6 + 1* Reasons to Return a File for Compliance Errors

ACTIVE FILES CAN ONLY BE RETURNED WITHIN DISTRICT

These are the compliance errors a file can be returned (in district) for correction:
Files can be returned to sending school within 20 contract days (not including summer break) of date of receipt.
After 20 contract days, file corrections are the responsibility of the new team.

1. IEP missing, overdue (or due prior to **November 1** for Special Class, Preschool to KG, 6th, 9th and 12th grade transitions only) or does not contain service time that can be interpreted for the coming school year.
2. Data Review Documentation is missing preceding a re-eligibility or move-in that doesn't meet Utah eligibility criterion.
   a. *Data Review and Consent are only good 90 Calendar days.*
   b. *Dates of Data Review and Consent to evaluate and evaluation all need to be in sequence.*
3. Eligibility and Evaluation Summary is missing, incomplete or overdue (or due prior to **November 1** for Special Class, Preschool to KG, 6th, 9th and 12th grade transitions only).
   a. *If the student is an out-of-state move in and the move-in procedure was not followed by the receiving team, the file can be returned within 20 contract days of receipt.*
4. IEP or Eligibility signature page is blank.
   a. *Initial Placement and Initial IEP/Eligibility documentation <u>MUST</u> have Signatures.*
   b. *Subsequent documents need signatures, excusal or signature line documentation of online participation.*
5. Consent for Initial Placement missing or appropriate change of placement if a change of placement will occur. (Do not return files for change of placement that has already happened, this cannot be corrected retroactively.)
   a. *Consent for Initial Placement with a PARENT SIGNATURE must also be in the file for the out-of-state move in.*
6. Correctable errors noted on the TCM checklist are not corrected. This applies to LRE Transfers and Grade Level Change Transfers. Do not return a file if a TCM checklist is missing. *Some file compliance errors are not correctable, contact your TCM for support in determining the correct action to take in correcting the file.*

Plus 1*: IEP does not contain PLAAFP or Goals related to Transition Areas (at least Post-Secondary Education and Career and Employment). Transition Plan is blank or incomplete, or graduation credit substitution information is not recorded on the IEP (for all students turning 14 or above in the IEP year).

Files should not be returned to schools for non-correctable errors.
These errors include:
1. Missing progress reports for any term but the current term. Contact the case manager and request relevant information or look for the archive on myIDEA. Upon receipt, file the information as appropriate.
2. Missing notice of meeting form or meeting summary form. If the notice of meeting form is archived in myIDEA, print the missing copy and place it in the student file.
3. Missing specific team members' signatures on forms (IEP, Eligibility, Data Review, or Meeting Summary). It is unethical to get signatures on forms after the meeting has happened and could create a liability for the team if this practice was questioned. Missing signatures are NON-CORRECTABLE.
4. Teams disagreeing with Data Review determination made by previous IEP teams. This is a team decision. When the receiving school becomes the IEP team upon student enrollment, if there is a concern about the Data Review, it can be addressed by the new team. See the Guidelines and Procedures document called [CONSIDERATIONS AND PROCEDURES FOR THE RE-EVALUATION ELIGIBILITY DETERMINATION PROCESSS](#) for additional information.
5. Missing medical or developmental history on an eligibility that is current. The receiving team will be responsible for obtaining medical/developmental history at the time of re-evaluation.
6. Missing At-Risk or Referral form.
7. Inactive files are never returned for correction.

Files should also not be returned for these easily correctable errors:
1. Missing Current Information
2. Missing Record of Access