 20 |  |
| Activity: “[Make Sure My Child Drinks Her Milk](https://www.naeyc.org/resources/pubs/yc/sep2016/focus-on-ethics)” | 21-22 | Activity (Slide 21)  Reading Situation (Slide 22) |
| Legislation Impacting EI/ECSE | 23-24 |  |
| Part C of IDEA | 25-29 |  |
| Part B, Section 619  Video: [Six Principles of IDEA: Your Rights in a Nutshell](https://www.youtube.com/watch?v=wEHClBi3Kvg) (3:08) | 30-33 | Video (Slide 31) |
| References | 34-36 |  |

Speaker Notes with Slides

|  |  |  |
| --- | --- | --- |
| Slide 1 |  | Today we will discuss component 7.4 of the EI/ECSE Standard 7, Professionalism and Ethical Practice. |
| Slide 2 |  | Ask participants to silently read Standard 7. Then, progress to the next slide. |
| Slide 3 |  | Today, we will focus on component 7.4 for Standard 7. Then, read component 7.4 aloud to the group. |
| Slide 4 |  | The objectives for this guide address ethical and legal policies and procedures in the EI/ECSE profession, as well as professional association resources. Professional association resources will be interwoven throughout the discussion. |
| Slide 5 |  |  |
| Slide 6 |  | Before we discuss EI/ECSE policies, procedures, laws and ethics we need to make sure we understand what they are and are not…. Read the definitions of policies and procedures and then, expand on each as follows.  Policies are not laws or regulations. They are a set of standards that guide the development of law and regulations. Procedures provide guidance as to how services (e.g., early intervention) are to be implemented. |
| Slide 7 |  | Let’s spend about 20 minutes reflecting on your thoughts, background, and experiences about ethics. Individually or in small groups, give participants 12-15 minutes to discuss the questions on the slide. Ask each person and/or group to make notes of their key points for each question. Ask individuals and/or groups to share one key point for each question. |
| Slide 8 |  | Now that you have had the opportunity to reflect on ethics, including your definition of ethics. Let us review the definition of professional ethics that we will use today. Emphasize that professional ethics are moral principles of conduct for a specific profession.  Summary of S. 6 (94th): Education For All Handicapped Children Act - GovTrack.us  <https://www.govtrack.us/congress/bills/94/s6/summary> |
| Slide 9 |  | Professional associations such as DEC, CEC, and NAEYC have a code of ethics that identifies acceptable professional behavior for that professional discipline. In the next set of slides, we will define code of ethics, take a closer look at some of the codes of ethics, as well as apply the codes of ethics to situations using professional association resources. |
| Slide 10 |  | Professional associations such as DEC, CEC, and NAEYC have a code of ethics that identifies acceptable professional behavior for that professional discipline. The code of ethics for a particular discipline may change over time and be influenced by several factors.   * Societal factors – As societal norms and expectations change; the code of ethics would typically be developed and/or modified to reflect those changes. For example, equity and social justice are a primary focus for DEC and other organizations currently and therefore, the code of ethics may be modified to better reflect practices and professional behaviors that support equity and social justice. * Policy-related factors – Both federal and state legislation and regulations identify required EI/ECSE services and provide a philosophical framework for those services. For example, the role of the family in EI/ECSE, provision of services in natural and inclusive environments, and individualized plans are all requirements of IDEA and as such are reflected in statements about professional practice, family-centered practices, and collaboration in the DEC code of ethics. * Profession-specific factors – A code of ethics will often specify expectations for professional preparation, licensure, ongoing professional development, and personal behavior (e.g., interpersonal and professional behaviors). * Organizational factors – The code of ethics typically addresses distinct aspects of the association’s mission statement and policies. For example, one of the primary missions of DEC, CEC, and NAEYC is advocacy, therefore, the expectation that members be advocates is included in the codes of ethics. |
| Slide 11 |  | A professional code of conduct provides guidance to the professional association’s members and the field that it represents for expected standards of professional conduct that are consistent with the association’s mission, values, and principles. Such guidance is needed because individuals within that professional field will not all have the same values and morals. Morals are what an individual believes about what is right or wrong, good or bad. Values or beliefs provide a context within which individuals make decisions and choices.  Above all else, we must provide early childhood services in such a way that we “do no harm” to children and families. Therefore, as ethical issues arise as to what is in the best interest of children and families, the code of ethics serves as a guide for our decision-making in that situation. |
| Slide 12 |  | The DEC Position Statement on Ethical Practice was approved in 2022. The position statement was drafted by a workgroup of DEC members with input from the field. It “is a public statement of principles and practice guidelines supported by the mission of DEC. The purpose of this statement is to support sound ethical reasoning and decision-making related to supporting families and enhancing the optimal development of young children (0-8 years) who have or at-risk for developmental delays and disabilities” (DEC, 2022).  <https://divisionearlychildhood.egnyte.com/dl/KAh4cOFBZ8> |
