

# **Compliance Record Review Document**

Monitoring begins in the 2020-2021 school year



Kentucky Department of Education  
Office of Special Education and Early Learning  
Division of IDEA Monitoring and Results

**Updated November 2019**

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**Note: Items in bold above are State Performance Plan (SPP) Compliance Indicators**

## Introduction

The Compliance Record Review Document is based on the requirements of the Individuals with Disabilities Education Act (IDEA) and Kentucky Administrative Regulations for Special Education Programs (KARs). The Division of IDEA Monitoring and Results (DIMR) has revised this document to ensure compliance with legal and regulatory provisions to::

- promote a consistent standards for districts to use during compliance reviews of student due process folders;
- develop a professional learning tool for compliance monitoring;
- provide data collection guidance to accurately collect information required for KDE's federal State Performance Plan and Annual Performance Report (SPP/APR); and
- establish a consistent tool for use during the DIMR consolidated monitoring process.

These updates are to ensure not only compliance with the IDEA requirements, but to facilitate results-driven accountability (RDA) to improve student outcomes. For further explanation of the RDA framework, see the U.S. Department of Education's letter to chief state school officers [here](#).

For more information on documenting requirements, see the [Infinite Campus Student Information System](#) for Special Education Data Standards.

## Directions for Review of Records

In order to yield accurate information, student records must be selected randomly. Random means records are not preselected. Selecting the record of every third, fifth or tenth student from the district's current special education enrollment is one means of random selection. Random also means that records are selected from a variety of schools, teachers, case managers and categories of disability. For assistance in obtaining true random numbers, visit [Random.org](#). The web site contains a random number generator.

For Indicators 11, 12 and 13, at least 10 percent of the district's special education population related to the indicator must be selected for the review to be valid.

A minimum of 10 files must be reviewed. If the district has 10 or fewer students that are covered by the indicator, all student records for that item must be reviewed. For example, if the district has eight students referred to its preschool program from First Steps, all eight records must be reviewed. Districts are not required to review more than 50 records.

For Indicator 11, at least 10 percent of students evaluated during the current year must be chosen at random and their records reviewed. This includes both students determined to be eligible for specially designed instruction and those found not eligible for special education.

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## Correction of Noncompliance

### **Violations of IDEA that can be corrected**

During the record review process for Indicators 11, 12 and 13, districts may find items in student records that are violations of IDEA. Some of these violations may be corrected, depending on the nature of the violation.

In most cases, it will be necessary to convene an ARC to correct the violation in the student's IEP. If the ARC convenes to correct the violation, the ARC's documentation must reflect authentic, appropriate processes and corrections.

Only Indicator 13 records can be corrected prior to submission of the data to the KDE. If the record is corrected prior to submission to KDE, the record is considered to be in compliance.

### **Examples of violations that may be corrected prior to KDE submission include:**

- failure to document postsecondary goals in the IEP (#51a)
- failure to document transition services in the IEP (#51b)
- failure to invite outside agencies (with prior consent) to the ARC meeting to discuss transition (#51c)
- failure to document the student's multi-year course of study (#51e)
- failure to link annual goals to related postsecondary goals (#51f)
- failure to document evidence of transition assessment (#51g)

### **Violations of IDEA that are reported as noncompliance**

Some violations of IDEA identified during the district's record review cannot be corrected in individual student records due to the nature of the violation. This includes Indicators 11, 12 and parts of Indicator 13, as specified below:

- not obtaining parent consent prior to inviting outside agencies to the ARC meeting (#51d)
- not inviting the student to the ARC meeting (#51h)
- missing the timeline for updating postsecondary goals annually (#51i)
- not having transition requirements in the IEP by the student's 16<sup>th</sup> birthday (#52)
- missing the timeline for initial evaluation (#56)
- missing the timeline for annual review (#32)
- missing the timeline for an IEP being in place by the third birthday for children transitioning from First Steps to preschool (#31b)

Though these violations cannot be corrected, the district must remedy the noncompliance for the individual student and document it in the student's record. For example, failure to meet the timeline for an IEP in place by the child's third birthday cannot be corrected; however, it can be *remedied* for that student by ensuring an IEP is in place, even though late.

If the student is no longer under the district's jurisdiction, individual noncompliance cannot be corrected.

Violations found in the due process files of two or more students in a district are deemed systemic. Documentation of systemic correction is required in addition to individual correction of noncompliance, according to [OSEP Memorandum 09-02](#). In the case of a systemic violation, the KDE randomly selects student folders from the district. The KDE then verifies whether the record review item in question for *all* folders randomly reviewed is in compliance. If the item is correct for all student folders, the KDE has ensured systemic correction has occurred, pursuant to [OSEP Memorandum 09-02](#).

