

# Special Education Student Record Review Protocol

North Carolina Department of Public Instruction: Exceptional Children Division

<b>I. PRIOR WRITTEN NOTICE (PWN)</b>			
<b>Item #</b>	<b>Compliance Item</b>	<b>Response Criteria</b>	<b>Corrective Actions</b>
PWN 1	<p>The most current Prior Written Notice (PWN) contains a description of actions proposed and refused as appropriate.</p> <p>NC 1504-1.4 CFR 300.503</p> <p>Prior Written Notice</p>	<p><b>Yes</b> = Most current PWN for the most recent action contains a description of all actions proposed or refused.</p> <p><b>No</b> = PWN is missing or component is not addressed.</p>	<p><b>Student Level:</b> Cannot be corrected</p> <p><b>LEA Level:</b> Submit LEA-Level training plan to address process, procedure and/or policy related to this item.</p>
PWN 2	<p>Most current PWN explains why actions are proposed/refused.</p> <p>NC 1504-1.4 CFR 300.503</p> <p>Prior Written Notice</p>	<p><b>Yes</b> = Most current PWN contains an explanation of WHY each action is proposed or refused.</p> <p><b>No</b> = PWN is missing or component is not addressed.</p>	<p><b>Student Level:</b> Cannot be corrected</p> <p><b>LEA Level:</b> Submit LEA-Level training plan to address process, procedure and/or policy related to this item.</p>
PWN 3	<p>Most current PWN contains descriptions of evaluation(s) and/or report(s) used to propose or refuse each action(s).</p> <p>NC 1504-1.4 CFR 300.503</p> <p>Prior Written Notice</p>	<p><b>Yes</b> = PWN lists the evaluations and reports from the Assessment Summary.</p> <p><b>No</b> = No evaluations/reports/data listed.</p> <p>NOTE: The information may be described in any section of the PWN.</p>	<p><b>Student Level:</b> Cannot be corrected</p> <p><b>LEA Level:</b> Submit LEA-Level training plan to address process, procedure and/or policy related to this item.</p>

PWN 4	Parent/Student upon age of Majority was provided copy of <b>PWN prior</b> to implementation.  NC 1504-1.4 CFR 300.503  Prior Written Notice	<b>Yes =</b> <ul style="list-style-type: none"> <li>The implementation date must be aligned with the IEP start date</li> <li>The notice is “reasonable” given the circumstances (MDR, transportation, Homebound)</li> </ul> <b>No =</b> <ul style="list-style-type: none"> <li>If PWN sent by mail, without enough time to receive the written notice, even if parent was in attendance.</li> <li>Implementation date generally cannot be the date of the IEP Team meeting</li> <li>If student rights have transferred and the PWN is not addressed to the student.</li> </ul>	<b>Student Level:</b> Cannot be corrected  <b>LEA Level:</b> Submit LEA-Level training plan to address process, procedure and/or policy related to this item.
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**II. INITIAL EVALUATION/REEVALUATION**

Item #	Compliance Item	Response Criteria	Corrective Actions
EVAL 5	There is documentation that data requested, consented to, and collected are <b>documented appropriately</b> .  NC 1503-2.5 CFR 300.304  Consent to Evaluate Eligibility Worksheet(s) and/or Evaluation and Screening Reports/Assessment Summary	<b>Yes =</b> <ul style="list-style-type: none"> <li>Initial - All areas assessed are documented on eligibility worksheet(s) for suspected disabilities</li> <li>Reevaluation (Eligibility + Programming) – All areas assessed are documented in the PLAAFP and the Eligibility Worksheet for suspected disability</li> <li>Reevaluation (Programming Only) – All areas assessed are documented in the PLAAFP</li> </ul> <b>No =</b> All areas assessed are NOT clearly documented in the PLAAFP and/or on the Eligibility Worksheet for all suspected disability areas (Initial/Reevaluation)  Recommendation: Initial Evaluation Data should be included in the Initial IEP PLAAFP.	<b>Student Level:</b> <ul style="list-style-type: none"> <li>Missing data shall be entered into the Assessment Summary if evaluation was conducted.</li> <li>If the student was determined ineligible for special education + one or more of required evaluations was not conducted; the LEA shall initiate an expedited initial referral.</li> <li>If assessment data was not included in the PLAAFP at the time of reevaluation; the IEP Team must conduct an addendum IEP Team meeting to discuss the evaluation and review and revise the IEP as appropriate.</li> </ul> <b>LEA Level:</b> Submit LEA-Level training plan to address process, procedure and/or policy related to this item.

EVAL 6	<p>There is documentation that at time of reevaluation results the current IEP was reviewed, or a new IEP is developed.</p> <p>NC 1503-5.1(6)(ii)(B) CFR 300.324 Individualized Education Program (IEP Document)</p>	<p><b>Yes =</b> There is documentation that at reevaluation the current IEP was reviewed, revised as appropriate, or a new IEP was developed.</p> <p><b>No =</b> There is no documentation that at reevaluation the current IEP was reviewed, revised as appropriate, or a new IEP was developed.</p> <p><b>N/A=</b> the evaluation process is for an initial IEP.</p>	<p><b>Student Level:</b> No correction at the student level.</p> <p><b>LEA Level:</b> There must be training of appropriate special education personnel including the LEA representatives on the requirements of the reevaluation process.</p>
EVAL 7	<p>The triennial reevaluation was completed within the past 3 years.</p> <p>NC 1503-2.4 CFR 300.303</p> <p>Past Eligibility Determination to current meeting date that addressed eligibility.</p>	<p><b>Yes =</b> The triennial reevaluation is current and was completed within 3 years of previous eligibility</p> <p><b>Note: For DD the reevaluation must be completed every 3 years or prior to the 8<sup>th</sup> birthday or entering 3<sup>rd</sup> grade, whichever comes first.</b></p> <p><b>No =</b> The triennial reevaluation is current but was not completed within 3 years of previous eligibility or the reevaluation is not current within 3 years.</p> <p><b>N/A=</b> No reevaluation required to date.</p>	<p><b>Student Level:</b> Complete the reevaluation process if the reevaluation is not current.</p> <p><b>LEA Level:</b> There must be training of appropriate special education personnel including the LEA representatives on the requirements of the reevaluation process.</p>
<b>III. ELIGIBILITY</b>			
Item #	Compliance Item	Response Criteria	Corrective Actions
EL 8	<p>There is documentation that evaluation is consistent with required eligibility criteria for all suspected disabilities.</p>	<p><b>Yes =</b> Assessment Summary/Eligibility Worksheet contains documentation of all required screenings and evaluations for eligibility.</p> <p><b>No =</b> Record does not contain all required screenings/evaluations and/or does not contain a report for each evaluation.</p>	<p><b>Student Level:</b> Missing data shall be entered into the Assessment Summary if evaluation was conducted.</p> <p><b>LEA Level:</b> Submit LEA-Level training plan to address process, procedure and/or policy related to this item.</p>

**IV. IEP DEVELOPMENT AND IMPLEMENTATION - CURRENT**

Item #	Compliance Item	Response Criteria	Corrective Actions
IEP 9	<p>There is documentation the IEP Team invited the parent(s) to the IEP Team Meeting.</p> <p>NC 1503-4.3 CFR 300.322</p> <p>IEP Document/Prior Written Notice Invitation to IEP Team Meeting</p>	<p><b>Yes</b> = Documentation that parent participated on IEP development, OR Documentation that parent participated by alternate method, OR Parent did not participate but evidence of adequate notices was provided (two or more) attempts such as: meeting notices, records of telephone calls, record of visits.</p> <p><b>No</b> = No documentation found.</p>	<p><b>Student Level:</b> Document parent response to invitation.</p> <p><b>LEA Level:</b> Submit LEA-Level training plan to address process, procedure and/or policy related to this item.</p>
IEP 10	<p>The current IEP was reviewed within one year.</p> <p>NC 1503-5.1 CFR 300.324</p> <p>IEP Document– the meeting date the team actually met.</p>	<p><b>Yes</b> = Review occurred within 365 days (e.g., April 5, 2012, to April 4, 2013) from the previous IEP OR The student was not enrolled in the North Carolina Public Schools OR was not eligible for services.</p> <p><b>No</b> = IEP was reviewed but not within 365 days or the annual review has not been conducted and is overdue.</p>	<p><b>Student Level:</b> If a current IEP has not been developed, convene the IEP team and conduct the annual review.</p> <p><b>LEA Level:</b> There must be training of appropriate special education personnel including the LEA representatives on the requirements of reviewing the IEP within one year.</p>
IEP 11	<p>The IEP contains statement(s) of the student’s present levels of academic achievement and functional performance (PLAAFP).</p> <p>NC 1503-4.1 CFR 300.320</p> <p>IEP Document</p>	<p><b>Yes</b> = The PLAAFP statement(s) include the required components:</p> <ul style="list-style-type: none"> <li>• Academic and functional strengths, <b>AND</b></li> <li>• Academic and functional needs, <b>AND</b></li> <li>• How the student’s disability affects involvement and progress in the general curriculum.</li> <li>• For preschool child – the PLAAFP includes how the disability affects the child’s participation in appropriate activities.</li> </ul> <p><b>No</b> = The PLAAFP statement does NOT contain all required elements.</p>	<p><b>Student Level:</b> Revise the PLAAFP.</p> <p><b>LEA Level:</b> Submit LEA-Level training plan to address process, procedure and/or policy related to this item.</p>

