

General Supervision File Review (GSFR)

Local Education Agency: _____ Reviewed by: _____
 Name of Student: _____
 Date of Birth: _____ Last _____ First _____
 Grade: _____ Eligibility Category: _____
 Current Eligibility Report Date: _____ Current Annual IEP Date: _____

Individualized Education Program

The GSFR checklist is a guide for conducting record reviews and is meant to be advisory only. This checklist is not inclusive of the LEA/public agency's legal obligations to children with disabilities.

Item 1 – Notice and Invitation to a Meeting/Consent for Agency Participation	Yes	No
The <i>Notice and Invitation to a Meeting/Consent for Agency Participation</i> is accurately completed and provided to the parent.		

Compliant	Non-Compliant
<ul style="list-style-type: none"> • Written notice with proposed date, time and location provided to parent/guardian. • Purpose(s) of the meeting are indicated. • Required participants were invited. • Results of attempt(s) to invite parent/guardian and student (age 16 or older) were recorded. • Parent/guardian was notified early enough to ensure opportunity to attend and/or participate. 	<ul style="list-style-type: none"> <input type="checkbox"/> No evidence written notice was provided to parent/guardian. <input type="checkbox"/> Written notice does not indicate one or more of the following: <ul style="list-style-type: none"> ○ Proposed date ○ Proposed time ○ Proposed location <input type="checkbox"/> Purpose(s) of the meeting not indicated. <input type="checkbox"/> Required participants not invited. <input type="checkbox"/> Results of attempt(s) to invite parent/guardian not recorded. <input type="checkbox"/> Results of attempt(s) to invite student (age 16 or older) not recorded. <input type="checkbox"/> Parent/guardian was given limited notice, without reasonable indication of why there was short notice.

Item 2 – Student Profile	Yes	No
The IEP includes all required information in the student profile.		

Compliant	Non-Compliant
Documentation includes:	
<ul style="list-style-type: none"> • Strengths of the child (academic and functional areas). 	<input type="checkbox"/> Strengths of the child (academic and functional areas) not included and/or irrelevant.
<ul style="list-style-type: none"> • Parental concerns for enhancing the education of the child (can include information that parent/guardian previously mentioned, earlier in the year) or documented attempts to gather information from the parent/guardian. 	<input type="checkbox"/> Parental concerns for enhancing the education of the child not included and/or marked N/A.
<ul style="list-style-type: none"> • Student preferences and/or interests. <ul style="list-style-type: none"> – Utilizing preference and interest information is a strong motivator that can energize learning. – For transition age students, include interest and preference information from age-appropriate transition assessment(s). 	<input type="checkbox"/> Student preferences and/or interests not included and/or marked N/A.
<ul style="list-style-type: none"> • Results of the most recent evaluations written in meaningful terms. <ul style="list-style-type: none"> – Information within the last one to three years. – Written in a manner that is easy for parent/guardian to perceive, understand, and/or interpret. 	Results of the most recent evaluations: <ul style="list-style-type: none"> <input type="checkbox"/> Information outdated and/or no longer relevant. <input type="checkbox"/> Information written in complicated, statistical terms.
<ul style="list-style-type: none"> • The academic, developmental, and functional needs of the student. <ul style="list-style-type: none"> – Includes a description of the needs of the student in relation to accessing and mastering grade level objectives. – Includes a description of the needs of the student in relation to basic skills in reading, writing, and/or mathematics. – Includes a description of the functional needs of the student in relation to independence and/or autonomy. 	<ul style="list-style-type: none"> <input type="checkbox"/> The Academic, Developmental, and Functional Needs of the student not included. <input type="checkbox"/> Information is not specific to the child’s: <ul style="list-style-type: none"> ○ Academic needs ○ Developmental needs ○ Functional needs <input type="checkbox"/> Information outdated and/or no longer relevant.
<ul style="list-style-type: none"> • Preschool Transition: For the child transitioning from EI to preschool, the IEP was developed and implemented on the 3rd birthday <u>or</u> a statement was written to justify the delay. 	<input type="checkbox"/> For the child transitioning from EI to preschool, the IEP was not implemented by the 3rd birthday but there is no statement to justify the delay.