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**Demographic Information (Required)**

**Kentucky Compliance Record Review Document  
(Including Reporting Requirements for SPP/APR)  
Monitoring begins in the 2020-2021 school year**

Reviewer's Name \_\_\_\_\_

Date \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Student's Name \_\_\_\_\_  
Student's DOB \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ Grade \_\_\_\_\_

Race/Ethnicity       Hispanic/Latino                       American Indian/Alaska Native  
                                  Asian     Black/African American  
                                  White     Native Hawaiian or Other Pacific  
                                  Two or More Races                      Islander

Disability \_\_\_\_\_

School \_\_\_\_\_

District \_\_\_\_\_

Mark box below for the age range of the student:

- Preschool child (exiting Part C)
- Student (age 3-15)
- Student (age 16 or older)

Mark box below for the meeting purpose:

- Initial Referral/Eligibility
- 3-Year Reevaluation
- Annual Review
- Other \_\_\_\_\_

Notes: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Review the **most current** information from the student's record to document compliance.

**Confidentiality of Information**  
**[707 KAR 1:360 Section 2](#)**

**Items 1-3**

**Note:** Individuals included in the district’s list of employees with legitimate educational interests under the Family Educational Rights and Privacy Act (FERPA) are not required to sign the Record of Access.

<b>Relevant Document</b>	<b>Yes</b>	<b>No</b>
<b>A Record of Access is in the record and includes method for documenting:</b>		
1. The name of the party seeking access		
2. The date access was given, <b>AND</b>		
3. The purpose for which the party is authorized to use the record(s)		

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**Notice of Admissions and Release Committee (ARC) Meeting**  
[707 KAR 1:320 Sections 3 and 4](#)

**Items 4 -14**

<b><u>Relevant Documents</u></b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
<b>Notice of Admissions and Release Committee Meeting form; Infinite Campus Contact Log; Conference Summary Report</b>			
<p>4. The Local Education Agency (LEA) provides a written invitation to the parent(s) at least seven calendar days before an ARC meeting.</p> <p><b>NOTE:</b> This also applies to initial ARC meetings for preschoolers transitioning from First Steps.  <i>Mark NA if documentation shows</i></p> <ul style="list-style-type: none"> <li>• <i>the parent(s) requested or agreed to meet earlier; or</i></li> <li>• <i>if the meeting is for a safety issue or a change in placement due to a violation of a code of student conduct.</i></li> </ul>			
<p>5. There is documentation of the district’s attempts to arrange a mutually-agreed-upon time and place.</p> <p><b>NOTE:</b> If the parent does not attend; did not return the Notice of Admissions and Release Committee Meeting with their intentions; <u>and</u> there is no documentation of multiple attempts (more than one method of attempts) to contact the parent or emancipated student, mark NO. The documentation record may include notes of phone calls, copies of correspondence sent to parents or detailed records of visits to home or parent’s place of employment.</p> <p><i>Mark NA if documentation shows that the parent(s) requested or agreed to meet earlier; the meeting is for disciplinary change in placement or a safety issue; or if the parent(s) returned the copy of the notice stating their intention for attendance.</i></p>			
6a. The purpose of the meeting			
<b>6b. For children who are in 8<sup>th</sup> grade or age 14 and older, the purpose of the meeting indicates the ARC discussion of postsecondary needs, postsecondary services or both.</b>			
7. The time of the meeting			
8. The date of the meeting			
9. The location of the meeting			
10. The role of participants attending the meeting			
11. An option for the parent(s) to note the need for alternative meeting times, dates, locations and means of participation			



<b><u>Relevant Documents</u></b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
<b>Notice of Admissions and Release Committee Meeting form; Infinite Campus Contact Log; Conference Summary Report</b>			
12. Notice that the parents may invite people with knowledge or special expertise of the child to the meeting			
13. <b>For children transitioning from First Steps</b> , an invitation to the initial ARC meeting is sent to the First Steps Service Coordinator or other representatives of the Part C system if the parent requests.			
14. <b>For children who are in 8<sup>th</sup> grade or age 14 and older:</b> the child is invited to the meeting.			
<b>NOTE:</b> This requirement applies to a student who has reached the age of 14 and has not reached 8 <sup>th</sup> grade.			

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**ARC Membership**  
[707 KAR 1:320 Sections 3 and 4](#) and [707 KAR 1:340 Section 1](#)

**Items 15-23**

**Note:**

- Attendees must **sign** the **Conference Summary Report**.
- Dually certified personnel in grades K-12 may not serve in multiple roles. For example, a special education teacher who is also certified in regular education cannot serve as the special education teacher and the regular education teacher.  
 (See [OSEP Guide to the Individualized Education Program](#))
- The word “parent” is used to refer to the parent as defined in [707 KAR 1:002 Section 1 \(43\)](#); or emancipated youth, if the student is 18 or older.

