

## KEY FOR DOCUMENTING REQUIRED EVIDENCE ON STUDENT FOLDER CHECKLIST

Student Name:		Student's DOB:	
LEA#:		Review Date:	
Review Type:	SEA Review	Case Type:	School Age
Evaluation Type:	Initial	Disability:	

### Directions:

1. For all students who are currently enrolled, complete the checklist by reviewing the child's information during the last 12 months.
2. Complete either the referral/initial evaluation **OR** re-evaluation section for each student based on which type of evaluation has occurred within the last 3 years.
3. Answer all other questions based on data from the last 12 months.

**Graduated Students:** Complete only the Focused Review Area #48 Graduates.

**Dismissed Students:** Complete only the Focused Review Area #47 Dismissal from Special Education.

**Early Childhood Dismissals:** Complete only the Focused Review Area #47 Dismissal from Special Education and #50 Early Childhood Outcomes

**Kindergarten Transition:** Complete only question 21b and the Focused Review Area #50 Early Childhood Outcomes.

### Record of Access

Are appropriate signatures present for individuals accessing the folder? (name, position, date, purpose)  
(Regulation: 16.03)

### Referral

#### 2. Special Education Referral Form

Does the form indicate the date of the referral?

*Date:*

#### 3. Notice of Conference

a. Is the Notice of Conference dated within 7 days of date of referral?

b. Is the purpose of the meeting stated?

c. Are the required attendees invited?

#### 4. 21 Day Timeline

Was the referral conference conducted within 21 days of the date of the referral? (Regulation: 4.03.4)

5. Referral Conference Decision

Does the Referral Conference Decision indicate the team decision? (Regulation: 4.04)

6. Referral Conference Committee Members

Are the required committee members (minimum of three) listed? (Regulation: 4.04.2)

**Initial Evaluation**

7. Notice of Action for evaluation consent

Does the Notice of Action include all components related to the action proposed or refused?

8. Parent Consent

a. Does the Notice of Action have a parent signature to indicate consent for the evaluation?

b. What is the date of consent?

*Date:*

9. 60 Day Evaluation Timeline Met

Was the last evaluation component completed within 60 calendar days of the date of parental consent for evaluation?

*Date:*

If NO, what was the reason for the delay?

10. Assessments in Required Areas

Are all required assessment components for the student's identified disability present? (Regulation: Special Education Eligibility Criteria & Program Guidelines for Children with Disabilities Ages 3-21)

*If NO, enter the components not present:*

11. Evaluation Report

Is a written report of the evaluation present?(Regulation: Guidelines for Evaluation/Re-evaluation)

12. Evaluation Programming Conference Decision Form

a. Is the EPC Form present? (Regulation: 6.06.1.1)

*Date:*

b. Is the date of the EPC within 30 calendar days of the last assessment administered?(Regulation: 6.06.1.1)

*Date:*

c. Is one of the state's recognized categories for the primary disability present on the EPC? (Regulation: 6.06.1.2)

d. Are the required team participant's signatures present?

e. For children with the eligibility category of a Specific Learning Disability:

i. Is the SLD Eligibility Determination Form complete?

ii. Does the SLD form indicate the participants' conclusions?

13. Notice of Action for eligibility

a. Does the Notice of Action include all components related to the action proposed or refused?

b. Is there a parent signature to indicate their consent for their child to be provided special education and related services? (Regulation: 9.04, 9.06.3.1)

### **Individualized Education Program (IEP)**

20. IEP Notice of Conference

a. Is the IEP Notice of Conference form present? (Regulation: 8.06.2.1)

b. Is the date, time, and location of the proposed meeting present? (Regulation: 8.06.2.1, 9.02.2.2, 9.04)

c. Is the purpose of the proposed meeting indicated? (Regulation: 8.06.2.1, 9.04 )

d. Are the required attendees listed? (See asterisked roles on Notice.) (Regulation: 8.06.2.1)

If no, select all required team members not listed.

21. IEP Status

a. Is the IEP present?

b. Was there an IEP in place for the student on the first day of school?

22. IEP Timeline

a. Was the IEP developed within one year of the previous IEP? (Regulation: 8.04.3.1)

*Previous annual IEP date:    Current annual IEP date:*

b. Was the IEP implemented within 30 days of the IEP Conference date? (Regulation: 8.03.2.1)

23. Is the purpose and date of the meeting noted on the IEP document?

24. Parent Rights and Participation

a. Is there documentation that parents' rights were provided one time per school year? (Regulation: 9.05.1.1)

b. If the parent did not attend the meeting in person or through alternate means, were they provided adequate opportunity to participate? (Regulation: 8.06.1.1)

c. Was parent input regarding enhancing the education of the child considered? (Regulation 8.07.1.1)

25. Present Level of Academic Achievement and Functional Performance (PLAAFP)

a. Are there statements describing the student's academic performance?

b. Are there statements describing the student's functional performance?

c. Are the student's strengths listed?

d. Are the student's needs listed?

e. Is the effect of the child's disability on his/her participation in age-appropriate activities described?

f. Are the data sources used for this information included?

g. Is the student's achievement of annual goals included?

h. Is there a statement of any significant lack of progress?