Compliant	Non-Compliant
<ul style="list-style-type: none"> Other: When applicable, other information pertinent to the development of the IEP that does not have a specific place to be included otherwise (e.g., extended school year services, medical, job coach, English Learner plan, remote learning, notation that IEP was amended, certain information related to occupational therapy, physical therapy, assistive technology, etc.). <p><u>Note:</u> Details that are important to the safety and welfare of the student should always be included somewhere in the IEP (e.g., if there is a health plan, self-injurious behavior, or risk for elopement).</p>	

Item 3 – Special Instructional Factors	Yes	No
The IEP includes information required for special instructional factors.		

Compliant	Non-Compliant
<ul style="list-style-type: none"> If “<u>behavior</u>” is indicated as a special instructional factor, positive behavioral interventions and supports and/or strategies are indicated somewhere in the IEP (e.g., behavioral goals, behavioral intervention plan). <p><u>Note:</u> If there is evidence student has <u>behavior</u> needs “behavior” must be checked “Yes” and addressed.</p>	<input type="checkbox"/> “ <u>Behavior</u> ” checked “Yes” but positive behavioral interventions and supports and/or strategies (e.g., behavioral goals, behavioral intervention plan) are not included in the IEP.
<ul style="list-style-type: none"> If “<u>Behavioral Intervention Plan</u>” (BIP) is indicated as a special instructional factor, a behavioral intervention plan was developed and implemented. 	<input type="checkbox"/> <u>Behavioral Intervention Plan</u> checked “Yes” without BIP being developed (and implemented).
<ul style="list-style-type: none"> If “<u>limited English proficiency</u>” is indicated as a special instructional factor, it is documented the child has an EL plan <u>and/or</u> language needs related to the IEP are addressed. 	<input type="checkbox"/> <u>Limited English proficiency</u> is checked “Yes” but EL plan or addressing language needs related to the IEP is missing.
<ul style="list-style-type: none"> If “<u>instruction in Braille and the use of Braille</u>” is indicated as a special instructional factor, instruction in Braille and/or the use of Braille is addressed somewhere in the IEP. 	<input type="checkbox"/> <u>Instruction in Braille and the use of Braille</u> checked “Yes” but not addressed in the IEP.

Compliant	Non-Compliant
<ul style="list-style-type: none"> If “<u>communication needs</u>” is indicated as a special instructional factor, there is evidence that the IEP Team considered the communication needs of the child, and in the case of a child who is deaf or hard of hearing, consider the child’s language and communication needs, opportunities for direct communication with peers and professional personnel in the child’s language and communication mode, academic level and full range of needs, including opportunities for direct instruction in the child’s language and communication mode. <ul style="list-style-type: none"> Language and communication needs and/or opportunities for direct communication with peers and professional personnel are addressed in the IEP. 	<input type="checkbox"/> <u>Communication needs</u> checked “Yes” but language and communication needs not addressed and/or opportunities for direct communication with peers and professional personnel not included in the IEP (and provided).
<ul style="list-style-type: none"> If “<u>assistive technology devices and/or services</u>” is indicated as a special instructional factor, assistive technology needs are addressed somewhere in the IEP. 	<input type="checkbox"/> <u>Assistive technology devices and/or services</u> checked “Yes” but not addressed in the IEP.
<ul style="list-style-type: none"> If “<u>specially designed P.E.</u>” is indicated as a special instructional factor, adapted physical education services must be provided by the LEA/public agency directly or by making arrangements with other public or private programs. 	<input type="checkbox"/> <u>Specially designed P.E.</u> checked “Yes” but adapted physical education is not included in the IEP.
<ul style="list-style-type: none"> If “<u>alternate achievement standards</u>” is indicated as a special instructional factor: <ul style="list-style-type: none"> The student meets the criteria for being a student with a significant cognitive disability. The student receives instruction in the alternate achievement standards. The student is assessed on the ACAP Alternate. The student has benchmarks for all goals in the IEP. <p>Note: It is critical the IEP Team check the correct box for alternate achievement standards because this is how test materials are reserved for state testing.</p>	<input type="checkbox"/> <u>Alternate achievement standards</u> checked “Yes” but: <ul style="list-style-type: none"> No evidence the student meets the criteria for being a student with a significant cognitive disability. Student does not receive instruction in alternate achievement standards. Student is not assessed using the ACAP Alternate. Benchmarks not included for all goals in the IEP.
<ul style="list-style-type: none"> If “<u>transition services</u>” is indicated as a special instructional factor, the transition components of the IEP are completed. Transition services are required for children ages 16 and older, or younger (e.g., students younger than age 16 who are in the ninth grade) if determined appropriate by the IEP Team. 	<input type="checkbox"/> Student is age 16 or older, and <u>Transition services</u> is checked “Yes” but the transition components of the IEP are not completed. <input type="checkbox"/> Student is age 16 or older (or younger than 16 and in the ninth grade) and transition is not addressed.