<b>Notice of Admissions and Release Committee Meeting or Conference Summary Report</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
<p>15. Parent in attendance, <b>OR</b></p> <p>In cases where the parent did not attend, documentation shows that <b>all</b> of the following occurred:</p> <ul style="list-style-type: none"> <li>• Parents were provided written notification of the meeting.  <input type="checkbox"/> Yes    <input type="checkbox"/> No</li> <li>• Parents were provided notification of the meeting through multiple means.  <input type="checkbox"/> Yes    <input type="checkbox"/> No</li> <li>• Parents were offered alternative meeting time and location.  <input type="checkbox"/> Yes    <input type="checkbox"/> No</li> <li>• Parents were given the opportunity for alternate means of participation (informal conference, phone or video conferencing, e-mail, home visit, initial or reevaluation parent rating scales).  <input type="checkbox"/> Yes    <input type="checkbox"/> No</li> <li>• Parents were sent a copy of the IEP and <b>Conference Summary Report</b> (as indicated on the <b>Conference Summary Report</b> by <u>method and date</u>).  <input type="checkbox"/> Yes    <input type="checkbox"/> No</li> </ul>			

Notice of Admissions and Release Committee Meeting or Conference Summary Report	Yes	No	NA
16. A regular education teacher of the child to provide information about the general curriculum for same aged peers			
17. A special education teacher of the child, <b>OR</b> a special education teacher knowledgeable of the suspected disability  <b>NOTES:</b> <ul style="list-style-type: none"> <li>• If the student receives only Speech/Language services, the Speech/Language Pathologist (SLP) serves as the special education teacher.</li> <li>• The preschool teacher may serve as regular and special education teacher if the preschool teacher is Interdisciplinary Early Childhood Education (IECE) certified, <b>AND</b> the ARC documents the person served both roles by noting <b>IECE</b> after signature.</li> </ul>			
18. A representative of the school district, qualified to provide, or supervise the provision of specially designed instruction, knowledgeable of the curriculum and district resources			
19. An individual who can interpret the instructional implications of evaluation results who may be a member of the team described in sixteen through eighteen (16-18)  <b>NOTE:</b> The individual may be a diagnostician, psychologist, SLP, teacher or administrator who can interpret assessment results.			
20. Related services personnel, as appropriate			
21. For children who are in <b>8th grade or age 14 and older</b> , the child is involved in the ARC process relative to transition planning. Documentation shows that the following occurred: <ul style="list-style-type: none"> <li>• The student attended the meeting <b>OR</b>  _____ Yes      _____ No</li> <li>• If the student did not attend, other steps were taken to ensure that the student's preferences and interests were considered.  _____ Yes      _____ No</li> </ul>			
22. If a member of the ARC is dismissed from attending the ARC meeting in whole or in part, the parent <i>and</i> the district agree to the dismissal in writing <i>prior to the meeting</i> .  <b>NOTE:</b> The statement must be dated <i>prior to the meeting</i> and signed by the parent(s) and district representative.			

<b>Notice of Admissions and Release Committee Meeting or Conference Summary Report</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
<p>23. If a member of the ARC is dismissed, the member must submit input into the development of the IEP in writing to the parent(s) and the ARC, if the member's area of curriculum or related service is to be modified or discussed in the meeting. Input must be submitted <i>prior to the meeting</i>.</p> <p><b>NOTE:</b> This input must be dated <i>prior to the meeting</i> and signed by the parent(s) and district representative.</p>			

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**Notice to Parent(s)**  
[34 CFR § 300.503](#)  
**Items 24-29**

**Note:**

- If relevant discussion occurs in the ARC meeting that is not reflected in any section of the **Conference Summary Report**, the discussion **must** be documented in the **Conference Summary Report** minutes.
- Information used that is not included on the evaluation plan is listed as “Other.”
- If an evaluation or reevaluation was conducted, the relevant descriptions must be marked.
- For any annual review meeting, “Student Progress in Achieving IEP Goals,” must be a basis for the action.