| Slide 13 |  | The DEC Position Statement on Ethical Practice is grounded in five core principles. We will examine each of these in more depth. |
| Slide 14 |  | The DEC Position Statement on Ethical Practices is intended to guide the work of any professional who works with young children (ages B-8 years) who have or at-risk for developmental delays and disabilities and their families. The position statement discusses its application for individuals in four primary roles: practitioners, preservice providers, in-service providers, and researchers.  Practitioners – Professionals who provide direct and indirect services to children in families, such as classroom educators, early intervention educators, therapists, related service providers, and administrators.  Preservice Personnel Preparation Providers – Professionals who facilitate the initial preparation of practitioners and other EI/ECSE professionals (e.g., professional development providers). Preservice professionals include, but are not limited to, institute of higher education (IHE) faculty and staff, cooperating teachers, and field and clinical placement supervisors/mentors.  In-service Professional Development  Providers – Professionals who facilitate continued learning opportunities for EI/ECSE professionals beyond preservice and included individuals such as IHE faculty and staff, district or state professional development providers, technical assistance providers, and program leaders.  Researchers – Professionals who engage in systematic knowledge generation specific to EI/ECSE and includes individuals such as IHE faculty, research center staff, and others who collect and analyze data to inform EI/ECSE practice. |
| Slide 15 |  | Ask participants either in small groups or individually to read the explanation for one of the 5 core principles for ethical practices (pp. 2-4) and how it applies to their current role (pp. 6-13). Then, identify 2-3 things that they want “to do” immediately specific to that core principle and 2-3 ways that they want “to be” specific to that core principle in their current role. Assign small groups or individuals one of the core principles, so that all 5 are addressed. Allow 10 minutes for small group discussion and/or individual reflection. Allow 10 minutes for small group or individual sharing. |
| Slide 16 |  | “NAEYC recognizes that those who work with young children face many daily decisions that have moral and ethical implications. The NAEYC Code of Ethical Conduct offers guidelines for responsible behavior and sets forth a common basis for resolving the principal ethical dilemmas encountered in early childhood care and education” (<https://www.naeyc.org/resources/position-statements/ethical-conduct>). |
| Slide 17 |  | The NAEYC Code of Ethical Conduct states that standards of ethical behavior in early care and education are based on commitment to seven core values that are deeply rooted in the history of the field. The NAEYC Code then identifies ideals, aspirations of practitioners, and principles that guide conduct and assist practitioners in resolving ethical dilemmas as they relate to:   * Ethical responsibilities to children, * Ethical responsibilities to families, * Ethical responsibilities to colleagues (i.e., co-workers, employers), and * Ethical responsibilities to community and society. |
| Slide 18 |  | Let’s take a closer look at the core values, and ideals and principles included in each of the four sections of the NAEYC Code of Ethical Conduct: (1) ethical responsibility to children, (2) ethical responsibility to families, (3) ethical responsibility to colleagues, and (4) ethical responsibility to community and society.  Divide the group into small groups. Assign each group the core values section and one of the sections with ideals and principles from the Code of Ethical Conduct. Read the directions from the slide. Allow 10-15 minutes for the groups to review their section of the Code and prepare to discuss it with the whole group. Ask each group to report to the whole group, identifying the core values, ideals, and principles selected, along with their rationale for choosing those.  After each group has shared, ask learners to reflect on the Code of Ethical Conduct and identify anything that is no longer relevant or is missing based on current ECE and EI/ECSE practices and research. |
| Slide 19 |  |  |
| Slide 20 |  | Feeney & Freeman (2017) describe a process to resolve ethical dilemmas that is designed to identify a course of action that can meet the needs of all involved parties. The first step is to determine if it is an ethical issue for which the course of action is clearly mandated in the code of ethics. Or is it an ethical dilemma for which the code of ethics provides guidance but does not specifically mandate the course of action.  If it is an ethical dilemma, follow the 5-step process to determine a course of action that is ethically defensible. We will apply this process in the activity that follows.  <https://www.naeyc.org/resources/pubs/yc/mar2017/resolve-ethical-issues> |
| Slide 21 |  | Ask participants in small groups to read the situation on the next slide and follow the steps on this slide to determine an ethically responsible solution to the problem. Share solutions in the large group and discuss.  The article at this link indicates how Moravcik, Feeney, & Freeman (2016) resolved this dilemma. After each group share, provide this resource and summarize how the problem was resolved.  <https://www.naeyc.org/resources/pubs/yc/sep2016/focus-on-ethics> |