Item 4 – Transportation		Yes	No	NA
If transportation is necessary for the child to benefit from special education and related services, the LEA/public agency appropriately documented (and provided) it.				
Compliant		Non-Compliant		
<ul style="list-style-type: none"> • If “Yes” is checked for related service, a representative from the transportation department was either included in the meeting or in discussions prior to the meeting about the transportation needs for the child. • Personnel were informed of specific responsibilities for IEP implementation related to transportation. 		<input type="checkbox"/> “Yes” is checked for related service, but a representative from the transportation department was not included in the meeting or in discussions prior to the meeting about the transportation needs for the child. <input type="checkbox"/> No documentation that personnel were informed of specific responsibilities for IEP implementation related to transportation.		

Item 5 – Nonacademic and Extracurricular Activities		Yes	No	NA
The child is afforded the opportunity to participate in nonacademic/extracurricular activities with his/her nondisabled peers.				

Compliant		Non-Compliant		
<ul style="list-style-type: none"> • The student is afforded the opportunity to participate in nonacademic/extracurricular activities with his/her nondisabled peers, with or without supplementary aids and services. • Explanation is provided if the child does not have the opportunity to participate in nonacademic/extracurricular activities with his/her nondisabled peers. 		<input type="checkbox"/> The child does not have the opportunity to participate in nonacademic/extracurricular activities with his/her nondisabled peers, and acceptable explanation is not provided.		

Item 6 – Present Level & Measurable Annual Goals	Yes	No
The IEP includes present levels of academic achievement and functional performance (PLAAFP) with required components and appropriate corresponding annual goal(s).		

Compliant		Non-Compliant
Present levels of academic achievement and functional performance (PLAAFP):	Documentation includes: <ul style="list-style-type: none"> • Strengths • Needs • How the student’s disability affects performance in the general education curriculum 	<input type="checkbox"/> For one or more present levels, strengths not data based and/or directly related to the needs being addressed in the goal. <hr/> <input type="checkbox"/> For one or more present levels, needs not data based and/or directly related to the needs being addressed in the goal. <hr/> <input type="checkbox"/> For one or more present levels, how the student’s disability affects performance in the general education curriculum is not based on characteristics of the student that are a result of his or her disability. <hr/>

