Student Folder Checklist Guidance Document
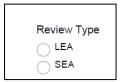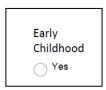
<u>Reviewing the Folder</u>

1. Complete one Student Folder Checklist per folder reviewed.

2. When entering the date use the following format: MM/DD/YY. Enter the date the folder was reviewed within the timeframe window.

3. **Review Type**: If the LEA is completing the folder review, select LEA. If ADE is reviewing the folder they will select SEA.
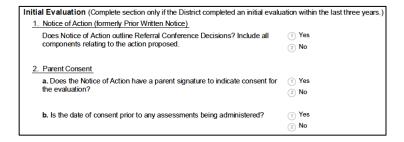

4. If reviewing a folder for an Early Childhood program, mark the YES bubble.

5. **Referral Section:** Complete only if the child has had an initial referral in your district within the last 3 years. If the child has had an IEP for longer than 3 years, do not complete this section. (Leave the responses blank.)

6. **Initial Evaluation Section:** Complete only if the child has had an initial evaluation within the last 3 years. If the child has had a re-evaluation, leave the initial section blank and move to the re-evaluation section.

7 **Re-evaluation Section:** Complete if the child has a re-evaluation within the last three years. Re-evaluation includes completing an Existing Data Review (EDR) even if no additional data was needed. If the child has not had a reevaluation, leave the re-evaluation section blank.

Re-evaluation(Review most recent re-evaluation. Complete section only if the child has a re-evaluation during last 3 years.)

1. Existing Data Review / Notice of Decision Form (EDR)

a. Is the Existing Data Review present and complete?	① Yes ② No
b. Does the form indicate the data that were reviewed?	① Yes ② No
c. Does the form indicate if additional data are needed?	① Yes ② No ③ NA
d. If no additional data are needed, did the team document the child's IDEA eligibility needs?	① Yes ② No ③ NA
e. Are the names and titles of the individuals of the people involved in the decision listed?	① Yes ② No

Item 1.d. shown above can be skipped if the team determined additional data was needed as part of the review of data.

8 **IEP Section:** Review the most current IEP for selected students. (Student folders selected for review are indicated on the district's case management sheet.)

IEP

1. IEP Notice of Conference

a. Is the IEP Notice of Conference form present? If no, do not complete remaining items for Notice of Conference.) (Regulation: 8.06.2.1)	① Yes ② No
b. Is the date, time, and location of the proposed meeting present? (Regulation: 8.06.2.1, 9.02.2.2, 9.04)	① Yes ② No
c. Is the purpose of the proposed meeting indicated? (Regulation: 8.06.2.1, 9.04)	① Yes ② No
d. Are the required attendees listed? (See asterisked roles on Notice.) (Regulation: 8.06.2.1)	① Yes ② No

2. Individualized Education Program

a. Is the IEP present? (If no, do not complete the remaining items for IEP section.)	① Yes ② No

a. For question 2.e.ii., review post-secondary PLAAFP which is required for all students, age 16 or older, who have a post-secondary transition plan.

> **2. Individualized Education Program**
>
> e. Present Level of Academic Achievement and Functional Performance (PLAAFP)
>
> i. Are there statements describing the student's academic and functional performance including strengths, needs, the effect of the child's disability on his/her participation in age-appropriate activities, and data sources used for this information?
> ① Yes
> ② No
>
> Post-Secondary PLAAFP(if applicable)
>
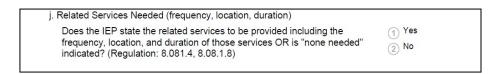> ii. Does the child's PLAAFP address how his/ her strengths, needs, and disability relate to and affect their post-secondary goals?
> ① Yes
> ② No
> ③ NA

b. Question 2.h.v., short term objectives must be addressed for students participating in the Arkansas Alternative Assessment. Mark *NA* if the student does not participate in the Arkansas Alternative Assessment.