| Slide 22 |  |  |
| Slide 23 |  | As previously discussed, policy related factors influence the content of codes of ethics and thus impact what EI/ECSE professionals must do. Now, we will spend some time discussing the requirements for EI/ECSE based on legislation from the passage of the Individuals with Disabilities Education Act in 1975 to the present. |
| Slide 24 |  | 1975 – The Education for All Handicapped Children Act, P.L. 94-152 was passed in 1975 and supports special education services for children with disabilities ages 3-12 with the exception that if a state did not serve children ages 3-5 without disabilities, then services did not have to be provided for that age children with disabilities.  1986 - The Education for All Handicapped Children Act was reauthorized and extended P.L. 94-142 to require FAPE for children with developmental delays and disabilities beginning at age 3 through Part B 619. The same requirements under P.L. 94-142, Part B were extended to preschoolers with these additions:   * Developmental delay could be used for eligibility, * Goals for parents could be included on the IEP, * Placement and services should vary based on the needs of the child, and * Disincentives in place for states who did not provide preschool services.   Also created a voluntary state/territory grant program for infants and toddlers (Part H, now Part C) with incentives and guidelines. A five-year timeline was allowed for planning the system which was to be administered by a lead agency determined by the governor. We will discuss more specific requirements for Parts C and B 619 later.  1990 – P.L. 102-119 reauthorized and renamed the act as Individuals with Disabilities Education Act (IDEA). This reauthorization extended Part H (now Part C) and amended Part B 619.  1997 - The reauthorization of IDEA in 1997 increased expectations for children with disabilities by ensuring access to the general curriculum in schools and strengthened role of parents in the education of their children. These changes also supported increased levels of accountability by states for service provision to young children with disabilities and their families. These changes led to specific legislative expectations about services for young children and their families.  2004 – PL 108-446, the last reauthorization, was in 2004 with another name change, Individuals with Disabilities **Improvement** Act, still referred to as IDEA. Major changes in Part C were:   * Child find and eligibility was to include children who are homeless and with known abuse/neglect and affected by substance abuse, * IFSP services must be based on evidence-based practices with measurable outcomes and if appropriate include pre-literacy skills, * Service coordinators or other EI representative could be invited to IEP meeting for a child transitioning upon parent’s request, * EI services could be continued up to kindergarten year at discretion of family, * IFSP must provide rationale if services not provided in natural environment, and * State/territory ICC membership expanded to include representation from agencies that address Medicaid, homelessness, foster care, and mental health.   Major changes in Part B619 included:   * IEP meetings could be held using alternative means (e.g., zoom), * Preschool teachers must meet No Child Left Behind “highly qualified” definition, * Initial evaluation conducted within 60 days of receiving parental consent, * IEP goals included for developmental, academic, and functional performance and reflect evidence-based practices. * IEP amended without meeting, if team agrees, and parents can give permission for some team members to not attend the IEP meeting, * IFSP considered in developing IEP, and * Funds can be used to administer and cover the cost of Part C services, including service coordination, for children who continue to receive after the 3rd. birthday. |
| Slide 25 |  | Part C of IDEA (originally Part H) was established in 1986 through PL99-457. Part C was designed to:   * Enhance the development of infants and toddlers who are at-risk for or have developmental delays and disabilities, * Decrease the need for special education services later reducing overall educational costs, and * Enhance family capacity to meet the needs of their child.   As a federal grant program, a state/territory has to assure that EI will be available to all eligible children in order to participate.  There are 16 minimum required components of the state/territory EI system in order to participate in Part C. Open the link and review the 16 components. <https://ectacenter.org/partc/partc.asp> |
| Slide 26 |  | Under Part C of IDEA each state/territory determines the definition of developmental delay for children birth to 3 years (IDEA 2004, §632(5)(A)). A child with an existing diagnosed physical or mental condition that has a high probability of resulting in a developmental delay qualifies for early intervention (IDEA 2004, §632(5)(A)). Other children who demonstrate a delay as determined by each state/territory may also be eligible to receive early intervention services. IDEA, Part C gives States the option to include children who are at risk for developmental delay but do not meet their eligibility criteria into their early intervention programs. This is an option but not a requirement under IDEA, Part C.  Developmental delays may occur in one or more of the following areas of development: physical (fine and gross motor), cognitive, communication, social or emotional, or adaptive. |