26. Special Factors

a. Are all areas addressed including an explanation, when applicable? (Regulation: 8.07.1.2)

If answered NO, then select all areas not addressed

b. Is there evidence that accommodations were considered and included if needed?(Regulation: 8.08.1.4)

27. Measurable Annual Goals

a. Are all of the annual goals measurable? Measurable includes, but is not limited to, having criteria, condition, behavior, and timeframe. (Regulation: 8.08.1.2)

IF NO, select the components that are not measurable:

*Comments about goals:*

b. The PLAAFP states student needs. Are all of the student's goals designed to meet their critical needs? (Regulation: 8.08.1.2)

c. Are the evaluation procedure(s) specified for all of the goals? (Regulation: 8.08.1.9)

d. Do progress reports include date, progress, and status of each goal for specified grading period(s)?  
(Regulation: 8.08.1.9)

e. If the student is participating in the Arkansas Alternate Assessment, are measurable short-term objectives present? Measurable is defined as having criteria, condition, behavior, and timeframe. (Regulation: 8.08.1.3)

IF NO, then select all of the components that are not present in the objectives:

## 28. Statement of Special Education Services

a. Does the schedule of special education services to be provided to the child align with the skills outlined in the student's goals? (Regulation: 8.08.1.4)

b. Do the services listed include frequency, location, and duration?

## 29. Related Services

Does the IEP state the related services to be provided including the frequency, location, and duration of those services OR is "none needed" indicated? (Regulation: 8.08.1.4, 8.08.1.8)

## 30. Least Restrictive Environment

a. Does the IEP indicate if the child is removed from the general education environment?

b. If the child is removed from general education, does the IEP indicate the reasons that general education was not appropriate for the child?

c. Is the Continuum of Placement noted for the child?

d. Does the placement align with the amount of time the child is in General Education per week?

## 31. Assessment Decisions (8.08.1.6)

a. Is the child's participation in Statewide Assessment addressed?

b. Are the needed accommodations for the assessment listed?

c. Do the accommodations align with accommodations used on a regular basis?

d. If the child is participating in the Alternative Assessment, is there an explanation present?

## 32. Parent Provided a Copy of the IEP

Is there documentation stating the method by which the IEP was provided to the parent or adult student?  
(Regulation: 8.06.6.1)

**33. IEP Reviewed / Revised**

Was the IEP updated from the prior year to include current information in the Present Level Statement, student goals, accommodations, etc.? (Regulation: 8.04.3)

**34. Team Member Signatures**

a. Are required IEP committee members' signatures present (does not include parent)? (Refer to Notice of Conference Contact Log.)

b. If required attendees' signatures are not present, does page one of the IEP indicate the excusal process?  
(Regulation: 8.05.1)

If 34.a. &b are both no, select all required team members not present.

**35. Notice of Action**

a. Was Notice of Action provided? (Regulation: 9.04)

b. Does the Notice of Action include all components related to the action proposed or refused?

**Transition**

**37. Dates Reviewed**

Is there evidence that the transition plan is reviewed annually, if this is not the initial transition plan?  
(Regulation: 8.08.2.1, 21.03.2.1)

**38. Career/ Employment**

a. Are the post-secondary goals in the area of career/employment based upon age-appropriate annual transition assessments? (Regulation: 8.08.2.1, 21.03.2.1)

b. Are the post-secondary goals in the area of career/employment appropriate? (Regulation: 8.08.2.1, 21.03.2.1)

c. Are the post-secondary goals in the area of career/employment measurable? (Regulation: 8.08.2.1, 21.03.2.1)

d. Are transition activities/services that reasonably enable the student to meet his or her career/employment goals listed?

e. Do activities include the LEA staff as a responsible party and the semester implemented? (Regulation: 8.08.2.1)

### 39. Education/Training

- a. Are the post-secondary goals in the area of education/training based upon age-appropriate annual transition assessments? (Regulation: 8.08.2.1, 21.03.2.1)
- b. Are the post-secondary goals in the area of education/training appropriate? (Regulation: 8.08.2.1, 21.03.2.1)
- c. Are the post-secondary goals in the area of education/training measurable? (Regulation: 8.08.2.1, 21.03.2.1)
- d. Are transition activities/services that reasonably enable the student to meet his or her education/training goals listed?
- e. Do activities include the LEA staff as a responsible party and the semester implemented? (Regulation: 8.08.2.1)

### 40. Independent Living/ Community Participation

- a. Are the post-secondary goals in the area of independent living/community participation (if needed) based upon age-appropriate annual transition assessments? (Regulation: 8.08.2.1, 21.03.2.1)
- b. Are the post-secondary goals in the area of independent living/community participation (if needed) appropriate? (Regulation: 8.08.2.1, 21.03.2.1)
- c. Are the post-secondary goals in the area of independent living/community participation (if needed) measurable? (Regulation: 8.08.2.1, 21.03.2.1)
- d. Are transition activities/services that reasonably enable the student to meet his or her independent living/community goals listed?
- e. Do activities include the LEA staff as a responsible party and the semester implemented? (Regulation: 8.08.2.1)

### 41. Course of Study

Does the Course of Study include courses of study that will reasonably enable the student to meet his or her postsecondary goals? (Regulation: 8.08.2.1; 21.03.2.1)

### 42. Student Received Meeting Notice

Is there evidence that the student was invited to the IEP meeting where transition services were being discussed? (Regulation: 21.03.3.1)

### 43. Annual Goals

Is (are) there annual IEP goal(s) related to the student's transition service needs?