> **2. Individualized Education Program**
>
> v. If the student is participating in the Arkansas Alternate Assessment, are measurable short-term objectives present? (Regulation: 8.08.1.3)
> ① Yes
> ② No
> ③ NA

c. Question 2.j. should be answered YES for either of the following:

   i. The student has related services and the frequency, duration, and location is indicated.

   ii. None needed is marked.

> j. Related Services Needed (frequency, location, duration)
>
> 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: 8.081.4, 8.08.1.8)
> ① Yes
> ② No

d. Question l.ii. relates only to the general assessments and not the Alternate Assessment. Answer NA if the child takes an alternative assessment.

e. Question l.iii. specifically addresses testing accommodations. The testing accommodations for general assessments must match the accommodations used regularly as outlined on the "Special Factors" page of the IEP.

I. Assessment Decisions (Regulation: 8.08.1.6)

i. Is the child's participation in Statewide Assessment addressed? (Child will take general assessment or alternate assessment.)
① Yes
② No

ii. Are the needed accommodations for the assessment listed?
① Yes
② No
③ NA

iii. Do the accommodations align with accommodations used on a regular basis?
① Yes
② No
③ NA

f. Question o.i. Transition asks, "Is a transition plan present for students 16 and older?" If a child has a transition plan, and is age 16 or older, complete these transition questions.

Transition must be in place by age 16. It can begin at any age, prior to the child's 16th birthday, if the team determines a need to begin post-secondary transition planning.
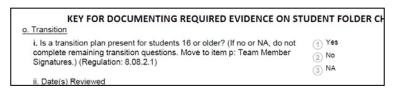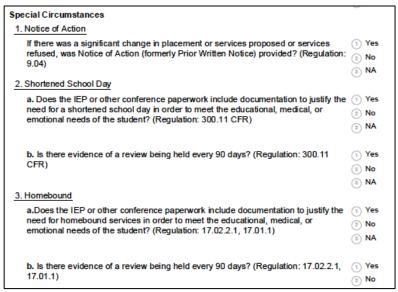
KEY FOR DOCUMENTING REQUIRED EVIDENCE ON STUDENT FOLDER CH

o. Transition

i. Is a transition plan present for students 16 or older? (If no or NA, do not complete remaining transition questions. Move to item p: Team Member Signatures.) (Regulation: 8.08.2.1)
① Yes
② No
③ NA

ii. Date(s) Reviewed

g. **Special Circumstances Section:** Complete when the child's folder and/or IEP has documentation that these forms, processes, or services were needed for the child.

Special Circumstances

1. Notice of Action

If there was a significant change in placement or services proposed or services refused, was Notice of Action (formerly Prior Written Notice) provided? (Regulation: 9.04)
① Yes
② No
③ NA

2. 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)
① Yes
② No
③ NA

b. Is there evidence of a review being held every 90 days? (Regulation: 300.11 CFR)
① Yes
② No
③ NA

3. 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)
① Yes
② No
③ NA

b. Is there evidence of a review being held every 90 days? (Regulation: 17.02.2.1, 17.01.1)
① Yes
② No

h. **Dismissals:** Complete this section for the dismissal folders that were selected by ADE. Dismissal for this review pertains to a child who no longer receives any special education services, but is still a student in the district.

5. Dismissals(Complete only if the child was dismissed.)		NA
a. Was an existing data review completed prior to dismissal? (Regulation: 7.05.1)		Yes / No
b. Was a Notice of Action provided before the student was dismissed from services? (Regulation: 9.04)		Yes / No
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? (If no, remaining components of the EPC are NA.) (Regulation: 6.06.1.3)		Yes / No / NA
ii.Is the child's eligibility under one of the recognized disability categories addressed? (Regulation: 6.06.1.2, 6.09)		Yes / No / NA
iii. Are required committee members signatures present? If not, are there acceptable reasons for required members not in attendance? (Refer to Notice of Conference Contact Log and/or excusal form.) (if applicable)(Regulation: 6.06.1.2, 8.05.1.1)		Yes / No / NA
d.Is there documentation that the EPC Notice of Decision Form and evaluation report were provided to the parent? (The Existing Data Review serves as the report if no additional testing is needed.) (Regulation: 6.06.1.3)		Yes / No / NA

Items 5.c.i., 5.c.ii., and 5.c.iii. are only answered if it was determined that additional assessment was needed as part of the existing data review process.

i. **Dismissal Graduates:** Complete for the ADE selected folders of students who graduated last school year.