| Slide 27 |  | Ask learners to review the services listed on the slide and identify any for which they need more information. If no one asks about special instruction, ask the group to identify who could serve in this role and what it involves. |
| Slide 28 |  | Qualified personnel. The following are the types of qualified personnel who provide early intervention services under this part:  [(1)](https://sites.ed.gov/idea/regs/c/a/303.13/c/1) Audiologists.  [(2)](https://sites.ed.gov/idea/regs/c/a/303.13/c/2) Family therapists.  [(3)](https://sites.ed.gov/idea/regs/c/a/303.13/c/3) Nurses.  [(4)](https://sites.ed.gov/idea/regs/c/a/303.13/c/4) Occupational therapists.  [(5)](https://sites.ed.gov/idea/regs/c/a/303.13/c/5) Orientation and mobility specialists.  [(6)](https://sites.ed.gov/idea/regs/c/a/303.13/c/6) Pediatricians and other physicians for diagnostic and evaluation purposes.  [(7)](https://sites.ed.gov/idea/regs/c/a/303.13/c/7) Physical therapists.  [(8)](https://sites.ed.gov/idea/regs/c/a/303.13/c/8) Psychologists.  [(9)](https://sites.ed.gov/idea/regs/c/a/303.13/c/9) Registered dieticians.  [(10)](https://sites.ed.gov/idea/regs/c/a/303.13/c/10) Social workers.  [(11)](https://sites.ed.gov/idea/regs/c/a/303.13/c/11) Special educators, including teachers of children with hearing impairments (including deafness) and teachers of children with visual impairments (including blindness).  [(12)](https://sites.ed.gov/idea/regs/c/a/303.13/c/12) Speech and language pathologists.  [(13)](https://sites.ed.gov/idea/regs/c/a/303.13/c/13) Vision specialists, including ophthalmologists and optometrists.  [(d)](https://sites.ed.gov/idea/regs/c/a/303.13/d) Other services. The services and personnel identified and defined in paragraphs (b) and (c) of this section do not comprise exhaustive lists of the types of services that may constitute early intervention services or the types of qualified personnel that may provide early intervention services. Nothing in this section prohibits the identification in the IFSP of another type of service as an early intervention service provided that the service meets the criteria identified in paragraph (a) of this section or of another type of personnel that may provide early intervention services in accordance with this part, provided such personnel meet the requirements in §[303.31](https://sites.ed.gov/idea/regs/c/a/303.31). |
| Slide 29 |  | The governor must designate a lead agency to administer the Part C program and appoint an Interagency Coordinating Council (ICC) which must include family members. A coordinator for each Part C program is identified within the lead agency. Although Part C of IDEA is education legislation through the U.S. Department of Education, the lead agency is often not the state’s department of education.  The role of the ICC is to advise and assist the lead agency.  Open the links to identify the lead agency for learners in the group, as well as the Part C coordinator and ICC chair.  <https://ectacenter.org/partc/ptclead.asp>  <https://ectacenter.org/contact/ptccoord.asp>  <https://ectacenter.org/contact/iccchair.asp> |
| Slide 30 |  | <https://ectacenter.org/sec619/sec619.asp> |
| Slide 31 |  | Introduce the video. It identifies and defines the six core principles of IDEA. These core principles apply to services provided through Part B of IDEA, including section 619.   * Zero reject, * Free appropriate public education (FAPE), * Least restrictive environment (LRE), * Nondiscriminatory evaluation, * Parent and family rights, and * Procedural safeguards.   Ask learners to think about the three questions on the slide as they watch the video. Read the questions.  Allow time for discussion in small groups, and then provide time for each small group to report out in the whole group. |
| Slide 32 |  | Children ages three through five may be identified as eligible for special education and related services in these disability categories.  Part B of IDEA also gives states/territories the option to define and use developmental delay in addition to specific disability categories to determine eligibility for special education and related services for preschool children. This definition can be used with children ages three to nine, or a portion of this age range. However, states/territories are not required to use developmental delay to determine eligibility for special education and related services. For states/territories that use a definition of developmental delay under Part B, children may qualify for special education and related services using the state determined definition.    Developmental delays may occur in one or more of the following areas of development: physical (fine and gross motor), cognitive, communication, social or emotional, or adaptive.  [eCFR :: 34 CFR Part 300 -- Assistance to States for the Education of Children with Disabilities](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300) |
| Slide 33 |  | * Each state/territory that receives IDEA funds establishes regulations, rules, and policies for implementation of Part B, Section 619. The preschool programs must comply with the Federal IDEA regulations as well as state requirements. Each state/territory has a Section 619 Coordinator that oversees the program.   NASDSE provides resources and other supports, including an annual conference, to the Section 619 Coordinator, as well as other state/territory leaders in special education. <http://www.nasdse.org/>   * Open the links to identify the Section 619 coordinators for learners in the group, as well as the state regulations/policies. |
| Slide 34 |  |  |
| Slide 35 |  |  |
| Slide 36 |  |  |
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