<b>Notice of Admissions and Release Committee Meeting and Conference Summary Report</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
24. A <b><u>description</u></b> of each evaluation procedure, test, record or report used as a basis for proposed or refused action, including: <ul style="list-style-type: none"> <li>• Boxes are checked for each evaluation procedure, test, record or report the district used as a basis for the proposed or refused action.</li> <li>• A description of assessment instruments and procedures is included.</li> </ul>			
25. A <b><u>description</u></b> of the action proposed or refused			
26. An <b><u>explanation</u></b> of why the LEA proposed or refused to take action			
27. A <b><u>description</u></b> of any other options and reasons those options were rejected			
28. A <b><u>description</u></b> of any other factors related to the LEA’s proposal or refusal			
29. A statement that the parents have protection under Part B Procedural Safeguards Notice and, if this is not an initial referral for evaluation, the means by which a copy of the Parent Rights can be obtained. A copy of the notice shall be provided: <ul style="list-style-type: none"> <li><input type="checkbox"/> At least annually</li> <li><input type="checkbox"/> Upon initial referral or parent request for evaluation</li> <li><input type="checkbox"/> In accordance with discipline procedures (change in placement)</li> <li><input type="checkbox"/> Upon request by a parent</li> <li><input type="checkbox"/> Upon receipt of the first state written complaint</li> <li><input type="checkbox"/> Upon receipt of the first filing of a due process hearing in a school year</li> </ul>			

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**Preschoolers Transitioning from Part C**  
[34 CFR 300.124](#), [300.323](#) and [300.101](#)  
[707 KAR 1:300 Section 1\(3\)](#) and [707 KAR 1:320 Section 3\(6\)](#)

**Items 30-31b**

<b>IFSP signature page or Conference Summary with LEA representative signature</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
<p>30. For preschoolers transitioning from Part C (First Steps), a district representative participated in transition conferences arranged by First Steps.</p> <p><b>Note:</b> This is First Steps' transition meeting that must occur at least 3 months prior to the child's third birthday. This is not a district meeting. It usually takes place in the child's home.</p>			
<p>31a. For preschoolers transitioning from Part C, the IFSP was considered in developing the IEP.</p>			
<p>31b. For children exiting Part C, documentation shows the IEP was developed and implemented by the child's third birthday.</p> <p>Child's birth date: _____</p> <p>IEP development ARC date: _____</p> <p>Date referral was made by First Steps: _____</p> <p>Date accepted by the LEA: _____</p> <p>If beyond timeline, indicate ARC's reason for delay:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> parent repeatedly failed or refused to produce the student for evaluation</li> <li><input type="checkbox"/> student transferred from another district and parent and district agreed to extension date</li> <li><input type="checkbox"/> other (reason entered from IC dropdown box)</li> </ul>			

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**Individual Education Program (IEP)**  
[34 CFR § 300.320, 707 KAR 1:320 and](#)  
[707 KAR 1:350 Section 1](#)

**Items 32-49**

**Note:**

- Infinite Campus IEP uses the term, “End Date,” instead of Review Date.
- Explanations and definitions for items in the IEP can be found in the [Guidance Document for IEP Development](#).

<b>IEP, Conference Summary Report, Progress Monitoring Data</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
<p>32. The ARC conducts a review of the IEP <b>annually</b> (within the calendar year) to determine whether the annual goals for the student are being achieved and revises the IEP as appropriate.</p> <p><b>NOTE:</b> Mark <b>NA</b> if child has been receiving special education less than one year.</p> <p>Start and end dates of last <b>two</b> IEPs:</p> <p>1. _____</p> <p>2. _____</p>			
<p>33. The student’s Present Levels of Academic Achievement and Functional Performance (Present Levels), including <b>how</b> the disability affects involvement and progress in the general curriculum (or, for preschool, participation in appropriate activities).</p> <p><b>NOTE:</b> Each area includes strengths, areas of concern supported by data, <b>and</b> results of the initial or most recent progress monitoring data, results of any state or district-wide assessments or evaluation. The ARC <b>must</b> include <b>baseline data</b> in the Present Levels section of the IEP <b>OR</b> the area is marked commensurate with peers, or not an area of concern.</p>			
33a. Communication Status			
33b. Academic Performance			
33c. Health/Vision/Hearing/Motor Abilities			
33d. Social and Emotional Status			
33e. General Intelligence			
33f. Functional Vision/Learning Media/Assessment ( <a href="#">KRS 158.282</a> )			
33g. Functional Hearing, Listening and Communication Assessment <a href="#">707 KAR 1:320 Section 5 (1)(d)</a>			