6. Dismissals Graduates (Complete only if the child graduated.)		
a.Was a Notice of Action (formerly Prior Written Notice) provided to the student (if student is 18 or older) and parent a reasonable time before the student graduated? (Regulation: 9.04.1.1)		Yes / No
b. Summary of Performance		
i. Was the Summary of Performance provided to the student? (Documentation of date given to student, date mailed to student, student signature, or other evidence showing the student received the SOP.) (Regulation: 6.05.5.3, 7.05.3)		Yes / No
ii. Was the student's academic performance summarized? (Regulation: 7.05.3)		Yes / No
iii. Was the student's functional performance summarized? (Regulation: 7.05.3)		Yes / No

j. **Manifestation Determination**: Complete for any student whose file was reviewed and who has had a change of placement for more than 10 days due to disciplinary reasons.

> 7. Manifestation Determination (Required when there is a change of placement greater than 10 days or
>
> a. Was Notice of Action (formerly Prior Written Notice) provided to the parent/ adult student prior to a change of placement resulting from a disciplinary removal? (Regulation: 9.04.1.1) ① Yes ② No
>
> 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) ① Yes ② No

k. **Early Childhood Outcomes:** Complete for the 5 ADE selected kindergarten transition folders and 5 ADE selected dismissed folders for Early Childhood programs only.

> 8. Early Childhood Outcomes(for 3-5 year olds only. Complete for children dismissed from EC or who transit kindergarten within last 12 months.) (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? ① Yes ② No
>
>   ii. Were the required committee members (including the parent) involved? (Look at the signature page of the IEP form.) ① Yes ② No

Helpful Hints

1 LEAs may want to complete a Student Folder Checklist on paper before submitting information on the web survey. This enables the LEA to make notes and refer back to any questions they may have regarding the file review later.

2 There are sections that may be skipped based on the student's circumstances and the type of paperwork in the file. These sections have notes on the Student Folder Checklist and are described above. Blank answers for these sections are acceptable. However, a folder for a student who is enrolled must have an evaluation (either initial or re-eval) AND an IEP review.

Submitting the Student Folder Checklist

1. When you have completed all SFC items applicable to the student folder under review and are finished with the folder, click submit. You will not be able to reopen a submitted file. There is not an option to save the document. If you would like to review the SFC before you submit, click the back button to the pages you would like to review.

2. If you submit a folder and realize later you need to finish it or change information submitted, you will need to open a new SFC, re-enter demographic information, and a new date from the original submission; and begin working at the point where changes are needed. This process means the student will have multiple files submitted to ADE. Your SEA will work with you on interpreting reports when a

student file has multiple submissions.

3. After you click Submit you will automatically return to the home screen.

<u>After the Review</u>

There are two types of data that are reviewed should the district find non-compliance in folders:

1. Prong 1: Student Level Corrections – These are identified areas of non-compliance in a student's folder.

2. Prong 2: Additional Evidence (or additional pulls) – These are folders that are reviewed during the verification period to show that the identified student level non-compliance is not recurring. The folders used for additional evidence are selected by the LEA. When reviewing this additional evidence, the folder selected:

   a. Must not be a folder selected for review from the original case management list.

   b. Must have evidence for the issue dated AFTER the original folders were submitted.

   c. Can be used for multiple issues.

The LEA can begin correcting student level non-compliance as soon as the student folder checklist is submitted. Additionally, when the district determines professional development is needed on a specific topic training can be done immediately. The LEA will be notified of all verification requirements after the ADE-SEU reviews submissions.