<p>Measurable Annual Goals:</p>	<ul style="list-style-type: none"> • <u>Who (the student)</u> (Examples: Jane, Brandon, Oscar) • <u>Behavior (will do what)</u> (Example: Read 4th grade-level text orally with accuracy, appropriate rate, and expression) • <u>Criterion (to what level or degree)</u> (Examples: 90% accuracy; 100% accuracy on 4/5 trials; 80% accuracy on 5/5 trials; zero times per day; two times per class; 8/10 times) Note: the criterion must be appropriate for the skill(s) in the goal (e.g., 90% accuracy or 9/10 times might be appropriate for recognizing sight words, but anything less than 100% accuracy is not appropriate for something that involves a child's safety such as crossing the street). • <u>Conditions (under what conditions)</u> (Examples: Given 10 addition facts; using augmentative communication device; on a laptop; on a tablet device; with peers; of connected text; with a calculator; unassisted; given three choices; starting at any number less than 120; to request, protest, or greet familiar listeners; with guidance and support from adults) • <u>Timeframe (in what length of time)</u> (Examples: By January 7, 20XX; by the end of the second semester; by the end of the first nine weeks; by the end of the school year) • Goals are written in a way that allows for objective measurement of the child's progress. • Goals align to child's skill deficits in relation to grade level objectives. • Academic goals are aligned to 	<p>Critical component missing in one or more goals:</p> <p><input type="checkbox"/> Who _____</p> <p><input type="checkbox"/> Behavior _____</p> <p><input type="checkbox"/> Criterion _____</p> <p><input type="checkbox"/> Conditions _____</p> <p><input type="checkbox"/> Timeframe _____</p> <p><input type="checkbox"/> One or more goals not written to allow for objective measurement of the child's progress. _____</p> <p><input type="checkbox"/> One or more goals stacked, with numerous unrelated skills. _____</p> <p><input type="checkbox"/> One or more academic goals do not align to child's skill deficits in relation to grade level objectives. _____</p> <p><input type="checkbox"/> None of the academic goals align to state course of study standards or alternate achievement standards; or (for preschool children) developmental standards for preschool. _____</p>
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Compliant		Non-Compliant
	<p>course of study standards or alternate achievement standards; or (for preschool children) developmental standards for preschool.</p>	
Type(s) of evaluation for annual goal:	<p>Specify the method that will be used to measure progress.</p> <ul style="list-style-type: none"> The method selected to measure progress must coordinate with the goal (e.g., data collection should only be selected for goals that can be effectively measured through data collection). <p><u>Note:</u> While good grades can be evidence of progress, they are not necessarily a reflection of specific performance. (For instance, does a C mean a student partially mastered all the concepts; or fully mastered some of the concepts? Also, an A in one class may mean something totally different than an A in another class. For these reasons, grades may be one of the evaluation methods, but in most cases, grades should not be the only evaluation method.)</p>	<input type="checkbox"/> The type of evaluation selected does not coordinate with the goal and is not an effective means for measuring progress.
Benchmarks:	<p>For a child who takes the alternate assessment aligned to alternate achievement standards, a description of benchmarks or short-term objectives.</p> <ul style="list-style-type: none"> At least two benchmarks needed to reach annual goal, per goal. Benchmarks include clearly defined behavior(s) that allow for objective measurement of the child's progress toward reaching the annual goal. 	<p>For a child who takes alternate assessments:</p> <input type="checkbox"/> Benchmarks required but not developed. <input type="checkbox"/> For one or more goals, only one benchmark included when two are required. <hr/> <input type="checkbox"/> For one or more goals, benchmark(s) missing clearly defined behavior(s) that allow for objective measurement of the child's progress toward reaching the annual goal. <hr/>

Item 7 – Special Education and Related Services	Yes	No
The special education and related services to be provided to the child, or on behalf of the child are specific and precise.		

Compliant		Non-Compliant
Special Education	<ul style="list-style-type: none"> • Specially designed instruction includes adaptations to: <ul style="list-style-type: none"> – Content (knowledge and skills being taught) – Methodology (instructional strategies and approaches used to teach content), <u>or</u> – Delivery of instruction (the way in which instruction is provided) • Specially designed instruction is: <ul style="list-style-type: none"> – Provided by a special education professional (Note: Paraprofessionals and assistants who are appropriately trained and supervised, may <u>assist</u> with the provision of special education and related services) – Based on the needs of the student – Based on peer-reviewed research to the extent practicable • Specially designed instruction includes: <ul style="list-style-type: none"> – Anticipated frequency of service(s) – Amount of time – Beginning/ending duration dates – Location of service(s) 	<ul style="list-style-type: none"> <input type="checkbox"/> Special education services are not included. <input type="checkbox"/> Special education services: <ul style="list-style-type: none"> ○ Do not define adaptations to content, methodology, or delivery of instruction ○ Do not designate specially designed instruction provided by a special education professional ○ Are not based on the needs of the student ○ Are not specific or individualized to goals identified ○ Are not based on peer-reviewed research to the extent practicable (e.g., employing specially designed instruction based on a whim or a fad) <input type="checkbox"/> Special education services do not include: <ul style="list-style-type: none"> ○ Frequency of service(s) ○ Amount of time ○ Beginning/ending duration dates ○ Location of services(s)