<p>34. Transition Needs (for children in 8th grade or age 14 and older)</p> <p>NOTE: There must be a minimum of one area (instruction; related service; community experience; development of employment and other postsecondary adult living objectives; and, if appropriate, acquisition of daily living skills and provision of a functional vocational evaluation) addressed. It must align with the child's ILP. (<a href="#">704 KAR 3:305</a>)</p>			
<p>35. A summary statement, included in the Present Levels, of <b>how</b> the child's disability affects the child's involvement and progress in the general curriculum.</p> <p>This can be noted within each area of concern or one summary statement for all areas.</p>			
<p>36. Consideration of Special Factors are completed for the following areas and are <b>consistent with information provided in the Present Levels</b>. The ARC shall include a statement of the IEP indicating the needs for a particular device or service for any areas of concern.</p>			
36a. Behavior			
36b. Limited English Proficiency			
36c. Blind or visually impaired			
36d. Communication needs			
36e. Deaf or hard of hearing			
36f. Assistive technology needs (reference <a href="#">707 KAR 1:290, Section 7</a> )			
<p>37. Statement of measurable annual goals</p> <p>NOTE: Measurable annual goals must relate directly to the Present Levels and meet the child's academic and other educational needs that result from the disability. Each measurable annual goal must have enough detail to allow for quantifiable measurement and may be accomplished by including the following components:</p> <ul style="list-style-type: none"> <li>(a) audience (student's name)</li> <li>(b) behavior</li> <li>(c) circumstances</li> <li>(d) degree/criteria</li> <li>(e) evaluation/method of measurement</li> <li>(f) frequency of data collection</li> </ul>			
<p>38. Evidence of progress data collection and analysis for each annual goal to show how the child's progress toward meeting the annual goals was measured.</p> <p>NOTE:</p>			



<ul style="list-style-type: none"> <li>• Each data point must include a date.</li> <li>• On-going progress data may be kept in a separate location from the due process folder, if the evidence of final analysis (cumulative graphs, charts, checklists) and the written summary of the analysis are added to the student's due process record when the IEP is reviewed.</li> <li>• Any supporting evidence not uploaded to IC must be available upon request of the reviewer during the DIMR consolidated monitoring process.</li> </ul> <p>Mark NA if this is an initial IEP and prior to the first data collection requirement outlined in the goal(s).</p>			
<p>39. Statement of Specially Designed Instruction (SDI) for each measurable annual goal.</p> <p>"Specially-designed instruction" means adapting as appropriate the content, methodology, or delivery of instruction to address the unique needs of the child with a disability and to ensure access of the child to the general curriculum included in the Program of Studies, <a href="#">704 KAR 3:303</a>.</p>			
<p>40. Statement of when the parent(s) will be regularly informed of progress toward the goals</p>			
<p>41. Statement of Supplementary Aids and Services (SAS)</p> <p>"Supplementary aids and services" means aids, services, and other supports that are provided in regular education classes or other education-related settings to enable a child with disabilities to be educated with nondisabled children to the maximum extent appropriate in accordance with <a href="#">707 KAR 1:350</a>.</p> <p>NOTE: This section cannot be left blank.</p>			
<p>42. Consideration of Individual Accommodations for Administration of State Assessments, District Assessments, and Assessments in the Classroom (<a href="#">703 KAR 5:070</a>) is documented.</p>			
<p>43a. Statement of decisions and reasons for meeting the requirements for Alternate Assessment Program</p> <p>Note: As reflected in the <a href="#">Participation Guidelines Documentation</a>, to participate a student must meet all four participation criterion. If the ARC determines that the child meets the criteria for participation in the alternate assessment program as provided in <a href="#">703 KAR 5:070</a>, it shall provide a statement of its decision and the reasons for the decision [<a href="#">707 KAR 1:320 Section 5 (11)</a>].</p>			

<p>43b. If the student meets requirements to participate in the alternate assessment aligned with alternate academic achievement standards (AA-AAAS), student's current level of communication has been determined and verified by the ARC. <a href="#">703 KAR 5:070</a></p> <p>Note: The student's current level of communication must be documented in the Present Levels of the IEP.</p>			
<p>43c. If the student meets requirements to participate in the AA-AAAS, documentation in the IEP shows evidence of a communication plan.</p> <p>NOTE: The student must have a communication plan or the student's IEP must document communication is not an area of concern at this time (in which a communication plan would not be necessary). The communication plan may be documented in the Present Levels, Special Factors, Measurable Annual Goal(s) or Supplementary Aids and Services areas of the IEP.</p>			
<p>44. Statement of program modifications and supports for school personnel to be provided for the student to:</p> <ul style="list-style-type: none"> <li>• advance appropriately toward attaining the annual goals</li> <li>• be involved and progress in the general curriculum</li> <li>• participate in extracurricular and other nonacademic activities and</li> <li>• be educated and participate with other students with or without disabilities</li> </ul> <p>NOTE: If the ARC determined the student does not require program modifications or support for school personnel, then "not needed" may be documented on the <b>Conference Summary Report</b></p>			
<b>Least Restrictive Environment (LRE)</b>			
<p>45a. An explanation of the extent, if any, to which the student will not participate with nondisabled students in regular education classes.</p>			
<p>45b. The ARC considered potentially harmful effects of the placement on the student or the quality of services.</p>			
<p>45c. Documentation shows that removal of the student from the regular educational environment occurs only if education in the regular education environment with the use of supplementary aids and services cannot be satisfactorily achieved due to the nature or severity of the disability.</p> <p>NOTE:</p> <ul style="list-style-type: none"> <li>• Documentation shows that placement in regular class is the first placement option considered.</li> <li>• This includes a statement for the <b>reason</b> services cannot be provided in the regular educational environment.</li> </ul>			
<b>Special education services</b>			