**44. Agency Participation**

- a. Was consent obtained from the parent (or student for a student the age of majority) for agency participation?
- b. 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?

**36. Transition Plan present**

Is a transition plan present for students age 16 or older? (Regulation: 8.08.2.1)

**Focused Review Areas**

**45. Shortened School Day**

- a. Does the IEP or other conference paperwork include documentation to justify the need for a shortened school day in order to meet the educational, medical, or emotional needs of the student? (Regulation: 300.11 CFR)
- b. Is there evidence of a review being held every 90 days? (Regulation: 300.11 CFR)

**46. Homebound**

- a. Does the IEP or other conference paperwork include documentation to justify the need for homebound services in order to meet the educational, medical, or emotional needs of the student? (Regulation: 17.02.2.1, 17.01.1)
- b. Is there evidence of a review being held every 90 days? (Regulation: 17.02.2.1, 17.01.1)

**47. Dismissal from Special Education**

- a. Was an existing data review completed prior to dismissal? (Regulation: 7.05.1)
- b. Was a Notice of Action provided before the student was dismissed from services? (Regulation: 9.04)
- c. Evaluation Programming Conference Decision Form/Notice of Decision (Complete if evaluation was requested at EDR.)
  - i. Is the Evaluation Programming Conference Decision Form present and complete? (Regulation: 6.06.1.3)
  - ii. Did the team make a disability determination for the student?
  - iii. Are required committee members' signatures present? If not, are there acceptable reasons for required members not in attendance? (Regulation: 6.06.1.2, 8.05.1.1)



iv. Is there documentation that the EPC Notice of Decision Form and evaluation report were provided to the parent? (Regulation: 6.06.1.3)

#### 48. Graduates

a. Was a Notice of Action provided to the student (if student is 18 or older) and parent a reasonable time before the student graduated? (Regulation: 9.04.1.1)

#### b. Summary of Performance

i. Was the Summary of Performance provided to the student? (Regulation: 6.05.5.3, 7.05.3)

ii. Was the student's academic performance summarized? (Regulation: 7.05.3)

iii. Was the student's functional performance summarized? (Regulation: 7.05.3)

iv. Are there completed recommendations on how to assist the student in meeting his/her postsecondary goals? (Regulation: 7.05.3)

#### 49. Manifestation Determination

a. Was a Notice of Action provided to the parent/ adult student prior to a change of placement resulting from a disciplinary removal? (Regulation: 9.04.1.1)

b. Was the review held within 10 school days of the decision to change placement due to a violation of the Code of Student Conduct? (Regulation: 11.05.1)

c. Were required members present? If not, are there acceptable reasons for required members not being in attendance? (Regulation: 11.05.1)

d. Did the committee review whether the behavior was a manifestation of the child's disability? (Regulation: 11.05.1.1)

e. Did the committee review whether the IEP was implemented prior to the violation? (Regulation: 11.05.1.2)

f. Was the Functional Behavior Assessment (FBA)/ Behavior Intervention Plan (BIP) reviewed if behavior was a manifestation?

g. Was an FBA conducted after the manifestation OR was an FBA done prior to the behavior that resulted in this incident? (Regulation: 11.05.4.1.1)

h. Was a Behavior Plan developed or reviewed? (Regulation: 11.05.4.1.2)

## 50. Early Childhood Outcomes (Regulation: Commissioner Memo LS-07-042)

### a. Entry Process

- i. Was the entry process completed as part of the initial IEP or within 30 days of developing the IEP?
- ii. Were the required committee members (including the parent) involved? Look at the signature page of the IEP form.
- iii. Does the Present Level of Academic Achievement and Functional Performance describe developmental levels and support the rating in each of the following areas?

1. Outcome 1: Positive social emotional skills
2. Outcome 2: Acquiring and using knowledge and skills
3. Outcome 3: Taking appropriate actions to meet needs

### b. Exit Process

- i. Was the exit process completed within 60 days of the child exiting the early childhood program?
- ii. Were the required committee members (including the parent) involved? Look at the signature page of the IEP form.
- iii. Does the Present Level of Academic Achievement and Functional Performance describe developmental levels and support the rating in each of the following areas?

1. Outcome 1: Positive social emotional skills
2. Outcome 2: Acquiring and using knowledge and skills
3. Outcome 3: Taking appropriate actions to meet needs

### iv. Was the exit progress stated for each of the following areas?

1. Outcome 1: Positive social emotional skills
2. Outcome 2: Acquiring and using knowledge and skills

### 3. Outcome 3: Taking appropriate actions to meet needs

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