Compliant		Non-Compliant
Related Services (if needed)	<ul style="list-style-type: none"> • Services that are required to assist a child with a disability to benefit from special education. <p>May include but are not limited to:</p> <ul style="list-style-type: none"> - Counseling services - Interpreting services - Medical services, for diagnostic and evaluation purposes only - Orientation and mobility services - Physical and occupational therapy - Psychological services - Recreation, including therapeutic recreation - School nurse services, designed to enable a child with a disability to receive a free appropriate public education - Social work services - Speech-language pathology and audiology services - Transportation - Rehabilitation counseling <ul style="list-style-type: none"> • Related services are based on peer-reviewed research to the extent practicable. 	<ul style="list-style-type: none"> <input type="checkbox"/> Related services are included, but do not include specific service details (e.g., services are vague and/or missing important details for effective implementation). <input type="checkbox"/> Related services do not include: <ul style="list-style-type: none"> o Frequency of services o Amount of time o Beginning/ending duration dates o Location of service(s) <input type="checkbox"/> Related services are not based on peer-reviewed research to the extent practicable (e.g., employing related services based on a whim or a fad)
Supplementary Aids and Services (if needed)	<ul style="list-style-type: none"> • Aids, services, and other supports that are provided in regular education classes or other education-related settings to enable children with disabilities to be educated with nondisabled children to the maximum extent appropriate. <p>Examples:</p> <ul style="list-style-type: none"> - Accommodations and/or Modifications <ul style="list-style-type: none"> • Supplementary aids and services are based on peer-reviewed research to the extent practicable. <p><u>Note:</u> Supplementary aids and services should be considered, and the IEP reviewed and possibly revised if, based on evidence available, the child is not making optimal progress in the general education curriculum and supplementary aids and services are not identified and/or the child</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Supplementary aids and services are included, but do not include specific service details (e.g., aids and services are vague and/or missing important details for effective implementation). <input type="checkbox"/> Supplementary aids services are not based on peer-reviewed research to the extent practicable (e.g., employing supplementary aids and services based on a whim or a fad).

Compliant		Non-Compliant
	is placed in a restrictive environment without supplementary aids and services being provided.	
Program Modifications (if needed)	<ul style="list-style-type: none"> Description of a change in the curriculum or measurement of learning. <p><u>Note:</u> Working toward alternate achievement standards is not a program modification.</p>	
Accoms. Needed for Assessments (if needed)	<ul style="list-style-type: none"> The IEP includes documentation of testing accommodations that clearly match the child’s individual needs; and are the same as or similar to those outlined on state testing forms. <p><u>Note:</u> Accommodations used on state assessments must have been provided routinely during classroom instruction and on classroom tests.</p>	<input type="checkbox"/> There is a mismatch between accommodations provided and the child’s individual needs.
Assistive Technology (AT, if needed)	<ul style="list-style-type: none"> Description of any assistive technology devices or services, or both, needed for the student to benefit from special education and/or related services, including whether a school purchased device is required to be used in the home or other settings in order for the student to receive a FAPE. <p><u>Note:</u> Parentally provided devices should be documented in the “Other” section of the Profile page, not in the “Assistive Technology” section on the Special Education and Related Services page.</p> <p><u>Note:</u> Names of devices, applications, or consultants should not be included in the IEP. The description of how it is used and/or function of the device, application, or consultation for the child to receive FAPE is what should be included in the IEP.</p>	<p><u>Talking point:</u> Assistive technology devices or services are included, but do not include specific service details (e.g., how AT is used, function of device, purpose of consultation).</p>

Compliant		Non-Compliant
Support for Personnel (if needed)	<ul style="list-style-type: none"> Description of the supports for school personnel that will be provided on behalf of the student in order for the student to advance toward attaining the annual goals, to be involved in and progress in the general curriculum and to participate in extracurricular and other nonacademic activities (Supports for school personnel are those that would help them to more effectively work with the student). <p><u>Note:</u> Support for personnel must be individualized and student specific.</p>	

Item 8 – Extended School Year (ESY)	Yes	No
The IEP Team considered ESY services on an individual basis, to determine if ESY services are necessary for the provision of FAPE.		

Compliant	Non-Compliant
<ul style="list-style-type: none"> The LEA/public agency may not limit extended school year services to particular categories of disability; or unilaterally limit the type, amount, or duration of those services. The IEP Team documented its consideration of ESY by checking “Yes” the IEP Team considered the need for extended school services. 	<input type="checkbox"/> The IEP Team checked “No” for whether ESY services were considered.

Item 9 – Least Restrictive Environment (LRE)	Yes	No
Placement decisions and LRE requirements are appropriately documented according to the needs of the child.		