46a. Anticipated frequency of service			
46b. Anticipated amount of time (duration)			
46c. Projected beginning and ending dates			
46d. Anticipated location(s)			
<b>Related services</b>			
47a. Anticipated frequency of service			
47b. Anticipated amount of time (duration)			
47c. Projected beginning and ending dates			
47d. Anticipated location(s)			
48. The ARC considered extended school year (ESY) services according to individual student need. ( <a href="#">707 KAR 1:290, Section 8</a> )			
49. The ARC considers the concerns of the parent(s) in the development of the IEP. ( <b>Conference Summary Report</b> Present Levels of IEP)			

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**Transition Services**  
**707 KAR 1:320 Section 7**

**Items 50-54**

<b>IEP or Conference Summary Report</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>												
<p>50. For students in the <b>8<sup>th</sup> grade or age 14 and older</b>, the student has a multi-year course of study needed to assist the student in reaching postsecondary goals.</p> <p><b>NOTE:</b></p> <ul style="list-style-type: none"> <li>• Multi-year means at a minimum from the <b>current</b> year to the student’s expected year of exiting high school.</li> <li>• The student’s multi-year course of study must be in alignment with the student’s ILP as required by <a href="#">707 KAR 1:320, Section 7 (1)</a>.</li> <li>• Discussion of the review of the student’s multi-year course of study must be documented in the <b>Conference Summary Report</b>.</li> </ul>															
<p>51 a-i Complete this section for students who are <b>16 years of age or older</b>.</p> <p style="text-align: center;">State Performance Plan Indicator 13 Kentucky Transition Requirements</p> <p><b>NOTE:</b> ARCs may use student profiles from statewide testing (<i>Your Plans</i> and <i>Your Career Possibilities</i>) as well as ILP information (<i>Careers that Interest Me</i>) to inform decisions about postsecondary goals and transition services. The student profiles also include information from the student about their self-assessed needs (<i>Your Reported Needs</i>).</p> <p>If, on the day of the review of the student’s record, the student is 16 years old, the transition requirements must be met.</p>															
<p>51a. The IEP includes appropriate measurable postsecondary goals aligned to other available student information, such as Present Levels, student interests or preferences, related to:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">1. Training or education (<b>Required</b>)</td> <td style="width: 10%;">Yes</td> <td style="width: 10%;">No</td> <td style="width: 20%;"></td> </tr> <tr> <td>2. Employment (<b>Required</b>)</td> <td>Yes</td> <td>No</td> <td></td> </tr> <tr> <td>3. When appropriate, independent living skills</td> <td>Yes</td> <td>No</td> <td>NA</td> </tr> </table>	1. Training or education ( <b>Required</b> )	Yes	No		2. Employment ( <b>Required</b> )	Yes	No		3. When appropriate, independent living skills	Yes	No	NA			
1. Training or education ( <b>Required</b> )	Yes	No													
2. Employment ( <b>Required</b> )	Yes	No													
3. When appropriate, independent living skills	Yes	No	NA												
<p>51b. The IEP includes transition services that are needed to assist the student in reaching postsecondary goals.</p> <p><b>NOTE:</b> The ARC must document specific transition services needed and the agency responsible for each service under the post-secondary goal.</p> <p>For examples of transition services, see Indicator 13 Requirements.</p>															
<b>IEP or Conference Summary Report</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>												

51c. For transition services likely to be provided or paid for by another agency, the other agency is invited to send a representative, if appropriate.			
51d. If an agency was invited to send a representative, prior written Consent for Outside Agency Invitation signed by the parent is included.  NOTE: Prior written consent must be updated with the student's signature when the student turns 18.			
51e. As a transition service, the student has a multi-year course of study needed to assist the student in reaching postsecondary goals.  NOTE: <ul style="list-style-type: none"> <li>• Multi-year means at a minimum from the current year to the student's expected year of exiting high school.</li> <li>• The student's multi-year course of study must be in alignment with the student's Individual Learning Plan (ILP) as required by <a href="#">707 KAR 1:320, Section 7 (1)</a>.</li> <li>• Discussion of the review of the student's multi-year course of study must be documented in the <b>Conference Summary Report</b>.</li> </ul>			
51f. Annual goal(s) included in the IEP are related to the transition service needs.  NOTE: <ul style="list-style-type: none"> <li>• Education or Training and Employment must be checked. Independent Living is checked when appropriate.</li> <li>• If the IEP includes only one annual goal, the goal must address both Education or Training and Employment.</li> <li>• If the IEP includes more than one annual goal, the ARC may check Education/ Training in one or more goals and Employment in one or more goals.</li> <li>• If the area of Independent Living is appropriate, a goal must be included to address this area.</li> </ul> Education/Training (Required) Employment (Required) Independent Living (When appropriate)			
51g. Measurable postsecondary goals are based on age-appropriate transition assessments. <ul style="list-style-type: none"> <li>• Assessments may include: behavioral assessment information, aptitude tests, interest and work values inventories, intelligence tests and achievement tests, personality or preference tests, career maturity or readiness tests, self-determination assessments, work-related temperament scales and transition planning inventories.</li> <li>• The record includes documentation that age-appropriate transition assessment data were used to provide information on the student's needs, strengths, preferences and interests regarding each postsecondary goal.</li> </ul>			

NOTE: Age-appropriate means the measure reflects the student's chronological age rather than developmental age.			
51h. The student is invited to the ARC meeting where transition services are discussed. <a href="#">707 KAR 1:320, Section 3 (4)</a>			
Note: If the student does not attend the ARC meeting, the LEA must ensure the student's preferences and interests are considered.			
51i. The measurable postsecondary goals are updated annually.			
52a. At least one year prior to the student reaching the age of majority, the IEP includes a statement that the student and parent have been informed of the student's rights and that the rights will transfer to the student upon reaching the age of majority.			
NOTE: The age of majority in Kentucky is 18.			
52b. The <b>Conference Summary Report</b> includes documentation of prior notice for the student if graduating from high school with a regular high school diploma.			
53. For students graduating or aging out, documentation shows the student was provided a summary of the student's academic achievement and functional performance, including recommendations on how to assist the student in meeting postsecondary goals. <a href="#">707 KAR 1:300 Section 4</a>			

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**Evaluation Timelines**  
[34 CFR 300.124](#) and [300.323](#),  
[707 KAR 1:300 Section 4](#),  
[707 KAR 1:320 Section 1 & 2](#), and  
[707 KAR 1:340](#)

**State Performance Plan Indicator 11**

**Items 55-58**

<b>Consent for Evaluation form; Consent for Services form; Notice of Admissions and Release Committee (ARC) Meeting; Conference Summary; Eligibility Determination form</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
<p>54. For students initially referred during the current (reporting) school year, the ARC completed the evaluation within 60 school days from receipt of the parent’s Consent for Evaluation.</p> <p><b>NOTE:</b> <i>All referrals</i> must be considered as part of the random review of records, including referrals for students not found eligible for IDEA services.</p> <p>Mark <b>NA</b> if:</p> <ul style="list-style-type: none"> <li>• The parent(s) of a student repeatedly (more than two times) fails to produce the student for the evaluation, or</li> <li>• The student transfers to the school district after consent for initial evaluation is given but before the evaluation is completed.</li> </ul> <p>Date of consent for evaluation: _____</p> <p>Date of ARC for eligibility determination:            _____</p> <p>Date of consent for services:            _____</p> <p>If beyond timeline, indicate number of school days:            _____</p> <p>If beyond timeline, indicate ARC’s reason for delay:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> parent repeatedly failed or refused to produce the student for evaluation</li> <li><input type="checkbox"/> student transferred from another district and parent and district agreed to extension date</li> <li><input type="checkbox"/> other (reason entered from IC dropdown box) _____</li> </ul>			

<b>Consent for Evaluation form; Consent for Services form; Notice of Admissions and Release Committee (ARC) Meeting; Conference Summary; Eligibility Determination form</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
<p>55. Within the 60 school-day period, an LEA shall ensure the ARC meeting to develop an IEP for a student is conducted within 30 days of the determination that the student is eligible.</p> <p>Date of eligibility ARC meeting: _____</p> <p>Date of IEP development: _____</p>			
<p>56. The ARC conducted a reevaluation in the current (reporting) year within <b>three calendar years</b> from the date of the last Eligibility ARC meeting.</p> <p>Date of previous Eligibility ARC Meeting: _____</p> <p>Date of current Eligibility ARC Meeting: _____</p> <p><b>NOTE:</b></p> <ul style="list-style-type: none"> <li>• This may consist of a review of existing data.</li> <li>• Mark <b>NA</b> if there was no reevaluation needed in the current year.</li> </ul>			
<p>57. The IEP is in effect at the beginning of the school year.</p> <p><b>NOTE:</b> Mark <b>NA</b> for a student not eligible at the beginning of the school year.</p>			

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**Initial Evaluation and Reevaluation**  
**707 KAR 1:300**

**Item 59-67b**

**Notes:**

- Documentation of progress data must be attached that includes evidence of delivery of the research-based intervention and instruction by qualified personnel provided in the regular education setting (targeted area of concern, strategies/interventions, impact on targeted area).
- The intervention services must be instructional (example - phonetic instruction in reading). Instruction does not include accommodations such as preferential seating or extended time.

<ul style="list-style-type: none"> <li>• <b>Referral form with documentation of instruction and interventions implemented</b></li> <li>• <b>Data-based documentation of repeated assessments</b></li> <li>• <b>Conference Summary - Consent to Evaluate/Reevaluate</b></li> <li>• <b>Multi-Disciplinary Evaluation Report and Classroom Observations</b></li> <li>• <b>Social-Development History, Adaptive Behavior Assessments, Rating Scales</b></li> </ul>			
<p>The ARC reviewed a Referral for Multi-Disciplinary Evaluation, including documentation of instruction and interventions, prior to conducting a full and individual evaluation.</p> <p><b>NOTE:</b> Item 58 is only completed for an initial evaluation. Mark NA for reevaluation.</p>			
<p>58a. Documentation shows prior to or as part of the referral process, the student was provided:</p> <p>_____ Yes _____ No    Appropriate, relevant research-based instruction and intervention services</p> <p>_____ Yes _____ No    Instruction and interventions delivered in regular education settings</p> <p>_____ Yes _____ No    Instruction and interventions delivered by qualified personnel</p>			
<p>58b. Documentation shows prior to or as part of the referral process:</p> <p>_____ Yes _____ No    Data-based documentation of repeated assessments of achievement and behavior</p>			

<input type="checkbox"/> Yes <input type="checkbox"/> No Collected and evaluated at reasonable Intervals <input type="checkbox"/> Yes <input type="checkbox"/> No Results of repeated assessments provided to Parents			
59. The ARC identified a suspected disability and planned an appropriate evaluation as documented on Consent to Evaluate/Reevaluate form.  <input type="checkbox"/> Yes <input type="checkbox"/> No A <u>review and analysis</u> of the referral information, <b>AND</b>  <input type="checkbox"/> Yes <input type="checkbox"/> No the information was sufficient to support a suspected disability, <b>AND</b>  <input type="checkbox"/> Yes <input type="checkbox"/> No the assessment components necessary to assess the student were documented			
60. The ARC conducted a full and individual evaluation in all areas related to the suspected disability.  <b>NOTE:</b> For a review of data for a reevaluation, mark <b>YES</b> if the ARC documented a full review and analysis of the existing data.			
61. The ARC used a <i>variety</i> of assessment tools and procedures to determine if the student has a disability and to determine an appropriate educational program.  <b>NOTE:</b> For a review of data for a reevaluation, mark <b>YES</b> if the ARC documented a full review and analysis of the existing data.			
62. The ARC provided and administered the assessment in the native language or mode of communication appropriate for the student, <b>OR</b> documentation exists that it was clearly not feasible.			
63. The ARC considered evaluations and information provided by the parents.			
64. The ARC included a discussion of: <ul style="list-style-type: none"> <li>• current classroom-based, local or state assessments</li> <li>• classroom observations</li> <li>• observations from teachers and related service providers</li> </ul>			

<ul style="list-style-type: none"> <li>• Referral form with documentation of instruction and interventions implemented</li> <li>• Data-based documentation of repeated assessments</li> <li>• Conference Summary - Consent to Evaluate/Reevaluate</li> <li>• Multi-Disciplinary Evaluation Report and Classroom Observations</li> <li>• Social-Development History, Adaptive Behavior Assessments, Rating Scales</li> </ul>	Yes	No	NA
65. The ARC conducted a full and individual evaluation <b>prior to</b> implementing special education services.			
66a. If the ARC determines additional <u>data is not needed</u> for a reevaluation, the ARC documents the review of existing data including: <ol style="list-style-type: none"> <li>1. Evaluations and information provided by the parents (if available);</li> <li>2. Minimum of two classroom-based informal observations by ARC members;</li> <li>3. One or more of the following:             <ul style="list-style-type: none"> <li>○ Current classroom-based assessment data (include progress monitoring data)</li> <li>○ Local assessment data</li> <li>○ State assessment data</li> </ul> </li> </ol>			
66b. Notifies parent(s) of the reasons the ARC is not conducting a reevaluation, <b>AND</b> informs parent(s) of their right to request an assessment.			

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