IEP 12	<p>Special Factors are addressed in the IEP (accommodations, goals, and/or services)</p> <p>NC 1503-5.1 CFR 300.324</p> <p>IEP Document</p>	<p><b>Yes</b> = If yes, addressed in the IEP.</p> <p><b>No</b> = Special Factor box is not checked OR if checked yes, is not addressed within the IEP.</p>	<p><b>Student Level:</b> Revise IEP to address special factors.</p> <p><b>LEA Level:</b> Submit LEA-Level training plan to address process, procedure and/or policy related to this item.</p>
IEP 13	<p>The IEP contains statements of measurable annual goals that address the needs identified in the PLAAFP.</p> <p>NC 1503-4.1 CFR 300.320</p> <p>IEP Document</p>	<p><b>Yes</b> = Each IEP goal is measurable and includes the academic and/or functional area and the level of achievement. Annual goal(s) are based on areas of needs described in the PLAAFP statements. (condition if applicable)</p> <p><b>No</b> = One or more IEP goals are not measurable, OR does not include all required components, OR is not based on needs identified in the PLAAFP.</p>	<p><b>Student Level:</b> Revise the annual goal(s) as required.</p> <p><b>LEA Level:</b> Submit LEA-Level training plan to address process, procedure and/or policy related to this item.</p>
IEP 14	<p>Services (SDI) address the annual goals.</p> <p>NC 1501-3.3 CFR 300.116</p> <p>IEP Document</p>	<p><b>Yes</b> = The continuum of services designated on the IEP reflects the frequency, duration, and location of services selected.</p> <p><b>No</b> = The continuum of services is not designated on the IEP and/or does not reflect the frequency, duration, and location of services selected.</p>	<p><b>Student Level:</b> Revise the IEP to address the frequency, location, and duration of services and/or the continuum of alternative placements.</p> <p><b>LEA Level:</b> Submit LEA-Level training plan to address process, procedure and/or policy related to this item.</p>
IEP 15	<p>The IEP indicates how the student will participate in the Statewide assessment program(s) with or without accommodations</p> <p>NC 1503-4.1 CFR 300.320</p> <p>IEP Document</p>	<p><b>Yes</b> = IEP indicates how the student will participate in the Statewide assessment program OR Student is not in a testing grade level.</p> <p><b>No</b> = Student participation is not addressed.</p>	<p><b>Student Level:</b> Revise the IEP to address required assessment participation.</p> <p><b>LEA Level:</b> Submit LEA-Level training plan to address process, procedure and/or policy related to this item.</p>

<p>IEP 16</p>	<p>The IEP indicates how the student will participate in district-wide assessment program(s) with or without accommodations.</p> <p>NC 1501-12.4 CFR 300.320</p> <p>IEP Document</p>	<p><b>Yes</b> = IEP indicates how the student will participate in the district-wide assessment program OR LEA does not administer district-wide assessments OR the student is not in a testing grade level.</p> <p><b>No</b> = Student participation is not addressed.</p>	<p><b>Student Level:</b> Revise the IEP to address participation in district-wide assessments.</p> <p><b>LEA Level:</b> Submit LEA-Level training plan to address process, procedure and/or policy related to this item.</p>
<p>IEP 17</p>	<p>The IEP explains why the regular testing program (with or without accommodations) is not appropriate and why the selected assessment is appropriate.</p> <p>NC 1503-4.1 CFR 300.320</p> <p>IEP Document</p>	<p><b>Yes</b> = An explanation is provided in IEP OR Student is taking standard statewide testing with/ without accommodations OR student is not in a testing grade level.</p> <p><b>No</b> = No explanation or partial explanation is provided in IEP.</p> <p><b>N/A</b>=Not taking an alternative assessment</p>	<p><b>Student Level:</b> Revise the IEP to address alternative assessments.</p> <p><b>LEA Level:</b> Submit LEA-Level training plan to address process, procedure and/or policy related to this item.</p>
<p>IEP 18</p>	<p>The least restrictive environment (LRE) justification (WHY) is addressed on current IEP (ages 3-21).</p> <p>NC 1503-4.1 CFR 300.320</p> <p>IEP Document</p>	<p><b>Yes</b> = IEP explains WHY the services cannot be delivered with nondisabled peers with the use of supplementary aids and services OR The student is not removed from nondisabled peers.</p> <p><b>No</b> = IEP does NOT explain WHY the services cannot be delivered with nondisabled peers with the use of supplementary aids and services.</p> <p><b>Notes:</b> Must explain why services cannot be given in the regular classroom with their nondisabled peers.</p>	<p><b>Student Level:</b> Revise the IEP to address LRE justification.</p> <p><b>LEA Level:</b> Submit LEA-Level training plan to address process, procedure and/or policy related to this item.</p>