Compliant	Non-Compliant
<ul style="list-style-type: none"> The placement decision is made by a group of persons, including the parent/guardian, and other persons knowledgeable about the child, the meaning of the evaluation data, and the placement options; and: <ol style="list-style-type: none"> Is determined at least annually; Is based on the child’s IEP; and Is as close as possible to the child’s home. 	<ul style="list-style-type: none"> <input type="checkbox"/> The placement was predetermined. (There are indications members of the IEP Team decided child's placement in advance of the IEP meeting without the parent/guardian’s participation or input.) <input type="checkbox"/> There are indications placement was predetermined for a period longer than one year (e.g., information in the profile that states the student will be in a specific setting from now until graduation, with more than one year left in school). <input type="checkbox"/> The placement is not individualized (e.g., there are indications the LRE is determined based on disability category.) <input type="checkbox"/> The child’s placement is not close to the child’s home and the IEP does not include an explanation.
<ul style="list-style-type: none"> Documentation includes an <u>explanation</u> of the extent, if any, to which the child will not participate with nondisabled children in the regular class and in the special education and related services to be provided. 	<ul style="list-style-type: none"> <input type="checkbox"/> The LRE explanation is vague and lacks specificity.
<ul style="list-style-type: none"> The LRE code is reflective of the time documented on the “Special Education and Related Services” page. 	<ul style="list-style-type: none"> <input type="checkbox"/> The LRE code designated on the IEP does not reflect the time documented on the “Special Education and Related Services” page.
<p><u>For Children in Preschool:</u></p> <ul style="list-style-type: none"> At least one early childhood LRE code is indicated. The early childhood code matches special education and related services/location(s) listed on the IEP Services page. 	<ul style="list-style-type: none"> <input type="checkbox"/> School age LRE code is indicated, instead of early childhood LRE code. <input type="checkbox"/> LRE code indicated does not match services/location(s) on the IEP Services page.

Item 10 – State Assessments	Yes	No	NA
The child is included in the state assessment system, with or without accommodations.			

Compliant	Non-Compliant
<ul style="list-style-type: none"> • If it is a state testing year, state testing forms are completed and decisions regarding which state assessment the child will take, and accommodations provided are clearly aligned to the student’s needs. • Accommodations used on state assessments were provided routinely during classroom instruction and on classroom tests. 	<ul style="list-style-type: none"> <input type="checkbox"/> It is a state testing year, and state testing forms are not part of the IEP process. <input type="checkbox"/> Accommodations for state testing do not align to the student’s needs. <input type="checkbox"/> There is no documentation that accommodations used on state assessments are provided routinely during classroom instruction and on classroom tests.

Item 11 – IEP Team Membership				Yes	No
IEP Team meeting included all required team members.					
<input type="checkbox"/> Parent or Guardian	<input type="checkbox"/> General Education Teacher of the child	<input type="checkbox"/> Special Education Teacher	<input type="checkbox"/> LEA Representative	<input type="checkbox"/> Someone who can interpret the educational implications of evaluation results	
<input type="checkbox"/> For transition aged students: If student is referred for or is currently receiving career/technical education, a representative of career/technical education was included as a member of the IEP Team. (Note: the career/technical education representative does not replace the general education teacher of the child)					

Compliant	Non-Compliant
<ul style="list-style-type: none"> • Signatures are included for required IEP Team members, including those serving a dual role. (Dual role is permitted for someone who can interpret the instructional implications of evaluation results.) • Required IEP Team members may be excused from an IEP meeting if (a) his or her area of expertise is not going to be discussed or modified at the meeting; and (b) the parent and school system both agree in writing that the member’s attendance is not necessary. • Even if a required IEP Team member’s area of expertise is going to be discussed at the meeting, it may still be possible for that member to be excused from attending, if the parent, in writing, and the LEA/public agency consent to the excusal; and the excused IEP Team member submits input into the development of the IEP prior to the meeting. This input must be in writing and is submitted to the parent and the IEP team. • The LEA Representative must be someone who is qualified to provide, or supervise the provision of specially designed instruction, knowledgeable about general education curriculum, knowledgeable about availability of school resources. 	<ul style="list-style-type: none"> <input type="checkbox"/> Incomplete IEP Team membership (i.e., required team members not included and consent for the excusal not documented in writing.) <input type="checkbox"/> Input into the development of the IEP prior to the meeting for excused team member(s) was required but not evident.

Item 12 – Notice of Proposal or Refusal to Take Action	Yes	No
In conjunction with an annual IEP/amendment, the <i>Notice of Proposal or Refusal to Take Action</i> (i.e., Prior Written Notice, PWN) is provided and includes an explanation for all required components related to the contents of the IEP.		

Compliant	Non-Compliant
<ul style="list-style-type: none"> • The parent/guardian is provided with written notice prior to the LEA/public agency’s proposal or refusal "to initiate or change the identification, evaluation, or educational placement of the child or the provision of FAPE to the child." • The PWN is provided to parent/guardian whenever an annual IEP is developed and/or an IEP is amended. • The PWN is written in language that is understandable to the general public; and provided in the native language of the parent/guardian or other mode of communication used by the parent/guardian, unless it is clearly not feasible to do so. • The written notice must include: <ul style="list-style-type: none"> – A description of the action proposed or refused by the agency; – An explanation of why the agency proposes or refuses to take the action; – A description of each evaluation procedure, assessment, record, or report the agency used as a basis for the proposed or refused action; – A statement that the parents of a child with a disability have protection under the procedural safeguards of this part and, if this notice is not an initial referral for evaluation, the means by which a copy of a description of the procedural safeguards can be obtained; – Sources for parents to contact to obtain assistance in understanding the provisions of this part; – A description of other options that the IEP Team considered and the reasons why those options were rejected; and – A description of other factors that are relevant to the agency’s proposal or refusal. 	<ul style="list-style-type: none"> <input type="checkbox"/> The parent/guardian is not provided written notice: <ul style="list-style-type: none"> ○ prior to the LEA/public agency’s proposal or refusal "to initiate or change the identification, evaluation, or educational placement of the child or the provision of FAPE to the child." ○ in conjunction with an annual IEP and/or IEP amendment. <input type="checkbox"/> The PWN includes complicated language, that is not understandable to a parent. <input type="checkbox"/> The PWN was not provided in the parent/guardian’s native language or other mode of communication used by the parent/guardian. <input type="checkbox"/> One or more components of the PWN are missing or incomplete: <ul style="list-style-type: none"> ○ A description of the action proposed or refused by the agency; ○ An explanation of why the agency proposes or refuses to take the action; ○ A description of each evaluation procedure, assessment, record, or report the agency used as a basis for the proposed or refused action; ○ A statement that the parents of a child with a disability have protection under the procedural safeguards of this part and, if this notice is not an initial referral for evaluation, the means by which a copy of a description of the procedural safeguards can be obtained; ○ Sources for parents to contact to obtain assistance in understanding the provisions of this part; ○ A description of other options that the IEP Team considered and the reasons why those options were rejected; and ○ A description of other factors that are relevant to the agency’s proposal or refusal.

Item 13 – Progress Report	Yes	No
Periodic reports on the progress the child is making toward meeting annual goals are provided to parent/guardian.		

Compliant	Non-Compliant
<ul style="list-style-type: none"> Progress reports were completed and provided to parent/guardian. 	<input type="checkbox"/> No evidence progress reports were completed and/or provided to parent/guardian.

Item 14 – IEP Amendments	Yes	No	NA
If the IEP was amended with or without an IEP Team meeting, the appropriate procedures were followed.			

Compliant	Non-Compliant
<ul style="list-style-type: none"> If the IEP was amended without an IEP Team meeting, the requirements for amending an IEP without an IEP meeting were followed. <ul style="list-style-type: none"> After the annual IEP Team meeting for a school year, the parent/guardian and the LEA/public agency agreed to make changes to the IEP and developed a written document to amend or modify the child's current IEP without convening an IEP Team meeting. After the IEP was amended, the LEA/public agency ensured that the child's IEP Team was informed of those changes. After the IEP was amended, the parent/guardian was provided with: <ul style="list-style-type: none"> Revised copy of the IEP with the amendments incorporated; and The <i>Notice of Proposal or Refusal to Take Action</i>. 	<input type="checkbox"/> The IEP was amended without a meeting and the requirements for amending an IEP without an IEP meeting were not followed. <ul style="list-style-type: none"> No evidence of a written agreement between the parent/guardian and the LEA/public agency to not convene the IEP Team meeting to make changes to the IEP. <input type="checkbox"/> After the IEP was amended, no documentation the LEA/public agency ensured that the child's IEP Team was informed of those changes. <input type="checkbox"/> After the IEP was amended, no evidence the parent/guardian was provided with a revised copy of the IEP with the amendments incorporated. <input type="checkbox"/> After the IEP was amended, no evidence the parent/guardian was provided with the <i>Notice of Proposal or Refusal to Take Action</i> .

Notes: