

# Exceptional Student Education Compliance Manual 2013–14



Florida Department of Education  
Bureau of Exceptional Education and Student Services

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# **Exceptional Student Education**

## **Compliance Manual**

**2013–14**

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## **Exceptional Student Education Compliance Manual 2013–14**

### **Introduction**

The Florida Department of Education, Bureau of Exceptional Education and Student Services (bureau), in carrying out its roles of leadership, resource allocation, technical assistance, monitoring, and evaluation, is required to oversee the performance of district school boards in the enforcement of all exceptional student education (ESE) laws and rules (sections 1001.03(8), 1003.571 and 1008.32, Florida Statutes [F.S.]). One purpose of the Individuals with Disabilities Education Act (IDEA) is to assess and ensure the effectiveness of efforts to educate children with disabilities (section 300.1(d) of Title 34, Code of Federal Regulations [CFR]). In accordance with IDEA, the bureau is responsible for ensuring that the requirements of the Act and the educational requirements of the State are implemented (34 CFR §300.149(a)(1) and (2)).

In fulfilling this requirement, the bureau monitors ESE programs that district school boards provide in accordance with sections 1001.42, 1003.57, and 1003.573, F.S. Through these monitoring activities, the bureau examines and evaluates procedures, records, and ESE services; provides information and assistance to school districts; and otherwise assists school districts in operating effectively and efficiently. The monitoring system is designed to emphasize improved educational outcomes for students while ensuring compliance with applicable federal laws and regulations and state statutes and rules.

### **Background**

IDEA and its implementing regulations at 34 CFR §300.600 require that states focus their oversight activities on the following priority areas:

- Provision of a free appropriate public education (FAPE) in the least restrictive environment (LRE)
- General supervision, including child find; effective monitoring; and the use of resolution meetings, mediation, and a system of transition services designed to facilitate the student's articulation from school to post-school activities
- Disproportionate representation of racial and ethnic groups in special education and related services, to the extent the representation is the result of inappropriate identification

In accordance with 34 CFR §300.601, each state is required to develop a Part B State Performance Plan (SPP) that addresses indicators identified by the Office of Special Education Programs (OSEP) as representative of the monitoring priority areas noted. States are required to establish rigorous performance targets for each of the indicators and to submit an Annual Performance Report (APR) that details progress toward those targets.

Florida's general supervision system ensures that school districts meet federal and state requirements related to the SPP indicators and make progress toward indicator targets as well as comply with all other federal and state requirements related to ESE programs. For the

purposes of this document, the term “school district” is used to identify any public agency designated as a local education agency (LEA) that receives funds through IDEA and is responsible for providing exceptional student education.

This document describes monitoring procedures and includes the protocols needed to conduct required compliance reviews, as well as optional protocols for districts to use for internal quality assurance activities or professional development.

## **Overview**

All school districts will participate in a leveled system of compliance monitoring that includes both self-assessment activities and on-site monitoring visits. The results of monitoring activities will be used for LEA determinations required under 34 CFR §300.603 and to inform future monitoring activities.

To the extent applicable, all districts participate in Level 1 monitoring by completing web-based self-assessment protocols related to basic ESE procedures. In addition, some districts may be required to complete additional self-assessment(s) in Level 2 monitoring by completing indicator-specific “focused” protocols. **Level 2 monitoring may happen concurrently with Level 1 monitoring.** On-site monitoring and assistance of selected districts may include on-site visits and will be conducted in addition to Level 1 and any required Level 2 activities. Each of these levels is described in detail in the corresponding section of this manual.

## **Definitions**

### ***Monitoring***

Monitoring consists of the activities or actions conducted to determine the functioning of a program or services compared to what is required by a regulation for the purpose of accountability.

### ***Self-Assessment***

Self-assessment is the process whereby districts undertake the review of critical components of their ESE programs. This is accomplished by completing the applicable protocols to determine the level of compliance with federal and state laws, rules, and regulations regarding procedures related to exceptional student education. Districts are responsible for conducting the self-assessment and for identifying and reporting on required corrective actions. The bureau will issue a preliminary report upon district submission of the self-assessment results. The bureau will validate the self-assessment results and verify correction of noncompliance. Findings resulting from the self-assessment, validation, and verification processes will be incorporated into a final report.

### ***Finding of Noncompliance***

In accordance with OSEP’s guidance regarding noncompliance that is identified through monitoring processes, within a given school district a ***finding of noncompliance*** is identified by the standard (i.e., regulation or requirement) that is violated, not by the number of times the standard is violated. Therefore, **multiple incidents** of noncompliance regarding a given standard that are identified through monitoring activities are reported as a **single finding** of noncompliance for that district. In contrast, **all findings** identified through state complaints and due process hearings in a given school district are reported in the SPP/APR as separate and distinct findings of noncompliance.

### **Identification of Noncompliance**

Formal **identification of noncompliance** occurs when the State issues a written conclusion that includes the citation of the regulation that has been violated and a description of the data supporting the decision of compliance or noncompliance with that regulation. Examples include the following:

- Correspondence provided following self-assessment
- Correspondence provided within two weeks of an on-site monitoring visit identifying student-specific noncompliance
- Final monitoring report provided within 60 days of an on-site monitoring visit, identifying additional noncompliance, if any, revealed during the development of the report
- Report of inquiry issued as a result of a state complaint investigation

**Note:** There are situations in which noncompliance is discovered through monitoring or other activities and is corrected by the district prior to being formally identified (i.e., prior to receipt of written notification from the bureau). In accordance with guidance from OSEP, the bureau must verify the district's correction of the noncompliance, but the noncompliance need not be counted as a finding of noncompliance for the purposes of the SPP/APR.

### **Correction of Noncompliance**

Based on guidance OSEP provided, the bureau has revised the standard used to determine whether a district has corrected noncompliance. OSEP Memorandum 09-02, *Reporting on Correction of Noncompliance in the Annual Performance Report Required under Sections 616 and 642 of the Individuals with Disabilities Education Act*, dated October 17, 2008, clarified that states must apply the following two-pronged standard when evaluating a district's **correction of noncompliance**:

- The district has corrected each individual incident of noncompliance
- The district is correctly implementing the specific regulatory requirement (i.e., achieved 100 percent compliance) based on the State's review of updated data

OSEP provided the following questions and answers related to this issue during the 2010 OSEP Leadership Conference on August 3, 2010:

- *Do both prongs of OSEP Memo 09-02 apply to the verification of correction of all findings of noncompliance?*

Yes. Both prongs of OSEP Memo 09-02 apply to correction of all findings of noncompliance, and noncompliance reported in APRs, whether there is a high level of compliance (but below 100 percent) or a low level of compliance.

- *May states use "thresholds" for correction of noncompliance?*

No. Consistent with the guidance in OSEP Memo 09-02 and the 2010 APR response tables, states must obtain updated data that:

- Can be for less than the entire reporting period
- Can be a subset of children

These data must reflect 100 percent compliance before a state can conclude and report that noncompliance has been corrected.

Based on this clarification, in order to verify a district's correction of identified noncompliance, there must be evidence that correction occurred for the individual student **and that the district is implementing the requirement appropriately for 100 percent of a sample of students.** Effective with the 2010–11 monitoring cycle, the procedures and requirements related to corrective actions were revised to reflect this change.

### ***Timely Correction***

In accordance with OSEP requirements, ***timely correction*** means that noncompliance is corrected and supporting documentation is submitted to the State as soon as possible but in no case later than one year from identification (i.e., from receipt of written notification of noncompliance). To ensure that noncompliance is corrected as soon as possible, the following procedures and timelines apply.

- For noncompliance identified through the self-assessment process, **within 60 days** of the date of follow-up correspondence, districts are expected to correct each incident of noncompliance and submit evidence of the action taken to correct it.
- For noncompliance identified through on-site monitoring, State complaint investigations, or the statewide data reporting system, the procedures and timelines for correction will be based on the nature and extent of the noncompliance and will be stated in the relevant correspondence or reports.
- **Ten windows of time** (i.e., monthly, from August through May) during which districts can sample records to demonstrate 100 percent compliance have been established. Sampling will continue until the district demonstrates 100 percent compliance, **which can be no later than one year from the date the noncompliance was identified.** (Additional guidance is provided in the Correction of Noncompliance section of this manual.)

### ***Verification***

In accordance with the OSEP requirements, states must **verify** that districts have corrected any findings of noncompliance. In most instances, verification is accomplished when the district submits supporting documentation (e.g., a copy of the revised individual educational plan [IEP] that reflects the required components). Verification must occur as soon as possible but in no case longer than one year from identification of the noncompliance.

### ***Validation***

An effective system of general supervision requires that monitoring procedures and protocols are implemented consistently to ensure the integrity of the process. Validation is the means whereby bureau staff test the accuracy of data obtained from the district's self-assessment.

### ***Enforcement Actions***

Enforcement actions designed to promptly bring the district into compliance are actions taken by the State education agency or lead agency against a school district that has not corrected noncompliance within one year from its identification.

## **Monitoring Procedures and District Selection**

### **Levels 1 and 2 – Self-Assessment**

A self-assessment system that comprises both basic (Level 1) and focused (Level 2) components has been established to ensure that school districts comply with all applicable laws, regulations, and State statutes and rules, while focusing on the SPP indicators. The bureau has developed web-based compliance protocols to align with selected SPP indicators using OSEP's *Part B SPP/APR Related Requirements* document. The specific standards (i.e., regulatory requirements) OSEP determined to relate most directly to each priority area and indicator under IDEA, as well as Florida-specific statutes and rules, are incorporated into the protocols, which include the citations for each standard.

The information required to complete these protocols is included in this document as *Appendix A: Self-Assessment Protocols*. In addition to the protocols required for monitoring, protocols related to other ESE procedures (e.g., evaluation and eligibility) have been included for informational or staff-training purposes.

### ***Self-Assessment Sampling Plan***

Sampling plans identify the number of records to be reviewed as well as any criteria that must be applied when selecting student records (e.g., elementary, middle, or high schools; charter schools; Department of Juvenile Justice [DJJ] facilities; specific disabilities; age, race, or gender; diploma option). Sampling plans are based on district size, the specific protocol in question, and the number of protocol types the district is required to complete. LEAs will be notified of specific student records to sample for Levels 1 and 2 monitoring through correspondence with their bureau liaison.

To the extent applicable, record selection will be based on school-level data related to the specific indicator. Districts may be asked to provide additional information about the schools in the district (e.g., feeder patterns for school enrollment, location of special programs). District-specific information regarding the specific protocols to use is provided in *Appendix B: District-Required Activities*. As applicable, a given student record may be used to complete more than one required protocol.

### ***Completion of Web-Based Protocols***

The self-assessment process requires that protocols representing specific ESE procedures be completed and submitted via the ESE General Supervision Website (GSW) at <http://beess.fcim.org>. Correction of noncompliance and program improvement plans are also reported and tracked via this website.

To ensure confidentiality, no personally identifiable student information will be included on the website. The following procedures must be adhered to:

- Upon beginning a review for a given protocol, a **unique student identifier** will be assigned by the web-based application.
- **The user must record the student identifier assigned to the particular review;** and provide this number to the bureau liaison on a student list, as maintaining this information is critical for the validation and verification processes.
- A single student record may be used to complete more than one protocol; **if so, a separate unique student identifier will be assigned to each protocol, not to each student record.**
- Upon completion of the self-assessment, districts must submit via mail documentation of the sampling process, including a list of student records sampled. The list must include student identification information, grade level, school from which the record was sampled, primary exceptionality, and unique student identifier(s) assigned to the records that were selected for self-assessment.
- The bureau will identify records for validation from the list.

If you have questions regarding the content or procedures related to the self-assessment, please contact your bureau monitoring liaison (see *Appendix C: Bureau Contacts*). For questions regarding technical difficulties accessing or navigating the website, please contact the Florida Center for Interactive Media (FCIM) at [support@fcim.org](mailto:support@fcim.org) or 800-357-1072. When contacting FCIM, please include your name, school district, and the protocol or section of the website with which you have experienced difficulty.

Refer to *Appendix D: Comprehensive Timeline of Activities* for a detailed schedule of required activities.

### **Level 3 Monitoring and Assistance**

On-site monitoring of selected districts is conducted annually, which may be included as part of Level 3 monitoring and assistance. The focus of the visits and other assistance varies by district and is based on areas of concern identified by the bureau. Team members providing the assistance may include bureau staff as well as other Florida Department of Education staff, discretionary project staff or contracted consultants.

#### ***Pre-Planning for On-Site Visits***

Districts are notified of on-site visits by a telephone call to the exceptional student education director and a letter to the superintendent. Following communication between the bureau and the district regarding the date of the visit, the bureau liaison will contact the district to discuss the activities of the on-site monitoring process. Items to be included in the discussion(s) prior to the on-site visit may include the following:

- Request(s) for additional data to determine specific school site selection
- Notification of school principals
- Request for student records for review
- Identification of district staff to participate in pre-visit telephone interview(s)
- Logistics (daily schedules) of on-site visit
- School checklist for on-site preparation
- Student focus groups
- School-level interviews
- Classroom observation procedures
- Exit interview
- Letters to school principals
- Letter to district regarding student-specific noncompliance
- Final on-site report
- Follow-up regarding required corrective action
- Close-out letter following verification of completion of corrective action

#### ***School Selection***

The bureau will determine school site selections after submission of data pertaining to the specific issues to be addressed (e.g., number of students with disabilities who have been restrained or secluded and the number of incidents reported, students with disabilities with matrix of services with cost factors of 254 or 255). School selection will vary depending upon the reason(s) for the on-site visit and the size of the district. If applicable, at least one charter school and DJJ facility will be visited. It is recommended that the ESE director notify the schools and DJJ facilities in advance of the scheduled visit, as the bureau liaison may need to communicate with the school principals prior to the visit.

The following checklist is intended as a guide for selected schools to use in completing activities in conjunction with the monitoring process:

- Prepare a map of the school with ESE teachers' rooms identified for bureau staff
- Prepare copies of teacher schedules, bell schedule, and pertinent information about the school (e.g., unique programs in place)
- Prepare copies of ESE student rosters, including name, date of birth, disability(ies), statewide assessment participation (Florida Comprehensive Assessment Test [FCAT

2.0] or Florida Alternate Assessment), matrix rating, and time in general education classes

- Inform school staff about the upcoming visit and make them aware of the possibility of an interview and class visit
- Notify all teachers and staff who have contact with the potential case study students (any ESE student) of the need to have lesson plans, IEPs, work samples, portfolios, attendance records, and other records that may be pertinent to the individual case study available for review
- Make arrangements for a substitute teacher or other appropriate personnel as needed to cover classes for teachers who are being interviewed
- Have private space available for interviews and record reviews, if possible

**Note:** The bureau may make unannounced visits to additional schools in the district at any time during the on-site visit.

### ***Student Records***

The bureau may request student records prior to the on-site visit. The records to be reviewed may include but are not limited to the following:

- Current IEP
- Previous IEP
- Functional behavioral assessment (FBA), if any
- Behavioral intervention plan (BIP), if any
- Therapy logs
- Discipline record
- Attendance record
- Report cards
- Student schedule
- Parent notices and other documentation related to restraint and seclusion
- Any other supporting documentation, as needed

No more than 35 records will be requested prior to the on-site visit. However, additional records may be requested at the time of the visit.

### ***District Interview***

Prior to the on-site visit, selected district staff members may be asked to participate in a telephone interview with the on-site monitoring team. The selection of district staff members to participate is at the discretion of the ESE director and varies by the focus of the visit, but typically includes the ESE director, compliance staff, and other district-level personnel responsible for the area(s) of concern. Questions or topics for discussion will be provided prior to the interview in order to allow time for the district to provide accurate responses and opportunity for discussion. In some cases, this interview is conducted on-site at the beginning of the visit.

### ***Daily Schedule***

The daily schedule for the on-site visit will be provided via email to the ESE director. The schedule will include the dates and times of the school visits. The exchange of contact numbers for district staff and the bureau team leader is highly recommended, in the event there are delays or a change in schedule while on-site.

In general, upon arrival at the school, the team will review the ESE student roster, teacher course schedules, and other information to identify potential case study students. The school will be asked to retrieve the following for each potential case study student:

- Cumulative folder, including any ESE records, report cards, and progress reports
- Attendance record
- Disciplinary file, as applicable
- Documentation related to restraint and seclusion, as applicable
- Class schedule

School administrators and staff will be interviewed regarding the identified issues for the visit. School-specific information and programs will be discussed during this time. Following the administrative interview, ESE and general education teachers of case study students will be interviewed and classroom observations will be conducted. Lesson plans, parent contact logs, and any other relevant documentation should be available for review upon request. Student focus groups, if applicable, will be conducted. The school will have previously identified these students, with parents contacted in accordance with district policy.

On the last day of the on-site visit (or within the following week, by telephone), an exit interview will be held with the ESE director, any district staff members the ESE director selects, and the on-site team members. Concerns and noncompliance identified during the on-site visit will be discussed during this meeting, as well as any exemplary practices identified. Requests for additional documentation may be made at this time.

## **Reporting Procedures and Corrective Actions**

### **Follow-Up Correspondence**

#### ***Levels 1 and 2 Self-Assessment***

Upon completion of all required record reviews by school district staff, the results will be submitted to the bureau via the self-assessment website and follow-up correspondence will be provided to the district ESE director via email and hard copy. If the district has identified noncompliance, the correspondence will include instructions regarding the types of corrective action required. In addition, this correspondence will include the following:

- For each standard (i.e., regulatory requirement):
  - Total number of records reviewed on this indicator
  - Total number of incidents of noncompliance
  - Rate (percent) of noncompliance
- Identification of noncompliance by student identifier for which correction for the individual student is required
- Identification of noncompliance by student identifier for which individual correction is not possible; evidence of steps taken to ensure future compliance is required

#### ***Level 3 Monitoring and Assistance***

If student-specific noncompliance is identified, the bureau will send a letter to the ESE director within two weeks of the on-site visit. The letter will include a description, by student, of the standards for which noncompliance was identified.

## Correction of Noncompliance

A finding of noncompliance is made when the standard aligned with a given regulatory requirement is not met for one or more students. As described in the *Definitions* section, the following two-pronged standard applies when evaluating correction of noncompliance:

- The district has corrected each individual incident of noncompliance
- The district is correctly implementing the specific regulatory requirement (i.e., achieved 100 percent compliance) based on the State's review of updated data

### **Individual Correction**

Individual correction should occur as soon as possible. For noncompliance identified through the self-assessment process, **within 60 days of receipt of the date of follow-up correspondence**, districts must submit evidence of the following via the GSW:

- If individual correction **is** possible, the district must correct the noncompliance for the individual student(s) in question and provide a description of the action taken (e.g., convened the IEP team and revised the goals, contacted the parent and amended the IEP), the date the action was taken, and the outcome of the action.
- If individual correction **is not** possible, the district must identify the policy, procedure, or practice that caused the noncompliance and provide evidence of the action taken to ensure future compliance (e.g., training for the specific staff member(s) responsible, sending meeting notices regarding the required content of the notices).
- In addition to the individual correction procedures described above, the district must **either** develop a corrective action plan (CAP) detailing the activities, resources, and timelines the district will employ to ensure that the compliance target of 100 percent will be met **or** demonstrate through review of a random sample of student records that the district is now consistently implementing the requirement (i.e., 100 percent compliance). (See *Demonstrating 100 Percent Compliance – Windows for Sampling and Reporting* below.)

For noncompliance identified through on-site monitoring, State complaint investigations, and database reporting, the correction and sampling procedures described above will apply and the district will be notified of the required timelines to be followed.

### **Demonstrating 100 Percent Compliance – Windows for Sampling and Reporting**

For **any finding of noncompliance**, as soon as possible but in no case later than one year from identification, the district must demonstrate that it is implementing the targeted standard(s) 100 percent of the time. Procedures for sampling and reporting compliance are as follows:

- **Sampling**
  - Ten monthly windows for sampling have been established – August, September, October, November, December, January, February, March, April, and May. In addition, for noncompliance identified through the self-assessment process, sampling can occur within the 60-day period during which individual student correction must occur (see *Individual Correction* above).
  - Sampling during any given month is optional; however, the intent is that correction occurs as soon as possible, and the district **must** demonstrate 100 percent compliance through sampling **no later than one year** from the date of identification (SPP – 15 Timely Correction of Noncompliance).
  - **The sample must reflect actions taken within the stated month** (e.g., IEP was developed or amended within the month, incident of restraint or seclusion occurred within the month).

- The minimum sample size is **five** student records, unless the total number of eligible records for that month is fewer than five; if so, report on the total number of eligible records (i.e., one, two, three, or four).
- **Reporting**
  - By the **15<sup>th</sup> of each month**, the district must report, based on the previous month's actions, **one** of the following for **each** of the target standard(s):
    - The size of the sample and the results of the review (i.e., rate of compliance), **or**
    - That there were no eligible records during the month, **or**
    - That the district opted not to sample during the month
  - When the district reports 100 percent compliance, verifying documentation must be provided to the bureau; upon review and approval, districts will be notified that the corrective action is complete.
  - **Once the district has demonstrated 100 percent compliance on the target standard(s), no additional sampling or reporting on that standard is required.**

### **Corrective Action Plans**

As indicated above, the district must demonstrate that a given standard is implemented appropriately 100 percent of the time. For noncompliance identified during the self-assessment process, the district may demonstrate 100 percent compliance through a sampling process within 60 days of the date of follow-up correspondence, **or** the district must develop and implement a CAP to address the root cause of the noncompliance and achieve the goal of 100 percent compliance as soon as possible but in no case later than one year from identification.

Noncompliance may reflect isolated incidents; complex, systemic issues related to the ways in which a district implements its ESE programs; or inconsistencies in the way the district's established policies and procedures are practiced by staff across the district. To ensure that the CAP includes effective strategies, districts are encouraged to implement a problem-solving process to identify those factors most likely to impact the standards in question. For example, if during a focused review regarding LRE a systemic finding of noncompliance is made regarding the IEP team's explanation of the extent, if any, to which the student will not participate with nondisabled peers in the general education classroom, it would be helpful for district staff to understand the basis upon which placement decisions are made. Understanding the root cause of noncompliance will assist the district in developing and implementing effective strategies to address the issue. Additional sources of information, such as interviews with teachers, administrators, and IEP team members or more in-depth record reviews, could be used to inform the problem-solving process. Problem-solving teams that include stakeholders and staff from a range of disciplines are generally most effective.

The CAP **must include**, at a minimum, (1) a description of activities to be implemented, (2) the resources to be accessed or allocated to implement the plan, and (3) assessment on the targeted standard(s) of a sample of records in accordance with the procedures described in *Demonstrating 100 Percent Compliance – Windows for Sampling and Reporting* above. Activities may include such actions as reviewing and revising policies, procedures, or forms; implementing intensive, targeted staff development; increasing supervision or changing staff assignments; or adding staff or other resources. The CAP must be developed to ensure noncompliance will be corrected to a level of 100 percent and verified by the bureau as soon as possible, but in no case later than one year from identification. Bureau staff are available to assist the district (see *Appendix C: Bureau Contacts* for a list of district monitoring liaisons).

CAPs required as a result of Level 1 or Level 2 self-assessment should be submitted to the bureau for approval **within 60 days of the date of follow-up correspondence**. For CAPs required as a result of on-site monitoring, State complaint investigations, or other data sources, the district will be notified of the required timelines to be followed. Bureau compliance and program staff will review CAPS, and districts will be notified if revisions to the plan are required to better facilitate attainment of the desired outcomes.

### **Validation of Self-Assessment**

A sampling of records from each district will be selected for validation.

- Districts will be provided a list of selected student identifiers and will be required to submit copies of all relevant records through tracked shipping for those students.
- Bureau staff will review the records to determine whether the district accurately identified noncompliance.
- If it is determined that some requirements were not accurately assessed, the district will be provided technical assistance regarding appropriate use of the protocols.
- The district will then reassess all records in the samples **on the targeted requirements only**.

After completing the reassessment and submitting the results to the bureau, the revised results will be reflected in the GSW. If the results warrant it, the district's CAP will be revised to reflect the results of the validation. Districts for which the validation process reveals a high level of inconsistencies when compared with the rest of the state may be selected for additional validation activities or consideration for on-site monitoring.

### **Verification of Correction of Noncompliance**

Verification will be accomplished through examination of student records and other documents, interviews with district and school staff, or other actions the bureau determines necessary. The most common method of verification is the submission of supporting documents by the district (e.g., a copy of the revised IEP that includes all required components). Data may be collected through on-site visits, if warranted. To ensure timely correction, the verification process will be conducted as soon as possible to allow for additional technical assistance to be provided to school districts **to ensure correction within a year**.

### **Verification Report**

#### ***Levels 1 and 2 Self-Assessment***

A verification report will be issued subsequent to the validation process if there were any findings of noncompliance.

#### ***Level 3 Monitoring and Assistance***

A final report will be disseminated to the district superintendent after the close of the on-site visit summarizing the activities of the on-site visit and including any corrective action deemed necessary. When all corrective action has been completed, reviewed, and accepted by the bureau, a final closeout letter will be sent to the ESE director.

## **Additional Enforcement**

In the event a district demonstrates ongoing noncompliance, either through Levels 1 or 2 self-assessment, Level 3 monitoring and assistance, State complaint investigations, or other data sources, the bureau reserves the right to implement additional enforcement actions that may include, but are not limited to: additional targeted on-site monitoring; required participation in targeted technical assistance; and additional self-assessment and reporting, with results verified by the bureau.

**Appendix A:**  
**Self-Assessment Protocols**



Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Self-Assessment Protocols**

**Overview**

Protocols for conducting Level 1 and Level 2 self-assessments are provided, as well as protocols based on additional SPP indicators, general IEP reviews, and initial eligibility procedures.

The information provided in this section of the manual is essential for completing the protocols. Specific instructions regarding when to use each protocol and the materials to have at hand when conducting the reviews are included. For the most part, in addition to the individual document being reviewed, information from the student's record is required to make an informed decision regarding compliance with the standards. Guidance about what to look for and specific criteria to apply when determining compliance is included for each standard.

**Note:** Two protocols related to secondary transition are provided. Beginning the process of identifying transition services needs and making a decision regarding diploma option are required for students beginning at age 14 and in the eighth grade, and are addressed in the **T14** protocol. Both those requirements and the requirements related to measurable postsecondary goals for students age 16 and older are addressed in the **T16** protocol.

Protocols for the following are included:

- IEP
- IEP Implementation
- SPP 1 – Graduation with a Standard Diploma
- SPP 2 – Dropout Rate
- SPP 3 – State Assessment/SPP 7 – Preschool Outcomes
- SPP 4 – Suspension and Expulsion
- SPP 5 – LRE Ages 6–21/SPP 6 – LRE ages 3–5
- SPP 13 – Secondary Transition
- Transition planning for students ages 14–15
- Services plans (SPs) for parentally placed private school students with disabilities
- Educational plans (EPs) for gifted students
- Initial evaluation
  - Autism spectrum disorder
  - Deaf or hard-of-hearing
  - Developmental delay
  - Dual-sensory impairment
  - Emotional or behavioral disability
  - Gifted
  - Homebound or hospitalized
  - Intellectual disability
  - Language impairment
  - Other health impairment
  - Orthopedic impairment
  - Specific learning disability
  - Speech impairment
  - Traumatic brain injury

- Visual impairment
- Reevaluation
- Restraint and seclusion
- DJJ
- Matrix of services

Reviewers are encouraged to maintain notes or other documentation regarding their decisions. To the extent possible, in the event that one or more standards on a given student record are not met, the IEP team for that student will be required to reconvene and correct the noncompliance. The more substantive the feedback the team receives about the nature of the noncompliance, the more useful the reconvene process will be and the more likely the noncompliance will be corrected appropriately. Similarly, notes or other documentation may be useful in justifying the reported results if questions arise during the validation process regarding the manner in which district staff reviewed a given record or standard.

Florida Department of Education  
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**Compliance Self-Assessment**

**Individual Educational Plan**

This protocol is used when conducting a self-assessment of an IEP. **In addition, for students age 14 or 15 or in the eighth grade, the Transition Planning (T14) protocol must be used in conjunction with the IEP protocol. For students 16 years of age or older, the Secondary Transition (T16) protocol must be used.** To conduct an IEP review, the reviewer should have access to information in the student's folder. At a minimum, the following documents are required:

- Current IEP (to be reviewed)
- Previous IEP
- Notice of the IEP team meeting
- Progress reports from the current and past school year
- Report cards from the current and past school year
- Results of FCAT 2.0 or other statewide or districtwide assessment
- Discipline record
- Attendance record

Information from each of these will be used to determine the extent to which specific standards are met. For example, if an IEP indicates that a student has no behaviors that interfere with the student's learning or that of others, but there is evidence in the discipline record of multiple suspensions for behavioral infractions, the standards for items IEP-12, IEP-13, and IEP-27 likely would not be met.

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **"yes"** if **all** components are met. Mark **"no"** if **one or more** components are **not** met. Mark **"N/A"** if the standard **does not apply** to this student.

**IEP-1. The IEP was current on the day of this review.**

Check the initiation and duration dates of the IEP to determine if it is current.

**IEP-2. The IEP was current at the beginning of the school year.**  
(34 CFR §300.323(a))

Determine the first day of school for the current school year. If the current IEP was developed after that date, determine if the previous IEP was current on the first day of school.

Mark **"N/A"** if the student enrolled in the district after the first day of school or if the student had not yet been identified as a student with a disability on the first day of school. Mark **"yes"** if an IEP was in effect on the first day of school. Mark **"no"** if the student was enrolled and identified as a student with a disability but did not have a current IEP on the first day of school.

**IEP-3. The parents were invited to the IEP team meeting.**

(34 CFR §§300.322(a) and 300.501(b))

Evidence that parents were invited may include letters or documentation of phone calls or evidence on the participants section of the IEP that the parents attended or participated by phone.

For this item, mark “**yes**” if there is any evidence that the parents participated in the IEP team meeting or were invited. If there is no documentation of a written notice but the parents were in attendance, this is evidence that the parents were notified of the meeting. If there is no evidence that the parents were invited **and** the parents did not attend the IEP team meeting, mark “**no**.”

**IEP-4. The parents were provided notice of the IEP team meeting a reasonable amount of time prior to the meeting, at least one attempt to invite the parent was through a written notice, and a second attempt was made if no response was received from the first notice.**

(34 CFR §300.322(a)(1))

A second notice **is not required** if the parents accepted the first notice but did not attend. Documentation may take the form of written notice, records or logs of personal contacts such as telephone calls, and visits to the home or place of employment.

A week to 10 days is generally reasonable, although shorter notice would be considered reasonable if the parents were able to attend without undue difficulty. If the notice was provided a very short time before the meeting (e.g., less than one week), consider whether there were mitigating circumstances (e.g., the parents agreed to or requested a meeting as soon as possible, the meeting included a manifestation determination).

**If the meeting was held on or after July 1, 2013, and the purpose of the meeting was the consideration of instruction in access points, administration of alternate state assessment, or placement in an ESE center school, was the written notice of the meeting provided to the parent at least 10 days in advance?**

**Note:** Upon receipt of the written notice, the parent may agree to meet prior to the 10<sup>th</sup> day.

Mark “**yes**” if there is evidence of **all** the following:

- **At least one** written notice was provided.
- The written notice was provided a reasonable amount of time before the meeting, and at least 10 days prior to meetings considering alternate state assessment, access points instruction, or placement in an ESE center school.
- **If the parent failed to respond to the first attempt**, a second attempt was made to invite the parents.

Mark “**no**” if there is no evidence of one or more of the above.

**IEP-5. The notice of the IEP team meeting contained the time, location, and purpose of the meeting.**

(34 CFR §300.322(b))

Review the notice for the following:

- Reason for the meeting (e.g., annual review, reevaluation).

**Note:** If the requirement for the purpose of the meeting (transition) was addressed in the T14 – Transition Planning protocol (for students who will be age 14 or 15) or SPP-13 – Secondary Transition protocol (for students who will be age 16 or older), **do not mark as noncompliant again in this standard.**

- Time of the meeting
- Location of the meeting

Mark **“yes”** if **all** are **yes**. Mark **“no”** if one or more are **no**. Mark **“N/A”** if **“no”** was marked for IEP-4.

**IEP-6. The notice contained a listing of persons invited to the meeting, by name or position.**  
(34 CFR §§300.321(a)-(b) and 300.322(b))

All individuals invited to the meeting must be identified either by position or name or both. Beginning at age 14, the student must be identified as being invited to the meeting. Beginning at age 16, representatives of an agency that may be responsible for providing or paying for transition services must be invited. The names and positions may include the following:

- Parent(s) of the student
- Student (age 14 or older) \*, when appropriate
- At least one general education teacher of the student (if the student is, or may be, participating in the regular education environment)
- At least one special education provider of the student
- LEA representative (may be fulfilled by another member of the team)
- Interpreter of instructional implications of evaluation results (may be fulfilled by another member of the team)
- Agency representatives\*, if appropriate
- Part C coordinator\*, at parent request
- Representative of private school\*, if appropriate
- Interpreter\*, if needed, for parents or student
- Others\*, if appropriate

Review the IEP, the student’s date of birth, and other pertinent records to determine if an invitation to the participants identified by an asterisk (\*) was required for this particular meeting. Review the participant section of the IEP to determine if all district staff in attendance at the meeting were included on the notice to the parents (by name, title, or position).

Mark **“yes”** if the required participants were invited and the parents were notified of everyone in attendance. Mark **“no”** if any one or more required participants were not invited or if there were participants who were not included on the notice. **Note:** Do not mark **“no”** if there is evidence on the notice or IEP that the parent requested or approved the participation of the additional members. Mark **“N/A”** if **“no”** was marked for IEP-4.

**IEP-7. The parents were provided a copy of the procedural safeguards.**  
(Rule 6A-6.03311(2), Florida Administrative Code (F.A.C.))

A copy of the procedural safeguards must be provided to the parents only one time a school year, except that a copy must also be given to parents:

- Upon initial referral or parent request for evaluation
- In accordance with the discipline procedures when a change in placement occurs
- Upon receipt of the first State complaint and upon receipt of the first request for a due process hearing in a school year
- Upon request by a parent

Review the record for documentation of this action, which may include a written notation or a preprinted statement to that effect.

Mark “**yes**” if there is evidence the procedural safeguards were provided with at least one notice of the meeting **or** had been provided previously during the school year. Mark “**no**” if there is no evidence that the parents were provided a copy of the procedural safeguards at least once within the school year.

**IEP-8. If neither parent was able to attend the IEP team meeting, there is evidence and documentation of attempts to ensure parent participation.**  
(34 CFR §§300.322 (c)-(d) and 300.328)

If the parents were unable to attend the meeting and the meeting was conducted in their absence, there must be evidence of attempts to arrange for their participation, such as individual or conference telephone calls or video conferencing. The school district must keep a record of its attempts to involve the parents, such as: detailed records of telephone calls made and the results of those calls, copies of correspondence sent to the parents and responses received, or detailed records of visits made to the home or place of employment and the results of those visits. A request for parental input is acceptable.

Mark “**N/A**” if a parent attended the meeting. Mark “**yes**” if a parent did not attend but there is evidence that parent input **was solicited**, either in writing or through other methods. Mark “**no**” if a parent did not attend the IEP team meeting **and** there is no evidence of other attempts to arrange for their participation or input.

**IEP-9. The parent *agreed* to an IEP team member’s absence when that person’s curriculum or related service area was *not* being discussed.**  
(34 CFR §300.321(e)(1))

An IEP team member may not be required to attend an IEP team meeting, in whole or in part, if the parent and the LEA agree, in writing, that the attendance of such member is not necessary due to the member’s area of curriculum or related services not being discussed or modified. There must be documentation that the parent agreed to the member’s nonattendance. This may be included on the notice to the meeting, on the IEP, or on a separate document. Review the record for documentation (e.g., a check box with a statement or a written statement by the parent).

**Note:** When evaluating this standard, take into account that the district is responsible for identifying the required members of the IEP team (e.g., if a student has **two** ESE teachers or service providers, the district determines whether **one** or **both** of them are

required) and which personnel will fulfill those roles. See IEP-11 for a listing of required IEP team members.

Mark “**N/A**” if no member’s absence was requested or if all required IEP team members were in attendance. If a required team member’s absence was requested and the team member did not attend the meeting, mark “**yes**” if there is evidence that the parent agreed to the member’s absence. Mark “**no**” if there is no evidence that the parent agreed to the absence.

**IEP-10. The parent *consented to the excusal of an IEP team member when that person’s curriculum or related service area was being discussed.***  
(34 CFR §300.321(e)(2))

An IEP team member may be excused from attending an IEP team meeting, in whole or in part, when the meeting involves a modification to or discussion of the member’s area of curriculum or related services only if **both** of the following occur:

- a. The IEP team member submits input into the development of the IEP in writing to the parent and IEP team.
- b. The parent and LEA consent to the excusal.

Documentation may be included with the notice of the IEP team meeting or in a separate document. There must be written documentation from the team member providing pertinent information regarding development of the IEP (e.g., the student’s progress in class, present level of academic achievement and functional performance) and evidence of consent for the excusal of the IEP team member. If LEA consent is indicated by a preprinted statement and only the parent’s consent is indicated by a signature, this is sufficient.

**Note:** When evaluating this standard, take into account that the district is responsible for identifying the required members of the IEP team (e.g., if a student has **two** ESE teachers or service providers, the district determines whether **one** or **both** of them are required) and which personnel will fulfill those roles. See IEP-11 for a listing of required IEP team members.

Mark “**N/A**” if no member’s excusal was requested or if all required IEP team members were in attendance. If a required team member’s excusal was requested and the team member did not attend the meeting, mark “**yes**” if **a and b** are **yes**. Mark “**no**” if a team member’s excusal was requested and **a or b** is **no**.

**IEP-11. The appropriate team members were present at the IEP team meeting.**  
(34 CFR §300.321(a)-(b))

Review the participant section of the IEP to determine whether required members were present. The following participants must be present **or** the required agreement or consent process for nonattendance must be documented:

- LEA representative (may also serve as the interpreter of instructional implications of evaluation results; this position can be fulfilled by an administrator or the special education teacher or provider)
- At least one special education teacher or, where appropriate, special education provider of the student (may also serve as the LEA representative; may also serve as the interpreter of instructional implications of evaluation results)

- Interpreter of instructional implications of evaluation results (may also serve as the LEA representative, special education teacher or special education service provider, general education teacher, or evaluation specialist, such as the school psychologist)
- At least one general education teacher of the student, if the student is or may be participating in the regular education environment

There is no requirement that a minimum number of individuals attend the meeting, as long as the required roles are fulfilled. In addition to the circumstances noted above for allowing an individual to fulfill multiple roles, **if a dually certified teacher** (ESE and general education) **is employed to serve as both the general education and special education teacher of a student**, that individual may fulfill both of those roles on the IEP team.

Mark “**yes**” if all required participants were represented or if the appropriate agreement or excusal procedures were followed (see IEP-9 and IEP-10). Mark “**no**” if any of the required roles were not fulfilled and the appropriate agreement or excusal procedures were not followed.

- IEP-12. The IEP for a school-age student includes a statement of present levels of academic achievement and functional performance, including how the student’s disability affects involvement and progress in the general education curriculum. For a prekindergarten student, the IEP contains a statement of how the disability affects the student’s participation in appropriate activities.**  
(34 CFR §300.320(a)(1))

Prior to reviewing the present level statement for compliance, review available information on the student, including the previous year’s IEP, the student’s report card from the current and previous school years, attendance and discipline records, FCAT 2.0 results, other evaluation and assessment data, progress reports, and any additional pertinent information. The present level statement must accurately describe the effect of the student’s disability on their participation and progress in the general education curriculum. Present level statements may be developed separately for individual domains, or a single statement may include information on all appropriate domains. For the prekindergarten student, the present level statement must be descriptive of the impact of the disability on age-appropriate abilities or milestones that typically developing children of the same age would be achieving.

Determining if an area of need is addressed sufficiently is often difficult and may require some degree of subjectivity. The reviewer is asked to use professional judgment in making this determination and must mark “**no**” if an area of need is not reasonably addressed.

For example, assume a student identified with a specific learning disability (SLD) has a history of poor attendance or disciplinary referrals and is failing or only minimally passing one or more courses. Both attendance and behavior are correlated with student achievement and risk of dropping out. As such, there is an expectation that attendance or behavior would be addressed in the present level statement. Although school staff may not have the power to compel the student’s attendance, acknowledging the effect of frequent absenteeism on achievement and working with

the student to establish a goal for attendance would be expected of the IEP team using a systemic problem-solving process. Similarly, if a student's behavior impedes the student's academic engagement during instructional periods or results in the student being removed from the classroom, this should be addressed through active problem solving and reflected on the IEP even if the student has not been identified with an emotional or behavioral disability.

In evaluating whether the present level statement meets requirements, and taking into account everything that you know about the student based on your review of the student's record, respond to the following probes:

- a. Does the present level statement include a description of the student's current educational or functional performance, including grade or functioning level, as appropriate, which is sufficient to determine the goals and services required for the student to receive FAPE?
- b. Is the present level statement individualized (e.g., strengths, weaknesses, physical or social emotional concerns)?
- c. Does the present level statement include information that exceeds just a label or test score?
- d. Is the statement written in objective, descriptive terms?
- e. Does the statement clearly indicate how the student's disability affects the student's participation in the general education curriculum? Be specific (e.g., student's lack of focus affects reading comprehension).
- f. For prekindergarten children, does the present level statement accurately describe the effect of the disability on age-appropriate abilities or milestones that typically developing children of the same age would be achieving?

Mark **"yes"** if the answers to **a** through **f** are **yes** or **N/A** for the present level statement(s). Mark **"no"** if the answer to one or more of **a** through **f** is **no** for one or more present level statements. The following examples of present level statements that are sufficiently descriptive are provided to guide you in the review:

**Example 1** (Reading) — Based on her performance on district assessments, teacher-created curriculum-based assessments, and classroom observations, Sarah is significantly below grade level in reading. According to the Florida Assessments for Instruction in Reading (FAIR) data, she has an FCAT 2.0 success probability (FSP) of 11 percent. She scored low in the Word and Phrases in Context section of the test as well as low in Comparisons and Cause/Effect. Her targeted diagnostic inventory (TDI) percentile rank was 20 (the score that predicts the student's chance of scoring at or above Level 3 on the FCAT 2.0 at the end of the year), and her TDI – Word Analysis percentile rank was 25. Next Generation Sunshine State Standard benchmark assessments indicate that Sarah has difficulty finding the author's purpose, answering main idea items, and making inferences. She demonstrated strengths in vocabulary. According to current classroom work samples, Sarah has difficulty answering items that require abstract reasoning. She is able to locate details and information within text and answer questions orally pertaining to such items. Sarah demonstrates strengths in her ability to answer reading comprehension items administered orally. As a result of her disability, Sarah has difficulty making inferences when comprehending material and demonstrating fluency due to difficulties with word analysis.

**Example 2** (Reading) — Based on his performance on district assessments, teacher-created curriculum-based assessments, and classroom observations, Jake is below

grade level in reading. According to the FAIR data, he has an FSP of six percent. He scored low in all three areas of Reading Comprehension. His TDI percentile rank was 18, and his TDI – Word Analysis percentile rank was 20. According to Next Generation Sunshine State Standard benchmark classroom assessments, Jake demonstrates strengths when answering questions orally regarding facts and details, story elements, and main ideas. He demonstrates weaknesses on benchmark assessments with items regarding vocabulary, author’s purpose, and inferences. His classroom work samples and progress indicate that, with cueing and prompting, Jake is able to answer multiple choice and matching items following a passage, especially with oral administration. He has difficulty answering such items independently and when read silently. As a result of his disability, Jake has difficulty comprehending reading material.

**Example 3 (Social or Emotional)** — Based on input from special area teachers, lunchroom monitors, and peers; structured observations made by the ESE teacher; and prior annual goal reports and behavioral checklists, Jane attempts to interact with peers by smiling and joining an activity, but does not display age-appropriate social skills for verbal greetings, turn-taking, or engaging in activities. Jane will verbally greet and interact with others when prompted, but will not do so without at least one visual or verbal prompt. Jane does not display age-appropriate turn-taking skills when sharing with peers or adults. Even when given a visual or verbal prompt, she will not share items with peers. When Jane wants an item she will take it from others without asking. Although Jane attempts to engage in play with others, she tends to join activities at inappropriate times and without asking. When given a verbal prompt, Jane will use learned strategies to appropriately join the activities. As a result of her disability, Jane has difficulty interacting socially with others in a consistent, age-appropriate manner, which reduces her opportunities for developing peer relationships and social skills.

**Example 4 (Independent Functioning)** — Based on reports from the regular education teacher, structured observations made by the ESE teacher, past report cards, and student work samples, Emile is able to use the content knowledge and skills he has mastered to benefit from instruction in the fifth grade regular classroom. In addition, assessments conducted by the occupational therapist indicate that he has deficits in fine motor, sequencing, and organizational skills that may affect his ability to complete work in a timely manner. Emile turns in approximately 65 percent of the assigned class work. As a result of his disability, Emile has difficulty keeping track of, completing, and turning in his assignments.

- IEP-13. The IEP includes measurable annual goals, including academic and functional goals, designed to meet the student’s needs that result from the disability to enable the child to be involved in and make progress in the general education curriculum and meet the student’s other needs that result from the disability. Benchmarks or short-term objectives should be included for students with disabilities who take alternate assessments aligned to alternate achievement standards, or any other student with a disability as determined by the IEP team. (34 CFR §300.320(a)(2))**

To mark “**yes**” for this item, there must be correspondence between the annual goals (and short-term objectives or benchmarks, if applicable) and the needs identified on the present level of academic and functional performance statement. The goals must represent sufficient content and/or skills to reasonably meet both (1) the student’s needs that result from the student’s disability to enable the student to be involved in

and progress in the general education curriculum and (2) each of the student's other educational needs that result from the disability.

For an annual goal to be measurable, it must have explicit, observable behavior (use action words to say what the student will do), and conditions (specific circumstances or assistance that will affect performance of behavior), and criteria (what will be measured, by when, and how the student must perform). In general, would a person who is not familiar with the student be able to address this goal and determine whether the student has achieved it?

In determining if the measurable annual goals meet the requirements, consider the following probes (**a–d** must be “**yes**” to mark **yes** for this item):

- a. Are the goals measurable and clearly descriptive of the behavior or skill to be addressed (i.e., observable in such a way that anyone asked to evaluate progress would be able to do so with consistency and accuracy)?
  - Mark “**no**” if goals are vague, lack specificity, and are not measurable (e.g., John’s self-confidence will improve, Jane will learn with assistance, John will improve his academic skills).
- b. Can the annual goals stand alone and be meaningful?
  - Mark “**no**” if goals simply refer to or repeat the short-term objectives (e.g., John will master the following objectives; Jane will master objectives 1, 2, 3, and 4).
- c. For students with disabilities who take alternate assessments aligned to alternate achievement standards, or whose IEP includes benchmarks or short-term objectives at IEP team discretion, does each annual goal statement contain at least two short-term objectives or benchmarks?
  - Short-term objectives represent intermediate steps to a goal, are measurable, and often specify conditions.
  - Benchmarks represent major milestones to a goal and should specify a time frame.
- d. Do the annual goals directly relate to the needs of the student as identified in the present level statement(s) as well as any other needs that result from the student’s disability?
  - Mark “**no**” if the goals are not individualized (e.g., the same or similar goal is used on the IEPs of many students in the same class or program).
  - Mark “**no**” if the goals fail to relate to the present level statements or do not address all of the student’s needs evident through the record review.

**Note:** If the present level statement was marked “**no**” due to lack of sufficiency, but the annual goals clearly address the needs of the student that are evident through the record review, this probe should be answered “**yes.**”

The following examples of annual goals and short-term objectives or benchmarks that are sufficiently descriptive are provided to guide you in the review:

**Example 1** (Reading – Annual goal only)

Given a grade-level reading passage, Sarah will increase the number of words she reads per minute by [specific number of words based on student] in three out of four consecutive oral reading assessments, by the end of each quarter.

**Example 2** (Reading – Annual goal only)

Given a grade-level reading passage, Jake will read the passage aloud and verbally answer corresponding comprehension questions with 80 percent accuracy in three out of five consecutive opportunities.

**Example 3** (Social or Emotional – Annual goal with short-term objectives)

During scheduled free time, such as lunch, recess or break time, Jane will appropriately interact with peers by initiating greetings, displaying sharing skills, and verbally requesting to participate in activities.

- Jane will independently initiate peer interaction with a verbal greeting at least once a day for five consecutive days as recorded on her behavior sheet.
- Given no more than one visual or verbal prompt, Jane will display appropriate sharing skills, such as waiting for her turn instead of grabbing items when she wants them and sharing her belongings with others at least once a day for five consecutive days as recorded on her behavior sheet.
- When Jane would like to participate in an activity, she will independently refrain from joining without first making a verbal request in four out of five trials.

**IEP-14. The IEP contains a statement of special education services and specially designed instruction, including location as well as initiation, duration, and frequency.**

(34 CFR §300.320(a)(4) and (7))

The description of the special education services must specifically identify the nature of the services received (e.g., specially designed instruction in reading and math, direct instruction in socialization skills, speech therapy, as opposed to vaguely indicating “specialized instruction in some learning activities”), and include the location (e.g., general education classroom, ESE classroom, campuswide), initiation date, duration date, and frequency of those services. Services must be based on peer-reviewed research to the extent practicable.

Although the regulations specify “frequency,” the amount of services to be provided must be clear to everyone involved. If a range of time or “as needed” is indicated, additional information must be provided to explain the unique circumstances of the student that require a range of time and the criteria by which to determine when the service is to be provided. The use of either a range of time or “as needed” must be based on the unique needs of the student and must not be based on administrative convenience. For example, “as needed” or a range of time may be appropriate if a student requires more time, or more intensive direct instruction, when being presented with a new or more abstract skill or concept, and less time, or less intensive direct instruction, for review or reinforcement of a skill or concept. The student should only be responsible for determining the need for a service if the IEP team is certain that the student is both able and willing to make this need known.

Mark “**yes**” if all required content is included and is consistent with the services provided to the student. Mark “**no**” if the services:

- Indicate only a service delivery model (e.g., “inclusion”)
- Indicate only a disability (e.g., SLD)
- Indicate only a domain (e.g., curriculum and learning, social/emotional)
- Indicate only an accommodation (e.g., extended time on tests)

- Do not include one or more of the following: location, anticipated initiation, duration, or frequency

**IEP-15. The IEP contains a statement of related services, including location and anticipated initiation, duration, and frequency.**

(34 CFR §300.320(a)(4) and (7))

Related services include transportation and such developmental, corrective, and other supportive services as are required to assist a child with a disability to benefit from special education.

Mark “**N/A**” if no related services are needed. See IEP-14 for guidance on marking “**yes**” or “**no.**”

**IEP-16. The IEP contains a statement of supplementary aids and services, including location and anticipated initiation, duration, and frequency.**

(34 CFR §300.320(a)(4) and (7))

Supplementary aids and services may be aids, instructional services, and other supports that are provided in regular education classes, other education-related settings, and extracurricular and nonacademic settings to enable children with disabilities to be educated with nondisabled children to the maximum extent appropriate.

Mark “**N/A**” if no supplementary aids and services are needed. See IEP-14 for guidance on marking “**yes**” or “**no.**”

**IEP-17. The IEP contains a statement of program modifications or classroom accommodations, including location and anticipated initiation, duration, and frequency.**

(34 CFR §300.320(a)(4) and (7))

Program modifications and classroom or instructional accommodations must relate to assisting the student to advance appropriately toward attaining annual goals, to be involved and progress in the general education curriculum, **to participate in extracurricular and other nonacademic activities**, and to be educated and participate with other students with disabilities and nondisabled students in the activities described.

Mark “**N/A**” if no program modifications or classroom accommodations are needed. See IEP-14 for guidance on marking “**yes**” or “**no.**”

**Note:** Accommodations change **how** a student is expected to learn. Modifications change **what** a student is expected to learn. Program modifications would not be appropriate for a student on a standard diploma track.

**IEP-18. The IEP contains a statement of supports for school personnel.**

(34 CFR §300.320(a)(4))

Supports for school personnel must relate to meeting the unique needs of the student and should not reflect professional development, training, or information related to

meeting the needs of students with disabilities in general. For example, personnel who work with students with autism spectrum disorder (ASD) should receive training on working with students with ASD.

Mark “**yes**” if supports are indicated. Mark “**no**” only if there is clear evidence of need (e.g., conference notes indicating that staff have requested assistance in understanding the common characteristics of individuals with traumatic brain injury) and there is no evidence that the need was addressed. Mark “**N/A**” if no supports are needed.

**IEP-19. The services identified on the IEP are based on the present level of academic and functional performance statement(s) and the annual goals (and short-term objectives or benchmarks, if applicable).**

(34 CFR §300.320(a))

The present level statement(s), goals, and objectives or benchmarks (if applicable) should support the services identified on the IEP. If the nature or severity of the disability warrants removal of the child from the general educational environment for any period of time, this would indicate a need in one or more skill areas or domains and should be addressed in components of the IEP. For example, if a student is removed from the general educational environment for a particular class or subject, it should be evident from the IEP why the removal is necessary. If this removal results from a need in a particular area (e.g., behavioral, specific academic skill), this should be addressed in the present level of educational performance statement and should ultimately result in the development of a goal related to the need.

Mark “**yes**” if the services on the IEP support the student’s needs identified in the present levels of performance statement(s) and are reasonably calculated to enable the student to achieve the annual goals. Mark “**no**” if the services do not appear reasonably calculated to enable the student to achieve one or more of the annual goals, given the unique needs of the student as identified in the present levels of performance statement(s).

**IEP-20. The IEP contains a statement of appropriate accommodations necessary to measure academic achievement and functional performance on statewide or districtwide assessments.**

(34 CFR §300.320(a)(6)(i))

The IEP must include any accommodations provided for the student to enable his or her participation in statewide or districtwide assessments.

Mark “**N/A**” for students who do not require accommodations on the statewide or districtwide assessments, or who do not participate in the assessments due to age or grade level. Mark “**yes**” if the IEP includes a statement of testing accommodations. Mark “**no**” if the IEP does not include a statement of testing accommodations and there is evidence the student was provided them or if there is evidence the student was provided testing accommodations different from those included on the IEP.

**IEP-21. The parent provided consent for the student to receive instructional accommodations not permitted on statewide assessments and acknowledged the implications of such accommodations.**

(Section 1008.22(3)(c)8. and 10., F.S.; Rule 6A-6.03028(3)(h), F.A.C.)

If the IEP team determines the student will participate in statewide assessments and that the student will receive instructional accommodations not permitted in the statewide assessments, the IEP team must ensure the parents have been informed of and understand the implications of the continued use of such accommodations. The parent must acknowledge this understanding in writing and must provide consent for use of the accommodations in question. This information may be included on the IEP or may be on a separate document.

Mark “**N/A**” if the student receives only allowable accommodations **or** participates in the FAA. Mark “**yes**” if the student receives nonallowable instructional accommodations and there is documentation of written acknowledgement **and** signed consent for their use. Mark “**no**” if either written acknowledgement **or** signed consent is not evident.

**IEP-22. If the IEP team determined that the student will not participate in a particular statewide or districtwide assessment, the IEP contains a statement of why that assessment is not appropriate, why the particular alternate assessment is appropriate, and shows notification to the parent of the implications of nonparticipation.**

(34 CFR §300.320(a)(6)(ii); section 1008.22(3)(c)8., F.S.; Rule 6A-6.03028(3)(h)5, F.A.C.)

If the IEP team determines that the student will not participate in a particular general state or district assessment:

- a. Does the IEP include a description of why the general statewide assessment (e.g., FCAT 2.0, and districtwide assessment, if administered) is not appropriate?
- b. Does the IEP include an explanation of why the particular alternate statewide assessment (FAA, and alternate districtwide assessment, if administered) is appropriate for the student?
- c. Is there evidence the parent was informed of the implications of nonparticipation in the general statewide assessment (e.g., impact on diploma option)?
- d. Is there evidence of the use of the Assessment Participation Checklist?

Mark “**N/A**” if the student participates in the general statewide assessment (e.g., FCAT 2.0). Mark “**yes**” if the answers to **a–d** are **yes**. Mark “**no**” if the student will be assessed on an alternate assessment and the answer to one or more of **a–d** are **no**.

**IEP-23. The IEP contains an explanation of the extent, if any, to which the student will not participate with nondisabled students in the general education class.**

(34 CFR §300.320(a)(5))

A student with a disability may only be removed from the general education environment if the nature or severity of the disability are such that instruction in general education classes with the use of supplementary aids and services cannot be achieved satisfactorily. The IEP must explain the reason for the student’s removal from the general education setting for any part of the school day. The content of the IEP must provide sufficient information so that the extent to which this will occur is clear to all participants at the IEP team meeting. The explanation may be included as a statement on the IEP or on a form that documents the least restrictive environment decision-making process, if this document is attached to or part of the IEP.

In addition to information available in the individual student's record, through the self-assessment process the reviewer may have the opportunity to review IEPs of several students who are likely to require removal for different reasons (e.g., behavioral, reading skill level) and amounts of time (e.g., one period or fewer, majority of academic subjects). A comparison of multiple records may assist the reviewer in determining if the explanation of removal is individualized.

Mark "**NA**" if no explanation is needed because the student participates with nondisabled students in the general education class 100 percent of the time. Mark "**yes**" if the explanation aligns with the extent to which the student will be removed and to the apparent reason for removal (e.g., need for extensive behavioral support, need for highly specialized instruction or modified content). Mark "**no**" if the statement does not justify removal for this amount of time or if the explanation does not align with the present level statement, goals and short-term objectives or benchmarks, or services on the IEP.

**IEP-24. The IEP contains descriptions of how progress toward annual goals will be measured, including how often parents will be regularly informed of their child's progress.**

(34 CFR §300.320(a)(3))

The IEP must include a statement of:

- a. How the student's progress toward annual goals will be measured
- b. How often the parents will be informed of their child's progress

Mark "**no**" if **a** or **b** are **no**. Mark "**yes**" if **a** and **b** are **yes**.

**IEP-25. The IEP team considered the strengths of the student; the academic, developmental, and functional needs of the student; the results of the initial evaluation or most recent evaluation; and the results of the student's performance on any statewide or districtwide assessment.**

(34 CFR §300.324(a)(1); Rule 6A-6.03028(3)(g), F.A.C.)

There should be evidence that the IEP team considered the following:

- a. Strengths of the student (may be documented in the present level statement or in a separate statement on the IEP)
- b. Academic, developmental, and functional needs (may be documented in the present level statement, annual goals and short-term objectives or benchmarks, or services)
- c. Evaluation results and results of student performance on state or district assessments (should be addressed in the present level statement and be evident in the goals, including short-term objectives or benchmarks, if applicable)

Mark "**no**" if there is no evidence of, or if other information in the student's record is in conflict with, one or more of the above. Mark "**yes**" if **a**, **b**, and **c** are **yes**.

**IEP-26. The concerns of the parents for enhancing the education of their child were considered in developing the IEP.**

(34 CFR §§300.324(a)(1)(ii), 300.322(c)-(d), and 300.305(a))

Review the IEP to ascertain if the parent’s concerns were solicited and addressed. This may be evident from a statement on the IEP or from conference notes.

Mark “**no**” if no parent attended the meeting **and** there is no evidence that the concerns of the parents were solicited or considered. Mark “**yes**” if the IEP includes a statement of the parents’ concerns, or if a parent was in attendance, or if input was solicited from the parents and there was no response, unless there is clear evidence that the concerns were not addressed (e.g., information in conference notes or other documents indicating a parent concern that was not addressed).

**IEP-27. The IEP team considered, in the case of a student whose behavior impedes his or her learning, or that of others, the use of positive behavioral interventions and supports, and other strategies, to address that behavior.**  
(34 CFR §300.324(a)(2)(i))

Review the IEP to determine if the IEP team considered the need for positive behavioral interventions, supports, and other strategies. If the need for positive behavioral interventions, supports, and other strategies is checked in the special factors section of the IEP, there should be evidence in the IEP to indicate that these needs were addressed. If a student is identified as having an emotional or behavioral disability (EBD), there must be evidence in the IEP that behavioral issues were addressed. For students who have not been identified as EBD, there may be other evidence that the behavior is being addressed (e.g., documentation of problem-solving process, including response to intervention or instruction data).

Mark “**N/A**” if there is no evidence the student has a need in this area (e.g., this item is not checked in the consideration of special factors section on the IEP and other sections of the IEP do not describe any issues related to behavior). Mark “**yes**” if there is evidence of a need and it is addressed. Mark “**no**” if there is evidence of interfering behavior(s) (e.g., EBD label, present level of performance statement, discipline record, this item checked on the special factors section of the IEP) and there are no annual goals or short-term objectives or benchmarks, if applicable, or services to address the behaviors.

**IEP-28. The IEP team considered, in the case of a student with limited English proficiency, the language needs of the student as they relate to the IEP.**  
(34 CFR §300.324(a)(2)(ii))

Review the IEP to determine if the IEP team considered the language needs for a student with limited English proficiency. If this item is checked in the special factors section of the IEP, there should be evidence on the IEP that these needs were addressed.

Mark “**N/A**” if the student is not an English language learner (e.g., this item is not checked in the consideration of special factors section on the IEP). Mark “**yes**” if there is evidence of a need and it is addressed. Mark “**no**” if there is evidence that the student is an English language learner (e.g., this item checked on the special factors section of the IEP, information provided in the student’s record) and this need is not considered on the IEP.

**IEP-29. The IEP team considered, in the case of a student who is blind or visually impaired, that provision is made for instruction in braille and other use of braille.**  
(34 CFR §300.324(a)(2)(iii))

Review the IEP to determine if the IEP team considered the need for instruction in braille or other use of braille. If the need for braille instruction is checked in the special factors section of the IEP, there should be evidence in the IEP to indicate that these needs were addressed.

Mark **“N/A”** if the student is not blind or visually impaired (e.g., this item is not checked in the consideration of special factors section on the IEP). Mark **“yes”** if there is evidence of a need and it is addressed. Mark **“no”** if the student is blind or has visual impairment (VI) and is not receiving instruction or supports in braille, unless there is evidence in the record that an evaluation (conducted recently or in the past) revealed that instruction in or use of braille is not appropriate.

**IEP-30. The IEP team considered the communication needs of the child, including, for a student who is deaf or hard-of-hearing, consideration of the student’s opportunities for direct communication with peers and professional personnel in the student’s mode of communication, academic level, and full range of needs, including opportunities for direct instruction in the student’s language and communication mode.**  
(34 CFR §300.324(a)(2)(iv))

Review the IEP to determine if the student has communication needs, (e.g., information in the student’s record or present level statement; identified as a special factor considered by the IEP team). If so, determine how the communication needs were considered by the IEP team or addressed on the IEP (e.g., goals and short-term objectives or benchmarks, special education and related services, supports for school personnel).

For a student who is deaf or hard-of-hearing (DHH), the IEP team must address the student’s opportunities for direct communication with peers and school personnel, academic level, and opportunities for direct instruction in the student’s mode of communication.

Mark **“N/A”** if there is no evidence the student has a need in this area (e.g., this item is not checked in the consideration of special factors section on the IEP). Mark **“yes”** if there is evidence of a need and it is addressed. Mark **“no”** if there is evidence that the student has communication needs that are not addressed on the IEP.

**IEP-31. The IEP team considered whether the student needs assistive technology devices and services.**  
(34 CFR §300.324(a)(2)(v))

Review the IEP to determine if the IEP team considered the need for assistive technology devices and services. If assistive technology is identified as a need for the student, there must be evidence in the IEP that the need was addressed.

Mark **“N/A”** if there is no evidence the student has a need in this area (e.g., this item is not checked in the consideration of special factors section on the IEP). Mark **“yes”** if

there is evidence of a need and it is addressed. Mark “**no**” if there is evidence of a need for assistive technology that is not addressed.

**IEP-32. The IEP team considered the extended school year (ESY) needs of the student.**  
(34 CFR §300.106(a))

There should be evidence that the IEP team considered whether the student requires ESY services to be provided to ensure FAPE. The need for ESY should be considered annually; it is not required to be considered at every interim IEP team meeting unless the IEP team determines it is necessary. If the IEP team determines that ESY services are needed, those services must be identified on the IEP. Decisions regarding ESY may not be based on the disability label nor unilaterally limit the type, amount, or duration of the services.

Mark “**N/A**” if this is an interim IEP or if there is a statement on the IEP indicating that the need for ESY will be considered closer to the end of the school year and that date has not arrived by the time of this review. Mark “**yes**” if there is evidence that the need for ESY was considered at least annually (e.g., a checklist). Mark “**no**” if there is no evidence that the need for ESY was considered at least annually or if ESY services were based on a label or were unilaterally limited.

**IEP-33. The student is provided access to the same physical education (PE) program as nondisabled students. If the student needs specially designed PE, this is included on the IEP.**  
(34 CFR §300.108)

Students with disabilities must be provided access to the same PE programs as nondisabled students, unless they are enrolled in separate schools or they need specially designed PE. If the student requires specially designed physical education, that service must be included on the IEP.

Mark “**N/A**” if there is no evidence the student has a need in this area. Mark “**yes**” if there is evidence of a need and it is addressed. Mark “**no**” if there is evidence that the student needs specially designed PE and it is not included on the IEP or that the student is otherwise being denied access to a PE program because of the disability.

**IEP-34. If the current IEP represents a change of placement or change of FAPE from the previous IEP, or the district refused to make a change that the parent requested, the parent received appropriate prior written notice.**  
(34 CFR §300.503)

Prior written notice must be provided to the parent any time the district **proposes** or **refuses** to change a student’s identification, evaluation, or **educational placement** or the **provision of FAPE** to the student. Change in placement occurs when a student crosses from one of the following levels of service (as defined by the U.S. Department of Education [USDOE]) to another:

- 80 percent or more of the school day with nondisabled peers (general)
- 40–79 percent of the school day with nondisabled peers (resource)
- 39 percent or less of the school day with nondisabled peers (separate)
- Separate school
- Residential facility

Change in FAPE occurs when there is a significant change in the type, amount, or intensity of services provided to a student (e.g., personal aide added or discontinued; therapy services added or discontinued; counseling services changed from twice weekly to once per month; change from direct ESE service, such as support facilitation, to indirect service, such as consultation between the general education and ESE teachers). It does not occur when a child moves from one location to another location maintaining the same LRE placement, unless services have been significantly changed.

“Prior written notice” means that the parent must have been notified a reasonable time before the change occurred. If the parent did not attend the IEP team meeting, there must have been a reasonable delay before the changes proposed by the IEP were implemented. Review the IEP to determine if there was a reasonable delay between the date of the meeting and the initiation date of services (many districts consider 5 to 10 days to be a reasonable time).

The following probes must be “**yes**” for IEP-34 to be “**yes**”:

- a. Was prior written notice provided?
- b. If the parent was not in attendance, was there a reasonable delay in initiating the change?
- c. Did the notice include a description of the action proposed?
- d. Did the notice include an explanation of why the district proposes or refuses the action?
- e. Did the notice include a description of each evaluation, assessment, record, or report the LEA used as the basis for the decision?
- f. Did the notice include a statement that the parents have procedural safeguard protections?
- g. Did the notice include sources for parents to contact for assistance in understanding their rights?
- h. Did the notice include a description of other options considered and why they were rejected?
- i. Did the notice include a description of any other factors relevant to the decision?

Review the current and previous IEPs to determine whether the current IEP reflects a change in placement or the provision of FAPE to the student (i.e., proposal to change). Review conference notes or other information included in the IEP, parent input form, or other documents to determine whether the district refused a parent’s request (i.e., refusal to change). Mark “**N/A**” if there was no change in placement or FAPE proposed or refused. Mark “**yes**” if there was a change and **a–i** above are **yes**. Mark “**no**” if there was a change and one or more of **a–i** above are **no**.

**IEP-35. The student’s progress toward meeting the annual goals was measured, and the report of progress was provided as often as stated on the IEP.**  
(34 CFR §300.320(a)(3))

Review the progress reports for the past year to determine if:

- The reports were provided as often as indicated on the IEP
- The reports described the student’s progress toward the annual goals (not required for objectives or benchmarks)

Mark “**yes**” if both of the above are **yes**. Mark “**no**” if either of the above is **no**. Mark “**N/A**” if this is an initial IEP and the designated time for the first progress report has not been reached.

**IEP-36. The IEP had been reviewed at least annually, and revised as appropriate, to address: any lack of progress toward the annual goals; any lack of progress in the general education curriculum, if appropriate; the results of reevaluation; information about the student provided to, or by, the parent; and the student’s anticipated needs or other matters.**

(34 CFR §300.324(b)(1))

Review the student’s previous IEP, progress reports, report card grades, discipline records, and any other available information (e.g., reevaluation results, information provided to, or by the parent, progress monitoring reports). Compare the present level of educational performance statements, annual goals and short-term objectives or benchmarks, and services provided to the student on the previous and current IEP. If there is evidence of a lack of expected progress or significant changes in the student’s needs, determine if this was addressed in the current IEP.

If the student is making progress toward the annual goals as expected, mark “**N/A**.” If the student **did not** meet the annual goals on the previous IEP or make sufficient progress in the general education curriculum during the past year, if appropriate, and the current IEP **does** reflect appropriate revisions to the annual goals and services as a result of the problem-solving process, mark “**yes**.”

If the student **did not** meet the annual goals on the previous IEP or make sufficient progress in the general education curriculum during the past year, if appropriate, and the current IEP **does not** reflect appropriate revisions to the annual goals and services, mark “**no**.” In addition, if the IEP has not been reviewed within the past year, mark “**no**.”

**IEP-37. The student’s general education teachers, ESE teachers, and related service providers were provided access and information regarding specific responsibilities for IEP implementation.**

(34 CFR §300.323(d)(1)-(2))

There should be evidence that the teachers and service providers responsible for implementing the IEP: (1) have access to the IEP and (2) have been informed of their specific responsibilities regarding implementation of the IEP and the specific accommodations, modifications, and supports that must be provided for the student in accordance with the IEP. If this is not documented on the IEP or on a separate document, ask how this is accomplished.

Mark “**yes**” if there is evidence that all staff responsible for implementation of the IEP have access to the IEP and have been informed of their specific responsibilities, as well as accommodations, modifications, and supports that must be provided for the student in accordance with the IEP. Mark “**no**” if one or more of the staff responsible for implementation of the IEP have not been informed of their responsibilities **or** have not been provided access to the IEP.

**IEP-38. For all IEPs developed on or after July 1, 2013, written parental consent on the Florida Department of Education provided form was obtained for instruction in access points and, if applicable based on the student's grade level, participation in the Florida Alternate Assessment.**

(1003.5715 (2), F.S.)

Evidence of a signed parental consent form is not required if the district can document that reasonable efforts were made to obtain the parent's consent and the parent failed to respond or if the district initiated a due process hearing and obtained approval through that process.

Mark **"yes"** if:

The signed Florida Department of Education form is present

OR

The district can document that reasonable efforts were made to obtain the parent's consent and the parent failed to respond or can document the outcome of a due process hearing.

Mark **"no"** if the signed form or documentation of reasonable efforts or due process outcome is not present. Mark **"N/A"** if the meeting was held prior to **July 1, 2013**.

**IEP-39. For all IEPs developed on or after July 1, 2013, written parental consent on the Florida Department of Education provided form was obtained for placement in an ESE Center school, except in circumstances related to violations of the district's code of conduct regarding weapons, possession or use of illegal drugs, and serious bodily injury.**

(1003.5715 (2), F.S.)

Evidence of a signed parental consent form is not required if the district can document that reasonable efforts were made to obtain the parent's consent and the parent failed to respond or if the district initiated a due process hearing and obtained approval through that process.

Mark **"yes"** if:

The signed Florida Department of Education form is present

OR

The district can document that reasonable efforts were made to obtain the parent's consent and the parent failed to respond or can document the outcome of a due process hearing.

Mark **"no"** if the signed form or documentation of reasonable efforts or due process outcome is not present. Mark **"N/A"** if the meeting was held prior to **July 1, 2013**.

Florida Department of Education  
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**Compliance Self-Assessment**

**IEP Implementation (IPI)**

This protocol is used when conducting a self-assessment of the implementation of the IEP of a student. It is to be used in conjunction with the IEP protocol. To conduct an IEP review, the reviewer should have access to information in the student's folder. At a minimum, the documents listed below are required. Information from each of these will be used to determine the extent to which specific standards are met.

- Previous and current IEPs (to be reviewed)
- Progress reports from the current and past school year
- Report cards from the current and past school year
- Results of FCAT 2.0 or other statewide or districtwide assessment
- Discipline record
- Attendance record
- Teacher or provider lesson plans, grade books, notes or logs, rosters, schedules, correspondence

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark "**N/A**" if the standard **does not apply** to this student. Mark "**yes**" if **all** components are met. Mark "**no**" if **one or more** components are **not** met.

**IPI-1. The student's general education teachers, ESE teachers, and related service providers were provided access and information regarding specific responsibilities for IEP implementation.**

(34 CFR §300.323(d)(1)-(2))

There should be evidence that the teachers and service providers responsible for implementing the IEP: (1) have access to the IEP and (2) have been informed of their specific responsibilities regarding implementation of the IEP and the specific accommodations, modifications, and supports that must be provided for the student in accordance with the IEP. If this is not documented on the IEP or on a separate document, ask how this is accomplished.

Mark "**yes**" if there is evidence that all staff responsible for implementation of the IEP have access to the IEP and have been informed of their specific responsibilities, as well as accommodations, modifications, and supports that must be provided for the student in accordance with the IEP. Mark "**no**" if one or more of the staff responsible for implementation of the IEP have not been informed of their responsibilities **or** have not been provided access to the IEP.

**IPI-2. There is evidence of the implementation of strategies to work toward mastery of the annual goals as specified on the IEP: lesson plans, log(s), interview(s), other.**  
(Rule 6A-6.03028(3)(h), F.A.C.)

Review the student's record for evidence that the student's annual goals are being implemented as specified on the IEP (i.e., that instruction or intervention designed to

foster attainment of the goals is being provided). Examples of sources to check for evidence are lesson plans, grade books, notes or logs, rosters, class and teacher schedules, correspondence, materials or equipment, interviews with teachers, and classroom observations.

Mark **“yes”** if there is evidence that strategies have been implemented to work toward mastery of the annual goals as specified on the IEP. Mark **“no”** if there is no evidence of the implementation of strategies to work toward mastery of the annual goals as specified on the IEP.

**IPI-3. There is evidence of the provision of special education services or specially designed instruction as specified on the IEP.**

(Rule 6A-6.03028(3)(h), F.A.C.)

Review the student’s record for evidence that the special education services specified on the student’s IEP are being provided. Examples of sources to check for evidence are lesson plans, grade books, notes or logs, rosters, class and teacher schedules, correspondence, materials or equipment, interviews with teachers, and classroom observations.

Mark **“yes”** if there is evidence that the special education services have been provided as specified on the IEP. Mark **“no”** if there is no evidence that the special education services have been provided as specified on the IEP.

**IPI-4. There is evidence of the provision of related services as specified on the IEP: lesson plans, log(s), interview(s), other.**

(Rule 6A-6.03028(3)(h), F.A.C.)

Review the student’s record for evidence that the related services are provided as specified on the IEP. Examples of sources to check for evidence are lesson plans, grade books, notes or logs, rosters, class and teacher schedules, correspondence, materials or equipment, interviews with teachers, and classroom observations.

Mark **“yes”** if related services are included on the student’s IEP and there is evidence that these services have been provided as specified on the IEP. Mark **“no”** if related services are included on the student’s IEP but there is no evidence that the related services have been provided as specified. Mark **“N/A”** if there are no related services specified on the student’s IEP.

**IPI-5. There is evidence of the provision of supplementary aids and services as specified on the IEP: lesson plans, log(s), interview(s), other.**

(Rule 6A-6.03028(3)(h), F.A.C.)

Review the student’s record for evidence that the supplementary aids and services are provided as specified on the IEP. Examples of sources to check for evidence are lesson plans, grade books, notes or logs, rosters, class and teacher schedules, correspondence, materials or equipment, interviews with teachers, and classroom observations.

Mark **“yes”** if supplementary aids and services are included on the student’s IEP and there is evidence that these aids and services have been provided as specified on the

IEP. Mark “**no**” if supplementary aids and services are included on the student’s IEP but there is no evidence that these aids and services have been provided as specified. Mark “**N/A**” if there are no supplementary aids and services specified on the student’s IEP.

**IPI-6. There is evidence of the provision of program modifications or classroom accommodations as specified on the IEP: lesson plans, log(s), interview(s), other.**

(Rule 6A-6.03028(3)(h), F.A.C.)

Review the student’s record for evidence that the program modifications or classroom accommodations are provided as specified on the IEP. Examples of sources to check for evidence are lesson plans, grade books, notes or logs, rosters, class and teacher schedules, correspondence, materials or equipment, interviews with teachers, and classroom observations.

Mark “**yes**” if program modifications or classroom accommodations are included on the student’s IEP and there is evidence that these program modifications or classroom accommodations have been provided as specified on the IEP. Mark “**no**” if program modifications or classroom accommodations are included on the student’s IEP but there is no evidence that these program modifications or classroom accommodations have been provided as specified. Mark “**N/A**” if there are no program modifications or classroom accommodations specified on the student’s IEP.

**IPI-7. There is evidence of the provision of supports for school personnel as specified on the IEP: lesson plans, log(s), interview(s), other.**

(Rule 6A-6.03028(3)(h), F.A.C.)

Review the student’s record for evidence that the supports for school personnel are provided as specified on the IEP. Examples of sources to check for evidence are lesson plans, grade books, notes or logs, rosters, class and teacher schedules, correspondence, materials or equipment, interviews with teachers, and classroom observations.

Mark “**yes**” if supports for school personnel are included on the student’s IEP and there is evidence that these supports for school personnel have been provided as specified on the IEP. Mark “**no**” if supports for school personnel are included on the student’s IEP but there is no evidence that these supports have been provided as specified. Mark “**N/A**” if there are no supports for school personnel specified on the student’s IEP.

**IPI-8. The student’s progress toward meeting the annual goals was measured, and the report of progress was provided as often as stated on the IEP.**

(34 CFR §300.320(a)(3))

Review the progress reports for the past year to determine if:

- The reports were provided as often as indicated on the IEP
- The reports described the student’s progress toward the annual goals (not required for objectives or benchmarks)

Mark **“yes”** if both of the above are **yes**. Mark **“no”** if either of the above is **no**. Mark **“N/A”** if this is an initial IEP and the designated time for the first progress report has not been reached.

Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Compliance Self-Assessment**

**SPP 1 – Graduation with a Standard Diploma**

This indicator addresses the regulatory requirements most likely to impact a student graduating with a standard diploma. **Based on the age of the student at the time the IEP was developed, the protocol for T14 (Transition Planning for Students Age 14 or 15) or T16 (Secondary Transition) also must be completed, and is to be used in conjunction with the IEP protocol.**

Information from each of these will be used to determine the extent to which specific standards are met. For each standard, refer to the guidance provided in this document when determining if it is met. Some standards include multiple components.



Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Compliance Self-Assessment**

**SPP 2 – Dropout Rate for Students with Disabilities**

This indicator addresses the regulatory requirements most likely to impact prevention of students dropping out of school. **Based on the age of the student at the time the IEP was developed, the protocol for T14 (Transition Planning for Students Age 14 and 15) or T16 (Secondary Transition) also must be completed, and is to be used in conjunction with the IEP protocol.**

When conducting this self-assessment, the reviewer must have access to additional information in the student's folder. At a minimum, the following documents are required:

- Current IEP (to be reviewed), including FBA and BIP, if any
- Previous IEP
- Notice of the IEP team meeting
- Progress reports from the current and past school year
- Report cards from the current and past school year
- Discipline record
- Attendance record

Information from each of these will be used to determine the extent to which specific standards are met. For each standard, refer to the guidance provided in this document when determining if it is met.

- D-1. If a student has had at least 5 unexcused absences, or absences for which the reasons are unknown, within a calendar month or 10 unexcused absences, or absences for which the reason is unknown, within a 90-calendar-day period, the student's primary teacher must report that the student may be exhibiting a pattern of nonattendance. Unless there is clear evidence otherwise, the student must be referred to the school's child study team. If an initial meeting does not resolve the problem, interventions must be implemented.**  
(Section 1003.26(1), F.S.)

Review the student's attendance record to determine if the student has had at least 5 unexcused absences within a calendar month or 10 unexcused absences within a 90-calendar-day period. If so, determine if the student was referred to a child study team. If this is not evident from the file, contact the school's guidance office or staff member responsible for coordinating child study teams to determine if this occurred.

Review child study team notes for possible interventions provided (e.g., social worker to visit the home, attendance or truancy officer works with student on a contract or plan, alternative ways to get the student to and from school, participation in extracurricular nonacademic activities as an incentive). Review the student's IEP to determine if school attendance is addressed through present levels, annual goals and short-term objectives or benchmarks (if applicable), or through services.

If the student does not have a record of nonattendance, mark "N/A." If the student has a record of nonattendance and was referred to the child study team to address the

nonattendance, **or** if the IEP addresses the nonattendance, mark **“yes.”** If the student has a record of nonattendance and there is no evidence that the student was referred to the child study team **and** the IEP does not address the nonattendance, mark **“no.”**

**D-2. The district has determined that a disciplinary change of placement has occurred.**

Review the student’s record to determine if there has been a decision to change the placement of the student because of a violation of a code of student conduct. Change of placement because of disciplinary removals occurs when:

- The removal is for more than 10 consecutive school days, **or**
- A series of removals constitutes a pattern that is a change of placement because the removals accumulate to more than 10 school days in a school year; because the student’s behavior is substantially similar to the student’s behavior in previous incidents that resulted in the series of removals; and because of additional factors, such as the length of each removal, the total amount of time the student has been removed, and the proximity of the removals to one another – the district must determine on a case-by-case basis whether a pattern of removals constitutes a change in placement. (In school suspension would be considered a day of removal if the student is **not** afforded the opportunity to continue to appropriately progress in the general curriculum; the district has **not** continued to provide the services specified in the student’s IEP; and the student did **not** continue to participate with nondisabled students to the same extent as he does in the current placement.)

Mark **“yes”** if the district has documented the change of placement determination and **“no”** if there is no documentation of this review. Mark **“N/A”** if the student has not been removed for more than 10 cumulative school days in the school year.

**D-3. Within 10 school days of any decision to change the placement of a student with a disability because of a violation of a code of student conduct, the district conducted a manifestation determination.**

(34 CFR §§300.530(e) and 300.536)

If a change of placement because of disciplinary removals occurred, determine whether a manifestation determination was conducted. If there was not a decision to change the placement of the student because of a violation of a code of student conduct, mark **“N/A,”** **and mark “N/A” for the remainder of the items.**

If there was a decision to change the placement of the student because of a violation of a code of student conduct and a manifestation determination **was not** conducted within 10 school days, mark **“no,”** **and mark “N/A” for the remainder of the questions.**

If there was a decision to change the placement of the student because of a violation of a code of student conduct and a manifestation determination **was** conducted within the required 10 school days, mark **“yes”** and complete the remainder of the items.

**D-4. The district notified the parent on the same day as the date of the removal decision of any removal that constituted a change of placement and provided the parent with a copy of the notice of the procedural safeguards.**

(34 CFR §§300.530(h) and 300.503)

Mark **“N/A”** if this standard does not apply (see D-3).

Review the student's record and respond to probes **a** through **e** below:

- a. Was prior written notice provided on the same date of the removal decision (in-school suspension, out of school suspension or expulsion)?
- b. Did the notice include a description of the action proposed?
- c. Did the notice include an explanation of the district's proposed action?
- d. Did the notice include a statement that the parents were provided a copy of the procedural safeguards?
- e. Did the notice include sources for parents to contact for assistance, if needed?

Mark "**yes**" if the answers to **a** through **e** are **all yes**. Mark "**no**" if one or more are **no**.

**D-5. The IEP team considered all relevant information in the student's file, including the student's IEP, any teacher observations, and any relevant information provided by the parent, to determine whether the behavior was a manifestation of the student's disability.**

(34 CFR §300.530(e)(1))

Mark "**N/A**" if this standard does not apply (see D-3).

Review the student's record to determine if the LEA, the parent, and relevant members of the student's IEP team (as determined by the parent and the LEA) considered all relevant evaluation and diagnostic information to determine whether:

- The conduct in question was caused by or had a direct and substantial relationship to the student's disability,
- The conduct in question was the direct result of the district's failure to implement the student's IEP

Mark "**yes**" if there is evidence that the criteria were applied when determining if the behavior was a manifestation. If there is no evidence that these criteria were applied, mark "**no**."

**D-6. If the IEP team determined that the behavior was not a manifestation of the student's disability and the suspension or expulsion was applied, the student continued to receive services so as to enable the student to continue to participate in the general education curriculum, although in another setting, and to progress toward meeting the goals set out in the student's IEP and receive, as appropriate, a functional behavioral assessment and behavioral intervention services and modifications designed to address the behavior violation so that it does not recur.**

(34 CFR §300.530(d))

Mark "**N/A**" if this standard does not apply (see D-3) or if the behavior **was** determined to be a manifestation of the student's disability.

If the behavior was determined **not** to be a manifestation of the student's disability, review the record to determine how the student was provided services during the period of suspension. The services need not be the same as those on the IEP and may be provided in an interim alternative educational setting. If services were provided that would allow the student to continue to progress in the general education curriculum and toward meeting the student's goals, mark "**yes**." If services were not provided, or if the services provided did not address all pertinent areas of the curriculum, mark "**no**."

- D-7. If the IEP team determined that the behavior was a manifestation of the student’s disability, the student was returned to the current placement, unless the parent and the district agree to a change in placement as part of the behavioral intervention plan or unless the behavior is related to weapons, drugs, or serious bodily injury.**

(34 CFR §300.530(f) and (g))

Mark “**N/A**” if this standard does not apply (see D-3) or if the behavior **was not** determined to be a manifestation of the student’s disability.

If the behavior **was** determined to be a manifestation of the student’s disability, review the record to determine whether the student was returned to their current placement or other placement the parents and the district agreed upon. If the suspension was applied or the student’s placement was changed without the parent’s agreement, mark “**no.**” If the student was returned to their current placement or other agreed upon placement, mark “**yes.**”

A student may be removed from school for up to 45 school days whether the behavior was determined to be a manifestation of the disability or not if the student carried a weapon to or possessed a weapon at school, on school premises, or to a school function; or knowingly possessed or used illegal drugs, or sold or solicited the sale of a controlled substance while at school, on school premises, or at a school function; or inflicted serious bodily injury upon another person while at school, on school premises, or at a school function. If this is the case, mark “**yes.**”

- D-8. If any deficiencies related to the student’s IEP or its implementation were identified by the IEP team during the review under D-5, those deficiencies were remedied.**

(34 CFR §300.530(e)(3))

Mark “**N/A**” if this standard does not apply (see D-3) or if there were no deficiencies identified in the student’s IEP or in its implementation. If deficiencies were found and addressed, mark “**yes.**” If deficiencies were noted and there is no evidence they were addressed, mark “**no.**”

- D-9. If the student did not have a functional behavioral assessment (FBA) developed and a behavioral intervention plan (BIP) implemented prior to the removal, and the behavior was determined by the IEP team to be a manifestation of the disability, the IEP team completed the FBA and developed a BIP as soon as practicable.**

(34 CFR §300.530(d) and (f)(1)(i))

Mark “**N/A**” if this standard does not apply (see D-3) or if the student **did** have an FBA and a BIP prior to the decision to remove the student.

If the student **did not** have an FBA and a BIP prior to the removal, look for evidence that, subsequently, an FBA was conducted and a BIP developed and implemented or that there is a plan in place to conduct an FBA and develop a BIP. If there is an FBA and BIP or a plan to meet this requirement, mark “**yes.**” If there is no evidence of an FBA and BIP and no evidence of a plan to meet this requirement, mark “**no.**” Evidence

may be in conference notes or an invitation to a meeting. If there is no evidence in the file, ask school staff if there is a plan to do this.

**D-10. If the student had a BIP, the IEP team reviewed the plan as part of the manifestation determination process and revised it as needed.**

(34 CFR §300.530(f)(1)(ii))

Mark "**N/A**" if this standard does not apply (see D-3) or if the student did not have a BIP. If the student had a BIP and there is evidence that it was reviewed and revised as needed, mark "**yes**." If the student had a BIP and there is no evidence that it was reviewed and revised as needed, mark "**no**."



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**Compliance Self-Assessment**

**SPP 3 – State Assessment  
SPP 7 – Preschool Outcomes**

This indicator addresses participation and performance on the state assessment and preschool (PreK) outcomes. Use the IEP protocol.



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**Compliance Self-Assessment**

**SPP 4 – Suspension and Expulsion**

This indicator addresses the extent to which students with disabilities are subject to suspension for more than 10 days in a school year. Use the IEP and SPP 2 protocols.



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**Compliance Self-Assessment**

**SPP 5 – LRE Ages 6–21**

**SPP 6 – LRE Ages 3–5**

This indicator addresses the extent to which school-age students are provided special education and related services in the general education setting and whether prekindergarten-age children attend regular early childhood programs, special education programs, or neither.

When conducting this self-assessment, the reviewer should have access to additional information in the student’s folder. At a minimum the following documents are required:

- Current IEP (to be reviewed), including FBA and BIP, if any
- Previous IEP
- Notice of the IEP team meeting
- Progress reports from the current and past school year
- Report cards from the current and past school year
- Discipline record
- Attendance record

Information from each of these will be used to determine the extent to which specific standards are met. For each standard, refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark “**yes**” if **all** components are met. Mark “**no**” if **one or more** components are **not** met. Mark “**N/A**” if the standard **does not apply** to this student.

Use this protocol in conjunction with the IEP protocol-

**LRE-1. The parents were members of any group making decisions about the educational placement of the student. If neither parent was able to attend the IEP team meeting, there is documentation of attempts to ensure parent participation.**

(34 CFR §§300.322(c)-(d), 300.328, and 300.501(c))

If the parents were unable to attend the meeting and the meeting was conducted in their absence, there must be evidence of attempts to arrange for their participation, such as individual or conference telephone calls or video conferencing. The district must keep a record of its attempts to involve the parents, such as detailed records of telephone calls made and the results of those calls, copies of correspondence sent to the parents and responses received, or detailed records of visits made to the home or place of employment and the results of those visits. A request for parental input is acceptable.

Mark “**yes**” if the parents attended the meeting or there is evidence that parent participation or input was solicited. If the parents did not attend the IEP team meeting and there is no evidence of other attempts to arrange for their participation or input, mark “**no.**”

**LRE-2. The student participates in nonacademic and extracurricular services and activities with nondisabled students to the maximum extent appropriate.**

(34 CFR §§300.107 and 300.117)

Review the IEP and other documents in the student's record to determine if the student is provided access to activities such as counseling services, athletics, transportation, health services, recreational activities, special interest groups, or public agency-sponsored clubs. As this requirement is generally not evident as a specific component on the IEP, review the conference notes and other available information.

Mark “**yes**” if there is no evidence that the student is denied access. Mark “**no**” only if there is evidence that the student is denied access to a particular activity solely on the basis of the student's disability.

**LRE-3. When determining the student's placement, the IEP team ensured that: the student's placement was as close as possible to the student's home and was in the school that the student would attend if nondisabled, to the extent possible; any potential harmful effects on the student or on the quality of services that are needed were considered; and the student was not removed from the general education setting solely because of needed modifications to the curriculum.**

(34 CFR §300.116(b)-(e))

The requirements regarding school placement do not apply if the parents have exercised the rights to the district's school choice options. If the parent has selected the student's school (e.g., through enrollment in a charter school, magnet school, or school closest to the parent's place of employment), mark “**N/A.**”

As noted in the Analysis of Comments and Changes section of the Federal Register (71 F.R. 46588), districts do not have to provide a full range of services and placement options in each school building. However, placement decisions for all students with disabilities must be individually determined on the basis of the student's abilities and needs and on the IEP, not solely on factors such as category or severity of disability, availability of services, configuration of the service delivery system, availability of space, or administrative convenience.

In addition to information available in the individual student's record, through the self-assessment process the reviewer may have the opportunity to review IEPs and placements of other students with similar goals and services but who are eligible under different disability categories (e.g., language impairment [LI], specific learning disability [SLD], and intellectual disability [InD]). If there is no evidence that the student's school placement is in violation of the requirements noted above, mark “**yes.**” If there is evidence that students with similar goals and services are placed in different schools or more restrictive settings on the basis of the disability category, mark “**no.**”

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**Compliance Self-Assessment**

**SPP 13 – Secondary Transition Age 16 (T16)**

This protocol addresses the requirements specific to SPP 13 – Measurable Postsecondary Goals and Transition Services, as well as secondary transition in general. As such, it must be used in conjunction with the basic protocol when conducting a comprehensive IEP review or a focused self-assessment related to SPP 1 – Graduation with a Standard Diploma and SPP 2 – Dropout Rate for students age 16 and over.

IDEA and the implementing regulations at 34 CFR §300.320(b) require that IEPs for students age 16, or younger if determined appropriate by the IEP team, address the areas of education, training, employment, and, where appropriate, independent living (SPP Indicator 13). The National Secondary Transition Technical Assistance Center (NSTTAC) developed a seven-item checklist to help states collect data to meet Indicator 13 requirements. Items T16-2 and T16-9 through T16-16 below reflect the items on the NSTTAC checklist updated July 9, 2009. Items T16-1 and T16-3 through T16-8 reflect additional procedural compliance standards the bureau determined to warrant inclusion in this self-assessment.

Although the Summary of Performance (SOP) is not addressed as part of this self-assessment, it is an important requirement found in IDEA and the implementing regulations. The SOP is required for students exiting with a standard diploma or aging out of their educational program. It provides information on the academic achievement and functional performance of the student, including copies of evaluations, assessments, and other relevant reports and recommendations on how to assist the student in meeting their postsecondary goals. (See the November 15, 2010, memorandum titled “Update on IDEA 2004 Requirements for Summary of Performance and Suggested Template” included in SPP/APR Indicators/Download Documents on the ESE General Supervision Website at <http://beess.fcim.org> for additional information.) Please note that during site visits or other desk reviews, districts will be required to pull summaries of performance from the previous year.

For each standard, refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark “**yes**” if **all** components are met. Mark “**no**” if **one or more** components are not met. Mark “**N/A**” if the standard does not apply to this student.

Examples provided within this section were adapted from the NSTTAC I-13 Training Materials retrieved from <http://www.nsttac.org>. A PowerPoint presentation developed for the National Council for Exceptional Children titled “Transition Policy and the Public Agenda: Today, Tomorrow, and for the Future,” developed by Ed O’Leary, Ph.D., for the Colorado Transition Summer Institute, June 20, 2007, also was used as a reference.

**T16-1. The notice of the IEP team meeting included a statement that a purpose of the meeting was the consideration of postsecondary goals and transition services, that the student would be invited, and identified any agency that would be invited to send a representative.**

(34 CFR §300.322(b)(2))

Review the notice for the following:

- The notice indicates that a purpose of the meeting will be the consideration of postsecondary goals and transition services for the student.
- There is a statement that the student will be invited to the meeting.
- If needed, there is a statement that an agency representative will be invited to the meeting (review the participants section of the IEP to determine if an agency participated; if so, this must be indicated on the notice).

Mark “**yes**” if the first two bullets are **yes** and the third bullet is **yes** or **N/A**. Mark “**no**” if one or more bullets are **no**.

If an agency is identified after the notice has been sent, a second notice (or an addendum to the first) must be sent.

**T16-2. The student was invited to the IEP team meeting.**  
(34 CFR §300.321(b)(1))

Review the notice to determine if the student was invited. Examples of documentation include a salutation on the notice that includes both the student and the parent or a separate notice provided to the student.

Mark “**yes**” if the student was invited. If there is no evidence the student was invited, review the participants section of the IEP. If the student did not attend and there is no documentation that the student was invited, mark “**no**.” If the student was in attendance, mark “**yes**.”

**T16-3. The student’s strengths, preferences, and interests were taken into account. If the student was unable to attend the meeting, other steps were taken to ensure the student’s preferences and interests were considered.**  
(34 CFR §§300.43(a)(2) and 300.321(b)(2); Rules 6A-6.03028(3)(c)7. and (g)1. and 6A-6.03411(1)(nn)2.-4., F.A.C.)

The student’s strengths, preferences, and interests must be taken into account when developing measurable postsecondary goals to facilitate the student’s movement from school to post-school activities, including postsecondary education, vocational education, integrated employment (including supported employment), continuing and adult education, adult services, independent living, or community participation. Review the IEP to determine if these were considered.

If a student did not attend the meeting, there should be evidence that the school district obtained student input through other methods, such as student or family conferences, interest inventories, career exploration activities, vocational interest and aptitude inventories, situational assessments, and input from other personnel associated with the student. Information from interest inventories completed prior to the IEP team meeting or information on the IEP itself may be evidence of this requirement.

The student’s preferences and interests may be documented in the present level of performance section(s) of the IEP or may be included as a separate item.

Mark “**yes**” if there is evidence that the student’s input was solicited and considered. Unless there is evidence to the contrary, the student’s attendance at the meeting is sufficient documentation that the student’s strengths, preferences, and interests were considered. Mark “**no**” if there is no evidence that steps were taken to obtain and consider the strengths, preferences, and interests of a student who did not attend the meeting.

**T16-4. Beginning in eighth grade, or during the school year in which the student turns 14, whichever is sooner, the IEP must include a statement of whether the student is pursuing a course of study leading to a standard diploma or a special diploma.**

(Rules 6A-6.03028(3)(h)8 and 6A-1.09961(2)(a), F.A.C.)

Beginning with IEPs written during the student’s eighth grade year or during the school year of the student’s 14th birthday (whichever is sooner), the course requirements for standard and special diploma options must be discussed by the IEP team, and a proposed diploma option must be determined. The IEP team must review the diploma decision annually and, if appropriate, revise the diploma decision accordingly.

Mark “**yes**” if the diploma option is indicated. Mark “**no**” if the student is 14 years old or older or in the eighth grade or higher and no diploma option is indicated.

**T16-5. In order to ensure quality transition planning and services, IEP teams shall begin the process of identifying transition services needs of students with disabilities, to include consideration of the student’s need for instruction or the provision of information in the area of self-determination to assist the student to be able to actively and effectively participate in IEP team meetings and self-advocate, beginning no later than age 14, so that needed postsecondary goals may be identified and in place by age 16.**

(Rule 6A-6.03028(3)(h)9, F.A.C.)

Review the IEP for evidence that the IEP team considered the student’s need for instruction or the provision of information in the area of self-determination. This may be addressed through annual goals, short-term objectives or benchmarks, or through services in the IEP.

Although the requirement to consider the student’s need for instruction or the provision of information in the area of self-determination begins no later than age 14, this requirement must be reviewed and addressed annually as part of IEP development. Students’ self-determination needs may differ by age. Self-advocacy may be a critical area one year; goal setting or choice making may be more important during another school year. Districts are encouraged to conduct ongoing assessment to determine the student’s most critical needs in the area of self-determination.

There are numerous ways to address self-determination instruction for students served full-time in general education. It may be integrated into character education or other relevant courses; training may be provided to students via half-day or full-day workshops; or one-on-one information sessions may be provided by the counselor or teacher of record.

Mark “**yes**” if information regarding self-determination is contained within the IEP.  
Mark “**no**” if no information regarding self-determination is contained within the IEP.

**T16-6. If a participating agency responsible for transition services failed to provide the transition services as described in the IEP, the IEP team was reconvened to identify alternative strategies to meet the transition objectives as indicated on the IEP.**

(34 CFR §300.324(c)(1); Rule 6A-6.03028(3)(h)10b, F.A.C.)

Review the IEP to determine if an agency is expected to provide or pay for transition services. If so, review the student’s record, service logs, and other available documents for evidence that the agency provided the services as required.

Mark “**N/A**” if no agency is involved or if there is no evidence that an agency failed to provide services as required. Mark “**yes**” if the agency did not provide services as required and the IEP team was reconvened to identify alternative strategies to assist the student in meeting the goals and objectives on the IEP. Mark “**no**” if the agency did not provide services as required and the IEP team was not reconvened.

Although no longer required as a component of the IEP, it remains a good practice to identify the IEP team member or designee responsible for follow-up with the agency or agencies. This practice will help ensure that transition services are provided or that the IEP team is reconvened in a timely manner to identify alternatives.

**T16-7. The IEP for a 17-year-old includes a statement that the student has been informed of the rights that will transfer at age 18.**

(34 CFR §§300.320(c) and 300.520(a)(1); Rule 6A-6.03028(3)(h)11, F.A.C.)

At least one year prior to the student’s 18<sup>th</sup> birthday, the student must be informed of the rights that will transfer. If the student is 17, review the IEP for documentation that the transfer of rights was discussed. This applies only to the year prior to the student’s 18<sup>th</sup> birthday. Mark “**N/A**” for all other students. For a 17-year-old, mark “**yes**” if this statement is included on the IEP. Mark “**no**” if this statement is not included.

**T16-8. A separate and distinct notice of the transfer of rights was provided closer to the time of the student’s 18<sup>th</sup> birthday.**

(34 CFR §§300.320(c), 300.520(a)(1), and 300.625; Rule 6A-6.03311(8)(c), F.A.C.)

This standard applies only to 18-year-olds.

Mark “**N/A**” for all other students. Closer to the time of the student’s 18<sup>th</sup> birthday there must be a separate and distinct notice to the parent and student informing them of the transfer of rights. For an 18-year-old, mark “**yes**” if there is documentation of this notice. If there is not a place on the IEP for this to be documented, ask school staff how this is done. Mark “**no**” if there is no evidence the notice was provided.

**Measurable Postsecondary Goals and Transition Services:** Measurable postsecondary goals related to education, training, and employment are required for **all** students age 16 and older. A measurable postsecondary goal for independent living is required only for those students for whom the IEP team has determined it is appropriate. Note that for the following

section of the review there are **four** response rows, one for each of the areas addressed by IDEA. Respond to **each** of the following items as they relate to **each** designated area.

**T16-9. There are measurable postsecondary goals in the designated areas (i.e., education, training, employment, and, where appropriate, independent living skills).**

(34 CFR §300.320(b)(1); Rule 6A-6.03028(3)(h)10a, F.A.C.)

“The IDEA and its implementing regulations do not define the terms ‘training’ and ‘education.’ However, the areas of training and education can reasonably be interpreted as overlapping in certain instances. In determining whether postsecondary goals in the areas of training and education overlap, the IEP team must consider the unique needs of each individual student with a disability, in light of his or her plans after leaving high school. **If the IEP team determines that separate postsecondary goals in the areas of training and education would not result in the need for distinct skills for the student after leaving high school, the IEP team can combine the training and education goals...** However, **the guidance...is not intended to prohibit the IEP team from developing separate postsecondary goals in the areas related to training and education in a student’s IEP, if deemed appropriate by the IEP team**, in light of the student’s postsecondary plans. On the other hand, because employment is a distinct activity from the areas related to training and education, **each student’s IEP must include a separate postsecondary goal in the area of employment.” A student’s IEP must include a separate postsecondary goal in the area of independent living skills, where appropriate.**

(**September 26, 2011**, OSEP Letter to Commonwealth of Virginia Department of Education Special Education and Student Services Assistant Superintendent H. Douglas Cox, Retrieved <http://www2.ed.gov/policy/speced/guid/idea/letters/2011-3/index.html> and *Questions and Answers on Secondary Transition*, Revised September 2011, OSEP, Retrieved <http://idea.ed.gov/explore/view/p/%2Croot%2Cdynamic%2CQaCorner%2C10%2C>)

Each measurable postsecondary goal must meet the following requirements:

- It must be measurable; you must be able to “count it” or observe it.
- It must be intended to occur **after** the student graduates from school.
- It must include a timeframe.
- It must be updated annually; the goal need not be revised, but should be reviewed to ensure that it continues to be appropriate and accurate.

Locate the section of the IEP that includes the student’s postsecondary goal(s).

- Mark “**yes**” in the appropriate row if there is a **measurable** postsecondary goal that addresses the designated area (i.e., education; training; or education and training combined; employment; independent living, where appropriate) and, for students age 17 and older, there is evidence that the goal was reviewed and updated, if appropriate.
- Mark “**no**” in the appropriate row if there is **no goal** for a designated area (i.e., education; training; employment; independent living, where appropriate), if the goal is **not measurable**, or if there is evidence that the goal was not reviewed, and updated, if appropriate.

- Mark “**N/A**” in the designated row if no postsecondary goal is required for independent living.

Examples could be developed from any of the following:

- “Immediately following graduation, [the student] will...”
- “Within six months of graduation, [the student] will...”
- “Within four years of graduation, [the student] will...”
- “By September [specific year], [the student] will...”

Phrases such as “[The student] plans to..., wants to..., is thinking about..., has expressed an interest in...” **are not measurable**. The goals should reflect outcomes, not activities or steps toward a goal. For example, “applying for vocational rehabilitation services” is a step toward achieving a goal, not the postsecondary goal itself. Be certain that postsecondary goals reflect **post-school** outcomes, not goals to be achieved while enrolled in the school district. A “measurable postsecondary goal” is **NOT** the same as a “desired post-school outcome.”

The following examples of measurable postsecondary goals for the area of **education** and **training** are provided to guide you in the review:

- **Allison**
  - Within four years of graduation from high school, Allison will obtain a four-year degree from a liberal arts college with a major in Child Development.
- **Lisette**
  - Within three years of graduation from high school, Lisette will complete the nondegree program at Montgomery County College (MCC).
- **Kevin**
  - Within three months of graduation, Kevin will participate in supported employment training and home- and community-based training through the Progressive Employment Services (PES) community-based program.
- **Rolanda**
  - Immediately after graduation, Rolanda will participate in an in-home or center-based program designed to provide habilitative and vocational training with medical and therapeutic supports.

The following examples of measurable postsecondary goals for the area of **employment** are provided to guide you in the review:

- **Allison**
  - Within six months of receiving her degree in Child Development, Allison will obtain employment in the field of early childhood education.
- **Lisette**
  - Within nine months of graduation, through the assistance of Vocational Rehabilitation and the staff of the nondegree program at MCC, Lisette will obtain part-time employment on campus at MCC that does not interfere with her program’s schedule.
- **Kevin**
  - Within three months of graduation, Kevin will obtain a supported employment position using assistive technology, which allows him to work a minimum of 20 hours per week.

- **Rolanda**
  - Immediately after graduation, Rolanda will receive job development services from Vocational Rehabilitation or a community rehabilitation program and will participate in technologically supported self-employment or volunteerism within one year of graduation.

The following examples of measurable postsecondary goals for the area of **independent living** are provided to guide you in the review:

- **Allison**
  - N/A; Independent living is only required “where appropriate.” For this student, the transition IEP team determined it was not appropriate.
- **Lisette**
  - Within one year of graduation from high school, Lisette will use public transportation, including the public bus and uptown trolley, to independently get to and from classes at MCC.
- **Kevin**
  - Immediately following graduation, Kevin will continue to live with his parents and will participate in his daily care routines to the maximum extent possible.
  - Immediately following graduation, Kevin will participate in one to two age-appropriate community-based activities per week related to horticulture, socialization with young adults, animals, or music.
- **Rolanda**
  - Immediately after graduation, Rolanda will live at home and participate, to the maximum extent possible, in her daily routines and environment through the use of assistive technology (e.g., feeding, dressing, bathing, activating small appliances or media devices, choice making).

**T16-10. The measurable postsecondary goal was based on age-appropriate transition assessment.**

(34 CFR §300.320(b)(1); Rule 6A-6.03028(3)(h)10a, F.A.C.)

Review the IEP and other available components of the student’s record to determine if information from age-appropriate transition assessments has been considered in developing measurable postsecondary goals. If so, determine whether the information applies to the area in question (i.e., education; training; employment; independent living, where appropriate). Mark “**yes**” for the designated row if there is evidence of information from age-appropriate transition assessment related to that area. Mark “**no**” if there is no assessment or if it does not apply to the area in question. Mark “**N/A**” in the designated row if no postsecondary goal is required for independent living.

Transition assessment information must be age appropriate; gathered over time; reflect the student’s strengths, interests, and preferences; and contain information from multiple sources. Consider FCAT 2.0, Florida Alternate Assessment (FAA), college entrance tests, self-determination assessments, interest inventories, and situational assessments. Ask the following question: “Is the age-appropriate transition assessment information reflected in the IEP sufficient to support this student’s measurable postsecondary goals?”

The following examples reflect best practice in incorporating information gleaned from age-appropriate transition assessments into Present Levels of Academic Achievement and Functional Performance statements and are provided to guide you in the review.

- **Allison (education, training, and employment)**
  - Allison has achieved a level 3 in reading on the tenth grade FCAT 2.0. However, she continues to struggle with reading in the content areas when the material is technical (e.g., science text). Allison’s relative strengths are in the areas of short- and long-term memory and problem solving. Her specific learning disabilities are in the areas of reading comprehension and written expression, but she is able to maintain passing grades in general education classes when provided with additional time to complete assignments and opportunities for re-teaching and reinforcement of concepts. Allison’s oral expression skills are strengths for her as are her interpersonal skills. Academically she has maintained B’s with a C in chemistry during tenth grade and the first semester of the eleventh grade. She met all of her IEP goals for the previous school year.
- **Lisette (education, training, employment, and independent living)**
  - Based on teacher observation notes, community-based task analysis checks, and information from the student, her parents, and her teachers collected through the *Transition Planning Inventory* and *Making Action Plans*, Lisette is a rule-oriented, quiet young woman with strong skills and interests in employment in the service industry. Lisette learns best through observation and practical experience due to limited verbal and reading skills. Lisette has participated in a curriculum with a functional-academic focus in which she has demonstrated strengths in independent living skills, such as self-care, home management, reading for success in the community, and community math skills, including time and calendar skills. Lisette has expressed an interest in and demonstrated success in the service industry, particularly in the area of food preparation. Lisette indicates that her family encourages her to do well in school and in her job experiences. Her family expresses interest in Lisette’s living outside of their home as she becomes more financially independent after leaving high school.
- **Kevin (education, training, employment, and independent living)**
  - Based on FAA and on- and off-campus situational assessments, Kevin uses a manual wheelchair that has been adapted with trunk support and subbasis bar. He is able to use his right hand to manipulate larger items and can use his left hand for stabilization. Kevin receives physical therapy one time a week for 30 minutes and has ongoing therapy services in the classroom, including positioning on adaptive equipment. He wears ankle foot orthoses for stability when using a stander and a left hand-elbow mobilizer. Kevin’s physical therapist would like for him to have a motorized wheelchair but funds have not been available. Kevin also receives occupational therapy on a consultative basis. His teacher and the occupational therapist have been working on developing vocationally related jigs.
  - Kevin has little intelligible speech other than single words and yes or no responses but within the classroom has used an iTalk2 to communicate simple needs and choices and is learning to use a GoTalk20+. He does not use an augmentative communication device at home but does have a picture board,

which transitions with him in school, the community, and home. He requires physical prompting to use his picture board for most tasks. Kevin also receives speech therapy two times a week for 30 minutes each session.

- Kevin has generalized tonic-clonic seizures that are 85 percent controlled with two different anti-convulsant medications (Tegretol and Mysoline). He is fed through a gastrostomy tube although he is able to take some pureed foods by mouth in limited amounts. Kevin can feed himself by mouth using a feeder but has to be closely monitored and reminded to eat slowly to avoid asphyxiation. Usually Kevin is only allowed to feed himself during special occasions, such as a class party or special meal. The gastrostomy tube placement was primarily due to asphyxiation of food during meal times that resulted in recurrent upper respiratory infections (URIs). These URIs have greatly decreased since his surgery.
- A functional vision assessment has indicated that Kevin’s visual acuity with corrective lenses at near distances is 20/80 and at far distances is 20/100. His most effective visual field is slightly below eye level and he is able to localize to visual stimulus and fixate his gaze on objects and people as well as shift his gaze. Kevin does not like wearing his glasses but is cooperative in this area most of the time.
- Kevin has good hearing.
- Kevin has used the *Making Action Plans* person-centered planning process for transition planning.
- Kevin and his family plan for him to stay in the public school until he ages out at age 22, which will provide him with three more years of educational services.
- Kevin lives at home with his mother, father, 11-year-old sister, and a great-aunt who helps with his care. Kevin also has an older brother who is in college.
- Kevin is approved for Medicaid waiver-funded services. Kevin’s family is hopeful that this funding source will provide him with an array of services based on his individual needs, including the following:
  - An augmentative communication device
  - Case management
  - One-on-one community and home support
  - Personal care services
  - Respite
  - Specialized equipment and services
  - Medical transportation
  - Supported employment
  - Home- and community-based activities after high school graduation
- Kevin appears to have some understanding of becoming an adult and living more independently, possibly away from his family. Kevin’s mother has very mixed feelings about Kevin’s future living arrangements. As Kevin’s primary caregiver since birth, she realizes that as time goes on it might be necessary to seek an out-of-home placement. Kevin’s father would very much like to see Kevin move into a group home or other supervised post-school living arrangement as soon after high school as possible. Kevin’s father would like to spend more time with his younger daughter and wife and believes that his elderly aunt is not going to be able to assist them much longer with Kevin’s personal care.
- Kevin has no understanding of money and does not provide input into his health and medical care. The Medicaid waiver program will assist with medical

care, equipment, and supplies. Kevin's parents plan to work with his support coordinator to obtain guardianship because Kevin has now turned 18.

- Kevin enjoys interacting with other people, music, horticulture, computers, and clerical-type activities in which he has the opportunity to complete a project. He responds well to verbal praise and is able to stay focused on a task for more than 20 minutes with occasional verbal redirection. Kevin has developed the skills to operate a variety of switch-activated devices (e.g., button maker, blender), use a paper shredder, and collate papers with a jig. Kevin has worked successfully on an assembly line in the school-based enterprise and has held an on-campus job in the school library checking books in and out using a scanning system and shelving books with the help of a teacher assistant. Kevin loves school and is always eager to learn new skills. He demonstrates a high level of motivation to please his teachers and his parents report that even when he is sick he wants to go to school.
- While at home, Kevin's mother and great-aunt provide total physical care. Although Kevin could assist with some personal hygiene tasks, this is not a current expectation for him while in the home. With the exception of making choices regarding relatively minor concerns (e.g., selecting music to listen to or an item of clothing to wear), all decisions are made for Kevin by his parents. He goes into the community with his family on occasion, although the majority of his community experiences occur through the school. While at home, Kevin enjoys watching DVDs, looking at books, listening to music, watching his younger sister play video games, family meals, and making music on his electronic keyboard.
- **Rolanda**
  - Rolanda is an 18-year-old student with multiple disabilities. She is a non-ambulatory teenager with significant intellectual disabilities. She has athetoid cerebral palsy that impacts all motor functioning. Until the age of 12, Rolanda ate soft and pureed foods in small amounts several times a day. Choking became a concern after several problems that scared her parents and teachers. Doctors decided that it was necessary at that point for Rolanda to gain nutrition through a g-tube that another person connects to a source of nutritional liquid. She has bronchial cysts that required a tracheotomy procedure when Rolanda was nine years old.
  - Currently, Rolanda breathes with the assistance of a ventilator through her tracheotomy. She is an only child, and both of her parents and a part-time in-home nurse have a structured schedule for her care on a daily basis. Rolanda is a friendly, alert student who is responsive to music. She communicates desires and needs inconsistently through switches and picture symbols. She can make choices from three options to select music to listen to, movies to watch, and places to go.
  - Rolanda's family takes her most places, as long as no food is served there, because Rolanda gets upset when others eat around her. Her mother thinks that she feels jealous that she can no longer eat the foods she loved as a child. Rolanda loves to watch "American Idol" on television. Each summer her family travels to see the contestants on tour in a new city. Rolanda's parents had her just after they married when they were in their early twenties. Their plan is that Rolanda will live with them for approximately 20 years. At that point they will seek supported housing in a group home, or Rolanda will move in with a relative who is willing to care for her.

- Rolanda’s parents are willing to implement a program that will benefit Rolanda at home, yet they are concerned that she could benefit from technology that they do not have the skills to utilize effectively. They also feel that it is important that Rolanda spend her days working to the best of her ability so that she gains skills and feels a sense of accomplishment in her life. Although her parents are young and strong right now, it is still important to them that Rolanda provides as much assistance as possible in self-care tasks, such as transferring from her wheelchair to the floor, the bed, and to other adaptive furniture throughout the house as well as hygiene tasks. Rolanda’s parents would also like additional information about financial planning and social security income to help them make informed decisions about Rolanda’s security in the future.
- Anecdotal records for an observation period of 10 days indicate that Rolanda is curious, stays alert and awake throughout the school day, and seems to enjoy activity around her. She enjoys getting verbal and tactile attention from her peers and staff. She is tolerant of position changes on a mat table and allows hand-over-hand assistance to participate in activities. She likes using a switch (with assistance) to activate a variety of devices, including the radio and computer.
- A portfolio assessment indicates that Rolanda accesses the general education curriculum through extension activities. She benefits from sensory-stimulating activities and activities to improve her independence and communication. Rolanda uses facial gestures to communicate her pleasure and displeasure with her current state. She offers a smile to show happiness and a blank stare to indicate disinterest. Picture and symbol augmentative communication supports have not been successful. She uses simple one-button communication devices with assistance when offered during class activities. A physical therapy evaluation and reports from the medical doctor indicate Rolanda uses a manual wheelchair dependently. She requires a two-person lift or mechanical device for all transfers. She tolerates positioning on a mat table and demonstrates limited fine motor skills, which results in her dependency for all care and hand-over-hand assistance for all activities.

**T16-11. The IEP includes measurable annual goals, including academic and functional goals that are related to the student’s transition service needs. The annual goals should be designed to meet the student’s needs that result from the disability to enable the child to be involved in and make progress in the general education curriculum, and also to meet the student’s other needs that result from the disability. Benchmarks or short-term objectives must be included for students with disabilities who take alternate assessments aligned to alternate achievement standards, or any other student with a disability as determined by the IEP team.**

(34 CFR §300.320(a)(2); Rule 6A-6.03028(3)(h)2-3, F.A.C.)

Review the IEP to determine if there are measurable annual goal(s) or short-term objectives or benchmarks, if applicable, that will help the student make progress toward the stated postsecondary goal(s).

Locate the section of the IEP that includes the student’s postsecondary goal(s).

- For **each** of the postsecondary goal areas (for both measurable and not measurable goals), if there is a measurable annual goal or short-term objective or

- benchmark, if applicable, included in the IEP that will help the student make progress toward the stated postsecondary goal, mark “**yes**” in that row.
- For **each** of the postsecondary goal areas (for both measurable and not measurable goals), if there is no measurable annual goal or short-term objective or benchmark, if applicable, included in the IEP that will help the student make progress toward the stated postsecondary goal, mark “**no**” in that row.
  - Mark “**N/A**” in the designated row if no postsecondary goal is required for independent living.

Short-term objectives or benchmarks must be included for students with disabilities who take alternate assessments aligned to alternate achievement standards. Short-term objectives or benchmarks may be developed for any other student with a disability as determined by the IEP team.

For an annual goal to be measurable, it must have an explicit, observable behavior (what the student will do), conditions (specific circumstances or assistance that will affect performance of behavior), and criteria (what will be measured and how well the student must perform).

There does not need to be a separate measurable annual goal for each postsecondary goal. It is logical that, when writing (or reviewing), the team should ask “what postsecondary goal(s) does this measurable annual goal support?” The team should also ask “what measurable annual goals are needed to help this student achieve the postsecondary goal(s)?”

The following examples of measurable annual goals are sufficiently descriptive to guide you in the review (short-term objectives or benchmarks are not included in these examples):

- **Allison (education, training, and employment)**
  - Given the weekly assignment to write a 2–3 page essay on an assigned topic, Allison will use planning strategies to meet the scoring rubric requirements for earning a C or above on all essays.
  - Allison will use planning strategies to record, track, and complete homework assignments for all classes on a daily basis and will prepare questions for her teachers in English, Spanish, U.S. history, and chemistry at least once each week for the duration of this IEP.
- **Lisette (education and training)**
  - Lisette will accurately record her personal information, including first and last name, date of birth, Social Security number, street address, city, state, zip code, age, and telephone number, with 100 percent accuracy by April.
- **Lisette (employment)**
  - Given a cell phone with pertinent telephone numbers programmed and weekly practice in school and community settings, Lisette will successfully call her supervisor to communicate important messages in five out of five role-play trials in school and community settings.
- **Lisette (independent living)**
  - Given travel training situations, Lisette will demonstrate sitting quietly and refraining from talking to strangers while using public transportation at least two times across three situations.

- **Kevin (education and training)**
  - Given the GoTalk20+ augmentative communication device and weekly community practice, Kevin will independently and accurately use the device to communicate a desire for an item in various community settings, including restaurants and grocery stores.
- **Kevin (employment)**
  - Given six work experience options, Kevin will select and participate in four on-campus and off-campus work experiences for a minimum of two days per week, two hours per experience, for up to 120 hours per experience in clerical-related jobs.
- **Kevin (independent living)**
  - Given picture symbols with Velcro adhesive and a wall-mountable daily planner, Kevin will use a schedule to plan self-care (e.g., showering and eating), work experience, and recreational activities five days each week for the duration of his IEP with a maximum of one physical prompt per activity to place the picture symbol on the schedule.
- **Rolanda (education and training)**
  - Given a board displaying four choices of classroom and community activities (e.g., instructional activities, work-based instruction activities, locations in the school, movies, music, locations in the community, people), Rolanda will use a pointer affixed to a head-piece to select her preferred activity each time she is presented the four choices by December.
  - Given a micro switch properly secured to the headrest of her chair, Rolanda will follow a schedule of her daily routines by selecting the activity that should occur at that scheduled time three out of four opportunities by October.
- **Rolanda (employment)**
  - Given multiple vocational tasks in the classroom, Rolanda will increase her productivity by 20 percent as measured by time on task during a 30-minute training session during one school semester.
  - Given two job-shadowing experiences, one in the arts and one in business, Rolanda will identify her likes and dislikes of each industry through facial gestures as assessed in four of five trials for both experiences.
- **Rolanda (independent living)**
  - Given daily classroom routines for practice and a verbal prompt, Rolanda will raise her arms to assist in lifting, dressing, and hand washing on 80 percent of occasions for the duration of the IEP.
  - Given small group instruction on three recreational games in adapted physical education, modeling, and independent practice, Rolanda will increase motor coordination by throwing a ball 9 out of 10 times during a 30-minute session twice a week for the duration of the IEP.

**T16-12. There are transition services on the IEP to assist the student in reaching the measurable postsecondary goals.**

(34 CFR §300.320(b)(2); Rule 6A-6.03411(1)(nn), F.A.C.)

Review the IEP to determine if a type of instruction, related services, community experience, or development of employment and other post-school adult living objectives is included. If appropriate, determine if acquisition of daily living skills and

provision of a functional vocational evaluation are listed in association with meeting the postsecondary goal(s).

Locate the section of the IEP that includes the student’s postsecondary goal(s). For **each** of the postsecondary goal areas, check to see if one or more of the following are addressed in the measurable annual goal(s) or in other components of the IEP in association with meeting the postsecondary goal(s):

- Instruction
- Related service(s)
- Community experience(s)
- Development of employment and other post-school adult living objectives
- Acquisition of daily living skill(s)
- Provision of a functional vocational evaluation

Transition services may be addressed through the development of measurable annual goals or short-term objectives or benchmarks, if applicable, special education services, related services, program modifications or supports for school personnel, supplementary aids and services, or statewide and districtwide assessment accommodations or modifications. The examples below could be further developed into measurable annual goals or addressed in other relevant sections of the IEP.

If **one or more** are evident, mark “**yes**” in that row. If **none** are evident, mark “**no**” in that row. Mark “**N/A**” in the designated row if no postsecondary goal is required for independent living.

The following examples of transition services are provided to guide you in the review:

- **Allison (instruction supports the postsecondary education and training goal above)**
  - Guided notes for lessons
  - Syllabi in advance, as requested
  - Preferential seating in Spanish I
  - Audiotaped texts for English IV
  - Extended time on tests in Algebra II and Advanced Biology
  - Accommodations for American College Testing (ACT) test
- **Allison (community experiences support the postsecondary education, training, and employment goals above)**
  - Job-shadowing experiences in a variety of childhood education programs
  - College-shadowing experiences at a minimum of three university campuses, which include touring the campus, meeting with the admissions department, and meeting with personnel in the disability services coordination office
- **Allison (employment and other post-school living objectives support the postsecondary education, training, and employment goals above)**
  - Assistance or support in obtaining part-time employment in a position working with children
  - Application for college financial aid, including grants and scholarships
  - Referral to Vocational Rehabilitation to determine eligibility for tuition assistance and any other needed services
  - Application for college and disability support services, no later than December
- **Lisette (instruction supports the postsecondary education, training, and independent living goals above)**
  - Community safety skills instruction, including self-defense at the YMCA
  - Travel training instruction

- Math instruction related to money usage and telling time on a variety of watches and clocks
- Literacy instruction related to sight word identification
- **Lisette (related service supports the postsecondary independent living goal above)**
  - Assistive technology services to increase the use of voice output device
  - Physical therapy to improve independent ambulation
- **Lisette (daily living skills support the postsecondary education, training, and independent living goals)**
  - Purchase a monthly bus pass
  - Apply safety skills in the community, particularly with regard to use of public transportation
  - Learn to choose a seat near the bus driver
  - Learn to use the pull cord to identify upcoming stop
- **Kevin (instruction supports the postsecondary education, training, employment, and independent living goals above)**
  - Participate in the access points to the Next Generation Sunshine State Standards, primarily at the participatory level of complexity
  - Participate in self-advocacy training to increase choice-making skills
  - Meet with PES to discuss program and process for enrollment
- **Kevin (related services support the postsecondary education, training, employment, and independent living goals above)**
  - Consult with physical therapist, Agency for Persons with Disabilities, and Vocational Rehabilitation regarding motorized wheelchair
  - Involve transition coordinator and special education teacher in annual support coordinator plan meetings to coordinate transition
  - Continue speech therapy with a focus on skills needed to use a high-level communication system and investigate appropriate system for the home
- **Kevin (community experiences support the postsecondary education, training, employment, and independent living goals above)**
  - Volunteer at city parks and gardens
  - Investigate accessible community transportation options
  - Participate in monthly age-appropriate, community-based recreational activities with peers (e.g., movies, bowling, school events)
  - Participate in art classes at the local center of the arts
- **Kevin (employment services support the postsecondary education, training, employment, and independent living goals above)**
  - Participate in on-campus clerical job experience in school office and possibly in other school offices
  - Continue participation in the school-based enterprise or small school business
  - Begin referral process to obtain Vocational Rehabilitation for rehabilitation engineering consultation and supported employment
  - Engage in community-based vocational education work experience opportunities in area businesses related to Kevin’s interest
- **Kevin (post-school adult living skills services support the postsecondary independent living goals above)**
  - Investigate supported living options
  - Conduct in-home accessibility evaluation to determine issues and assistive technology needs

- **Kevin (daily living skills support the postsecondary education, training, employment, and independent living goals above)**
  - Assess daily living skills to determine if assistive devices can increase independence level in the home, community, and at school
- **Kevin (functional vocational evaluation supports postsecondary education, training, and employment goals above)**
  - Conduct situational assessment during on-campus and off-campus work
- **Rolanda (instruction supports the postsecondary education, training, and independent living goals above)**
  - Participation in the Next Generation Sunshine State Standards Access Points and functional curriculum
  - Self-care skill instruction
- **Rolanda (community experience supports the postsecondary employment goal above)**
  - Community-based instruction
  - Non-Paid Community-Based Vocational Education
- **Rolanda (related services support the postsecondary education, training, employment, and independent living goals above )**
  - Speech therapy, occupational therapy for augmentative communication evaluation and selection of appropriate augmentative communication device for school and post-school environments
  - Occupational therapy for use of assistive technology
  - Evaluation for determination of devices to increase independence in home and community-based environments
  - Physical therapy to maintain and improve strength and flexibility
  - Nursing services to increase Rolanda’s ability to access community environments
  - Visits to recreational agencies and facilities in the community
  - Leisure and recreational interest survey through student response to different leisure opportunities in the community
  - Meeting with Supplemental Security Income (SSI) representative and Community Work Incentives Coordinator (CWIC) to determine possible financial benefits
- **Rolanda (functional vocational evaluation supports the postsecondary employment and independent living goals above)**
  - Refer to Vocational Rehabilitation for nonverbal, modified assessments of adaptive behavior, career interests, and career skills

**T16-13. The transition services include course(s) of study needed to assist the student to reach the postsecondary goal(s).**  
(34 CFR §300.320(b)(2))

The course(s) of study describe the student’s instructional program and experiences. Examples include the following:

- Participation in advanced-placement courses
- Participation in courses that provide community-based experiences to help the student acquire adult living and employment skills

Review the IEP to determine whether the student’s course(s) of study aligns with the student’s identified postsecondary goal(s). If so, mark “**yes.**” If not, or if there is no course of study identified, mark “**no.**” Mark “**N/A**” in the designated row if no postsecondary goal is required for independent living.

**T16-14. If transition services are likely to be provided or paid for by another agency, a representative of the agency was invited to participate in the IEP team meeting.**  
(34 CFR §300.321(b)(3))

For **each** of the postsecondary goal areas, review the IEP to determine if there are transition services included that will likely be provided or paid for during the current year by any agency other than the school district. If no agency is likely to provide or pay for transition services for one or more of the postsecondary goals during the current year, mark “**N/A**” in the corresponding row.

**If agency participation is expected**, review the notice of the meeting and the participants section of the IEP or other documentation to determine if an agency representative was invited. If the district sought consent from the parent to invite an agency representative but consent was not given, mark “**N/A.**” If an agency representative is included on the notice of the meeting **or** if an agency representative attended the meeting, mark “**yes.**” If there is no evidence that the district attempted to invite the agency representative, mark “**no.**”

It is important that the IEP team begin discussing possible agency involvement early. In some cases agencies may need to be invited to an IEP team meeting when the student is 16 or younger. In other cases it may be determined that, although communication with the agency or between the family and the agency is required, it isn’t necessary to invite an agency representative to participate in an IEP team meeting until closer to the time the student exits. Districts are encouraged to work with their interagency councils to determine when agencies need to be invited for students who don’t have immediate needs from agencies but will need services post-school.

**T16-15. The district obtained consent from the parent, or from the student whose rights have transferred, prior to inviting to the IEP team meeting a representative of an agency likely to provide or pay for transition services.**  
(34 CFR §300.321(b)(3))

If an agency representative was not invited to the meeting, mark “**N/A.**” If an agency representative was invited, review the folder for evidence that the parent or adult student provided consent. Notice cannot be provided to agency representatives prior to the district’s receipt of parent consent or consent from the student whose rights have transferred. Consent may be documented on the notice of the IEP team meeting, **as long as the notice was not sent to the agency representative prior to receipt of the consent**, or on another form. If consent is evident, or if the parent initiated the invitation, mark “**yes.**” If no consent is evident **and** the agency representative was invited, mark “**no.**”

“...a separate consent must be obtained from the parents or a child who has reached the age of majority **for each IEP team meeting [emphasis added]**, conducted in accordance with

34 CFR §300.320(b), before a public agency can invite a representative of any participating agency that is likely to be responsible for providing or paying for transition services to attend the meeting.” (2008, OSEP Letter)

**T16-16. The IEP includes appropriate measurable postsecondary goals that are annually updated and based upon: an age-appropriate transition assessment; transition services, including courses of study, that will reasonably enable the student to meet those postsecondary goals; and annual IEP goals related to the student’s transition services needs. There also must be evidence that the student was invited to the IEP team meeting where transition services are to be discussed and evidence that, if appropriate, a representative of any participating agency was invited to the IEP team meeting with the prior consent of the parent or student who has reached the age of majority.**

(34 CFR §§300.320(b)-(c) and 300.321(b); Rule 6A-6.03028(3)(b)-(c) and (h), F.A.C.)

If T16-2 and T16-9 through T16-15 are all yes or N/A, mark “**yes.**” If one or more of T16-2 and T16-9 through T16-15 are no, mark “**no.**”

Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Compliance Self-Assessment**

**Transition Planning Age 14 (T14)**

This abbreviated protocol addresses the requirements specific to transition planning for students age 14 or 15 or for students who are in the eighth grade. As such, it must be used in conjunction with the basic protocol when conducting a comprehensive IEP review or focused self-assessment related to **SPP – 1 Graduation with a Standard Diploma** and **SPP 2 – Dropout Rate** for a student of that age or grade.

For each standard, refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **“yes”** if **all** components are met. Mark **“no”** if **one or more** components are not met. Mark **“N/A”** if the standard does not apply to this student.

**T14-1. The notice of the IEP team meeting included a statement that a purpose of the meeting was the identification of transition services needs of the student and that the student would be invited.**

(34 CFR §300.322(b)(2))

For a student age 14–15, review the notice for the following:

- The notice must indicate that a purpose of the meeting will be the identification of transition services needs of the student.
- There is a statement that the student will be invited to the meeting.

Mark **“yes”** if both are **yes**. Mark **“no”** if either one is **no**.

**T14-2. The student was invited to the IEP team meeting.**

(34 CFR §300.321(b)(1))

Review the notice to determine if the student was invited. Examples of documentation include a salutation on the notice that includes both the student and the parent or a separate notice provided to the student. Mark **“yes”** if the student was invited. If there is no evidence the student was invited, review the participants section of the IEP. If the student did not attend and there is no documentation that the student was invited, mark **“no.”** If the student was in attendance, mark **“yes.”**

**T14-3. The student’s strengths, preferences, and interests were taken into account. If the student was unable to attend the meeting, other steps were taken to ensure the student’s preferences and interests were considered.**

(34 CFR §§300.43(a)(2) and 300.321(b)(2); Rules 6A-6.03028(3)(c)7. and (g)1. and 6A-6.03411(1)(nn)2.-4., F.A.C.)

The student’s strengths, preferences, and interests must be taken into account so that measurable postsecondary goals in the areas of education, training, employment, and independent living, if appropriate, are identified and in place by age 16. Review the IEP to determine if these were considered.

If a student did not attend the meeting, there should be evidence that the school district obtained student input through other methods, such as student or family conferences, interest inventories, career exploration activities, vocational interest and aptitude inventories, situational assessments, and input from other personnel associated with the student. Information from interest inventories completed prior to the IEP team meeting or information on the IEP itself may be evidence of this requirement.

The student's preferences and interests may be documented in the present level of performance section(s) of the IEP or may be included as a separate item. Mark "yes" if there is evidence that the student's input was solicited and considered. Unless there is evidence to the contrary, the student's attendance at the meeting is sufficient documentation that the student's strengths, preferences, and interests were considered. Mark "no" if there is no evidence that steps were taken to obtain and consider the strengths, preferences, and interests of a student who did not attend the meeting.

**T14-4. In order to ensure quality transition planning and services, IEP teams shall begin the process of identifying transition services needs of students with disabilities, to include consideration of the student's need for instruction or the provision of information in the area of self-determination to assist the student to be able to actively and effectively participate in IEP team meetings and self-advocate, beginning no later than age 14, so that needed postsecondary goals may be identified and in place by age 16.**

(Rule 6A-6.03028(3)(h)9, F.A.C.)

Review the IEP for evidence that the IEP team considered the student's need for instruction or the provision of information in the area of self-determination. This may be addressed through annual goals, short-term objectives or benchmarks, or through services in the IEP.

Although the requirement to consider the student's need for instruction or the provision of information in the area of self-determination begins no later than age 14, this requirement must be reviewed and addressed annually as part of IEP development. Students' self-determination needs may differ by age. Self-advocacy may be a critical area one year; goal setting or choice making may be more important during another school year. Districts are encouraged to conduct ongoing assessment to determine the student's most critical needs in the area of self-determination.

There are numerous ways to address self-determination instruction for students served full-time in general education. It may be integrated into character education or other relevant courses; training may be provided to students via half-day or full-day workshops; or one-on-one information sessions may be provided by the counselor or teacher of record.

Mark "yes" if information regarding self-determination is contained within the IEP. Mark "no" if no information regarding self-determination is contained within the IEP.

**T14-5. Beginning in eighth grade, or during the school year in which the student turns 14, whichever is sooner, the IEP must include a statement of whether the student is pursuing a course of study leading to a standard diploma or a special diploma.**

(Rules 6A-6.03028(3)(h)8 and 6A-1.09961(2)(a), F.A.C.)

Beginning with IEPs written during the student's eighth grade year or during the school year of the student's 14th birthday (whichever is sooner), the IEP team must discuss the course requirements for standard and special diploma options, and a proposed diploma option must be determined. The IEP team must review the diploma decision annually and, if appropriate, revise the diploma decision accordingly.

Mark **"yes"** if the diploma option is indicated. Mark **"no"** if the student is 14 years old or older or in the eighth grade or higher and no diploma option is indicated.



Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Compliance Self-Assessment**

**Services Plan**

This protocol is used when conducting a self-assessment of a services plan (SP) for parentally placed private school students receiving equitable services through the school district. In accordance with 34 CFR §300.138, *Equitable Services Provided*, services plans:

- Are required to describe the specific special education and related services to be provided and funded by the district based on a plan developed through meaningful consultation with private school representatives and representatives of parents of parentally placed private school children with disabilities
- Must, **to the extent appropriate**, meet the requirements of 34 CFR §300.320, *Definition of Individualized Education Program*, with respect to the services provided
- Be developed, reviewed, and revised consistent with:
  - 34 CFR §300.321, *IEP Team*
  - 34 CFR §300.322, *Parent Participation*
  - 34 CFR §300.323, *When IEPs Must Be in Effect*
  - 34 CFR §300.324, *Development, Review, and Revision of IEP*

When reviewing a services plan for compliance, it is important to keep in mind that the information required to be incorporated in an SP is determined by the student's unique needs **only as they apply to the services the district has determined will be provided**. Because the requirements for SPs may vary based on the services to be provided, this protocol includes the basic information determined to be necessary for a student to receive direct services. Depending on the circumstances, additional information may be required (e.g., secondary transition planning). That information may be included in the district's services plan form or in conference notes.

Mark "**N/A**" if the standard **does not apply** to this student, **given the nature of the services to be provided**. For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark "**yes**" if **all** components are met. Mark "**no**" if **one or more** components are **not** met.

**SP-1. The SP was current on the day of this review.**

Check the initiation and duration dates of the SP to determine if it is current.

**SP-2. The SP was current at the beginning of the school year.**  
(34 CFR §300.323(a))

Determine the first day of school for the current school year. If the current SP was developed after that date, determine if the previous SP was current on the first day of school or if the decision to provide services to this student was made after the first day of school.

Mark "**N/A**" if the decision to provide services to this student was made after the first day of school. Mark "**yes**" if an SP was in effect on the first day of school. Mark "**no**" if the student was designated to receive services but did not have a current SP on the first day of school.

**SP-3. The parents were invited to the SP team meeting.**  
(34 CFR §§300.322(a) and 300.501(b))

Evidence that parents were invited may include letters or documentation of phone calls or evidence on the participants section of the SP that the parents attended or participated by phone.

For this item, mark “**yes**” if there is any evidence that the parents participated in the SP team meeting or were invited. If there is no documentation of a written notice but the parents were in attendance, this is evidence that the parents were notified of the meeting. If there is no evidence that the parents were invited **and** the parents did not attend the IEP team meeting, mark “**no**.”

**SP-4. The parents were provided notice of the SP team meeting a reasonable amount of time prior to the meeting, at least one attempt to invite the parent was through a written notice, and a second attempt was made if no response was received from the first notice.**  
(34 CFR §300.322(a)(1))

A second notice **is not required** if the parents accepted the first notice but did not attend. Documentation may take the form of written notice, telephone calls, or a visit to the home or place of employment.

A week to 10 days is generally reasonable, although shorter notice would be considered reasonable if the parents were able to attend without undue difficulty. If the notice was provided a very short time before the meeting (e.g., less than one week), consider whether there were mitigating circumstances (e.g., the parents agreed to or requested a meeting as soon as possible, the meeting included a manifestation determination).

Mark “**yes**” if there is evidence of **all** the following:

- **At least one** written notice was provided
- The written notice was provided a reasonable amount of time before the meeting
- **If the parent failed to respond to the first attempt**, a second attempt was made to invite the parents

Mark “**no**” if there is no evidence of one or more of the above.

**SP-5. The notice to the SP team meeting contained the time, location, and purpose of the meeting.**  
(34 CFR §300.322(b))

Review the notice for the following:

- Reason for the meeting (e.g., annual review, reevaluation)
- Time of the meeting
- Location of the meeting

Mark “**yes**” if all are **yes**. Mark “**no**” if one or more are **no**. Mark “N/A” if “**no**” was marked for SP-4.

**SP-6. The notice contained a listing of persons invited to the meeting, by name or position.**

(34 CFR §§300.137(c), 300.321(a)-(b), and 300.322(b))

All individuals invited to the meeting must be identified either by position or name or both. Beginning at age 14, the student must be identified as being invited to the meeting. Beginning at age 16, representatives of an agency that may be responsible for providing or paying for transition services must be invited. The names or positions may include:

- Parent(s) of the student
- Representative of the private school
- Student (age 14 or older) \*, when appropriate
- At least one general education teacher of the child (if the child is, or may be, participating in the regular education environment)
- At least one special education provider of the child
- LEA representative (may be fulfilled by another member of the team)
- Interpreter of instructional implication of evaluation results (may be fulfilled by another member of the team)
- Agency representatives\*, if appropriate
- Interpreter, if needed\*, for parents or student
- Others, if appropriate\*

Review the SP, the student's date of birth, and other pertinent records to determine if an invitation to the participants identified by an asterisk (\*) is required for this particular meeting. Review the participant section of the SP to determine if all district staff in attendance at the meeting were included on the notice to the parents (by name, title, or position).

Mark **"yes"** if the required participants were invited and the parents were notified of everyone in attendance. Mark **"no"** if any one or more required participants were not invited or if there were participants who were not included on the notice. **Note: Do not** mark **"no"** if there is evidence on the notice or IEP that the parent's requested or approved the participation of the additional members. Mark **"N/A"** if **"no"** was marked for S-4.

**SP-7. The parents were provided a copy of the procedural safeguards.**

(Rule 6A-6.03311(2), F.A.C.)

A copy of the procedural safeguards must be provided to the parents only once a school year, except that a copy must also be given to parents:

- Upon initial referral or parent request for evaluation
- In accordance with the discipline procedures when a change in placement occurs
- Upon receipt of the first State complaint and upon receipt of the first request for a due process hearing in a school year
- Upon request by a parent

It is important that parents are informed regarding the procedural safeguards that are applicable for parents of students with disabilities who are enrolled by their parents in private schools.

Review the record for documentation of this action, which may include a written notation or a preprinted statement to that effect. Mark “**yes**” if there is evidence the procedural safeguards were provided with at least one notice of the meeting **or** had been provided previously during the school year. Mark “**no**” if there is no evidence that the parents were provided a copy of the procedural safeguards at least once within the school year.

**SP-8. If neither parent was able to attend the SP team meeting, there is evidence and documentation of attempts to ensure parent participation.**

(34 CFR §§300.322 (c)-(d) and 300.328)

If the parents were unable to attend the meeting and the meeting was conducted in their absence, there must be evidence of attempts to arrange for their participation, such as individual or conference telephone calls or video conferencing. The school district must keep a record of its attempts to involve the parents, such as: detailed records of telephone calls made and the results of those calls, copies of correspondence sent to the parents and responses received, or detailed records of visits made to the home or place of employment and the results of those visits. A request for parental input is acceptable.

Mark “**N/A**” if a parent attended the meeting. Mark “**yes**” if a parent did not attend but there is evidence that parent input **was solicited**, either in writing or through other methods. Mark “**no**” if a parent did not attend the IEP team meeting **and** there is no evidence of other attempts to arrange for their participation or input.

**SP-9. The parent *agreed* to an SP team member’s absence when that person’s curriculum or related service area was *not* being discussed.**

(34 CFR §300.321(e))

An SP team member may not be required to attend an SP meeting, in whole or in part, if the parent and the LEA agree, in writing, that the attendance of such member is not necessary due to the member’s area of curriculum or related services not being discussed or modified. There must be documentation that the parent agreed to the member’s nonattendance. This may be included on the notice to the meeting, on the SP, or on a separate document. Review the record for documentation (e.g., a check box with a statement or a written statement by the parent).

**Note:** When evaluating this standard, take into account that the district is responsible for identifying the required members of the SP team (e.g., if a student has **two** ESE teachers or service providers, the district determines whether **one** or **both** of them are required) and which personnel will fulfill those roles. See item SP-6 for a listing of required SP team members.

Mark “**N/A**” if no member’s absence was requested or if all required SP team members were in attendance. If a required team member’s absence was requested and the team member did not attend the meeting, mark “**yes**” if there is evidence that the parent agreed to the member’s absence. Mark “**no**” if there is no evidence that the parent agreed to the absence.

**SP-10. The parent *consented* to the excusal of an SP team member when that person's curriculum or related service area was being discussed.**

(34 CFR §300.321(e)(2))

An SP team member may be excused from attending an SP meeting, in whole or in part, when the meeting involves a modification to or discussion of the member's area of curriculum or related services only if **both** of the following occur:

- a. The SP team member submits input into the development of the SP in writing to the parent and SP team.
- b. The parent and LEA consent to the excusal.

Documentation may be included with the notice to the SP meeting or in a separate document. There must be written documentation from the team member providing pertinent information regarding development of the SP (e.g., the student's progress in class, present level of academic achievement and functional performance) and evidence of consent for the excusal of the SP team member. If the LEA consent is indicated by a preprinted statement and only the parent's consent is indicated by a signature, this is sufficient.

**Note:** When evaluating this standard, take into account that the district is responsible for identifying the required members of the SP team (e.g., if a student has **two** ESE teachers or service providers, the district determines whether **one** or **both** of them are required) and which personnel will fulfill those roles. See item SP-6 for a listing of required SP team members.

Mark "**N/A**" if no member's excusal was requested or if all required SP team members were in attendance. If a required team member's excusal was requested and the team member did not attend the meeting, mark "**yes**" if **a and b** are **yes**. Mark "**no**" if a team member's excusal was requested and **a or b** is **no**.

**SP-11. The appropriate team members were present at the SP team meeting.**

(34 CFR §300.321(a)-(b))

Review the participant section of the SP to determine whether required members were present. The minimum required participants include the following:

- Private school representative (either in attendance or participating through other means, such as individual or conference call)
- LEA representative (may also serve as the interpreter of instructional implications of evaluation results; this position can be fulfilled by the special education teacher or special education provider)
- At least one special education teacher or, where appropriate, special education provider of the student (may also serve as the LEA representative; may also serve as the interpreter of instructional implications of evaluation results)
- Interpreter of instructional implications of evaluation results (may also serve as the LEA representative, special education teacher or special education service provider, general education teacher, or evaluation specialist, such as the school psychologist)
- At least one general education teacher of the student, if the student is or may be participating in the regular education environment

There is no requirement that a minimum number of individuals attend the meeting, as long as the required roles are fulfilled. In addition to the circumstances noted above for allowing an individual to fulfill multiple roles, if a dually certified teacher (ESE and general education) **is employed to serve as both the general education and special education teacher of a student**, that individual may fulfill both of those roles on the IEP team.

Mark “**yes**” if all required participants were represented or if the appropriate agreement or excusal procedures were followed. Mark “**no**” if any of the required roles were not fulfilled and the appropriate agreement or excusal procedures were not followed.

**SP-12. The SP for a school-age student includes a statement of present levels of academic achievement and functional performance related to the services to be provided, including how the student’s disability affects involvement and progress in the general education curriculum. For a prekindergarten student, the SP contains a statement of how the disability affects the student’s participation in the appropriate activities.**

(34 CFR §300.320(a)(1))

The information included here need only apply to the student’s present levels **as they relate to the particular service being provided**. The present level statement must accurately describe the effect of the student’s disability on their participation and progress in their education curriculum. Present level statements may be developed separately for individual domains, or a single statement may include information on all appropriate domains. For the prekindergarten student, the present level statement must be descriptive of the impact of the disability on age-appropriate abilities or milestones that typically developing children of the same age would be achieving.

In evaluating whether the present level statement meets requirements and taking into account the specific services the district is providing to the student, respond to the following probes:

- a. Does the present level statement include a description of the student’s current educational and functional performance, including grade or functioning level, as appropriate, which aligns with goals and services to be provided?
- b. Is the present level statement individualized (e.g., strengths, weaknesses, physical or social/emotional concerns)?
- c. Does the present level statement include information that exceeds just a label or test score?
- d. Is the statement written in objective, descriptive terms?
- e. Does the statement clearly indicate how the student’s disability affects the student’s participation in the general education curriculum, to the extent appropriate given the services to be provided (e.g., student’s lack of focus affects reading comprehension vs. affects student’s progress in the general education curriculum) ?
- f. For prekindergarten children, does the present level statement accurately describe the effect of the disability on age-appropriate abilities or milestones that typically developing children of the same age would be achieving?

Mark “**yes**” if the answers to **a** through **f** are **yes** or **N/A** for the present level statement(s). Mark “**no**” if the answer to one or more of **a** through **f** is **no** for one or more present level statements.

- SP-13. The SP includes measurable annual goals, including academic and functional goals, designed to meet the student’s needs that result from the disability to enable the child to be involved in and make progress in the general education curriculum and meet the student’s other needs that result from the disability. Benchmarks or short-term objectives must be included for students with disabilities who take alternate assessments aligned to alternate achievement standards, or any other student with a disability as determined by the SP team. (34 CFR §300.320(a)(2)(i))**

To mark “**yes**” for this item, there must be correspondence between the annual goals (and short-term objectives or benchmarks, if applicable) and the needs identified on the present level of academic and functional performance statement with regard to the services to be provided.

For an annual goal to be measurable, it must have explicit, observable behavior (use action words to say what the student will do), and conditions (specific circumstances or assistance that will affect performance of behavior), and criteria (what will be measured, by when, and how the student must perform). In general, would a person who is not familiar with the student be able to address this goal and determine whether the student has achieved it?

In determining if the measurable annual goals meet the requirements, consider the following probes (**a–d** must be “**yes**” to mark **yes** for this item):

- a. Are the goals measurable and clearly descriptive of the behavior or skill to be addressed (i.e., observable in such a way that anyone asked to evaluate progress would be able to do so with consistency and accuracy)?
  - Mark “**no**” if goals are vague, lack specificity, and are not measurable (e.g., John’s self-confidence will improve, Jane will learn with assistance, John will improve his academic skills).
- b. Can the annual goals stand alone and be meaningful?
  - Mark “**no**” if goals simply refer to or repeat the short-term objectives (e.g., John will master the following objectives; Jane will master objectives 1, 2, 3, and 4).
- c. For students with disabilities who take alternate assessments aligned to alternate achievement standards, or whose SP includes benchmarks or short-term objectives at SP team discretion, does each annual goal statement contain at least two short-term objectives or benchmarks?
  - Short-term objectives represent intermediate steps to a goal, are measurable, and often specify conditions.
  - Benchmarks represent major milestones to a goal and should specify a time frame.
- d. Do the annual goals directly relate to the needs of the student as identified in the present level statement(s) as they relate to the services to be provided?
  - Mark “**no**” if the goals are not individualized.
  - Mark “**no**” if the goals fail to relate to the present level statement(s).

- SP-14. The SP contains a statement of special education services, including location as well as initiation, duration, and frequency. (34 CFR §300.320(a)(4) and (7))**

The description of the special education services must specifically identify the nature of the services received (e.g., specially designed instruction in reading and math,

instruction in socialization skills, speech therapy, assistance with written expression), as opposed to vaguely indicating “specialized instruction in some learning activities,” and must include the location, initiation date, duration date, and frequency of those services. Services must be based on peer-reviewed research to the extent practicable. Although the regulations specify “frequency,” the amount of services to be provided must be clear to everyone involved. If a range of time or “as needed” is indicated, additional information must be provided to explain the unique circumstances of the student that require a range of time and the criteria by which to determine when the service is to be provided. The use of either a range of time or “as needed” must be based on the unique needs of the student and must not be based on administrative convenience. For example, “as needed” or a range of time may be appropriate if a student requires more time, or more intensive direct instruction, when being presented with a new or more abstract skill or concept, and less time, or less intensive direct instruction, for review or reinforcement of a skill or concept. The student should only be responsible for determining the need for a service if the SP team is certain that the student is both able and willing to make this need known.

Mark “**yes**” if all required content is included and is consistent with the services provided to the student. Mark “**no**” if the services:

- Indicate only a service delivery model (e.g., “inclusion”)
- Indicate only a disability (e.g., SLD)
- Indicate only a domain (e.g., curriculum and learning, social/emotional)
- Indicate only an accommodation (e.g., extended time on tests)
- Do not include one or more of the following: location, anticipated initiation, duration, or frequency

**SP-15. If provided, the SP contains a statement of related services, including location and anticipated initiation, duration, and frequency.**

(34 CFR §300.320(a)(4) and (7))

Related services include transportation and such developmental, corrective, and other supportive services as are required to assist a child with a disability to benefit from special education. Mark “**N/A**” if no related services are needed. See item SP-14 for guidance on marking “**yes**” or “**no**.”

**SP-16. If provided, the SP contains a statement of supplementary aids and services and program modifications or classroom accommodations, including location and anticipated initiation, duration, and frequency, and a statement of supports for school personnel.**

(34 CFR §300.320(a)(4) and (7))

Supplementary aids and services may be aids, instructional services, and other supports that are provided in regular education classes, other education-related settings, and extracurricular and nonacademic settings that enable children with disabilities to be educated with nondisabled children to the maximum extent appropriate.

Supports for school personnel must relate to the unique needs of the student and should not reflect professional development, training, or information related to meeting the needs of students with disabilities in general.

Program modifications and classroom or instructional accommodations must relate to assisting the student to advance appropriately toward attaining annual goals, to be involved and progress in the general education curriculum, to participate in extracurricular and other nonacademic activities, and to be educated and participate with other students with disabilities and nondisabled students in the activities described.

Mark “**N/A**” if no supplementary aids and services are to be provided. See SP-14 for guidance on marking “**yes**” or “**no**.”

**SP-17. The SP contains descriptions of how progress toward annual goals will be measured, including how often parents will be regularly informed of their child’s progress.**

(34 CFR §300.320(a)(3))

The SP must include a statement of:

- a. How the student’s progress toward annual goals will be measured
- b. How the parents will be regularly informed of their child’s progress

Mark “**no**” if **a or b** are **no**. Mark “**yes**” if **a and b** are **yes**.

**SP-18. To the extent appropriate, and considering the services to be provided, the SP team considered the strengths of the student; the academic, developmental, and functional needs of the student; and the results of the initial evaluation or most recent evaluation or other assessment.**

(34 CFR §300.324(a)(1)(i), (iii), and (iv))

There should be evidence that the SP team considered the following:

- Strengths of the student (may be evident in the present level statement or in a separate statement on the SP)
- Academic, developmental, and functional needs (may be documented in the present level statement, goals and short-term objectives or benchmarks, or services)
- Evaluation or other assessment results (should be addressed in the present level statement and be evident in the goals, including short-term objectives or benchmarks, if applicable)

Mark “**no**” if there is no evidence of, or if the content of the SP is in conflict with, one or more of the above. Mark “**yes**” if all of the above are evident.

**SP-19. The concerns of the parents for enhancing the education of their child were considered in developing the SP.**

(34 CFR §§300.324(a)(1)(ii), 300.322(c)-(d), and 300.305(a))

Review the SP to ascertain if the parents’ concerns were solicited and addressed. This may be evident from a statement on the SP or from conference notes.

Mark “**no**” if the parent was not in attendance **and** there is no evidence that the concerns of the parent were solicited or considered. Mark “**yes**” if the SP includes a statement of the parent’s concerns, or if a parent was in attendance, or if input was

solicited from the parents and there was no response, unless there is clear evidence that the concerns were not addressed (e.g., information in conference notes or other documents indicating a parent concern that was not addressed).

**SP-20. If the current SP represents a change of placement from the previous SP, the parent received appropriate prior written notice.**

(34 CFR §§300.137, 300.140, and 300.503)

Prior written notice must be provided to the parent any time the district **proposes** or **refuses** to change a student's identification, evaluation, or **educational placement** of a parentally placed private school student. The district is not obligated to provide a free appropriate public education in the least restrictive environment to a parentally placed private school student, and no parentally placed private school student has an individual right to receive some or all of the special education and related services the student would receive if enrolled in a public school. However, the parent of a parentally placed private school student does have the right to file a State complaint with regard to the consultation process and the district's decision regarding services to be provided. Therefore, the prior written notice provisions related to educational placement apply if the district proposes to change the educational placement of a student by changing the services to be provided (e.g., significantly changing services to be provided or ceasing services during an SP because the district has expended its proportionate share funds).

Review the student's record to determine if prior written notice was required. Mark **"N/A"** if notice was not required.

Prior notice means that the parent has been notified a reasonable time before the change occurred. If a parent did not attend the SP team meeting, there must have been a reasonable delay before the proposed changes were implemented. If notice was required, respond to the following probes:

- a. Was prior written notice provided?
- b. If the parent was not in attendance, was there a reasonable delay in initiating the change?
- c. Did the notice include a description of the action proposed?
- d. Did the notice include an explanation of why the district proposed or refused the action?
- e. Did the notice include a description of each evaluation, assessment, record, or report the LEA used as the basis for the decision?
- f. Did the notice include a statement that the parents have procedural safeguard protections?
- g. Did the notice include sources for parents to contact for assistance in understanding their rights?
- h. Did the notice include a description of other options considered and why they were rejected?
- i. Did the notice include a description of any other factors relevant to the decision?

Mark **"yes"** if notice was required and **a–i** above are **yes**. Mark **"no"** if notice was required and one or more of **a–i** above are **no**.

**SP-21. The student's progress toward meeting the annual goals was measured, and the report of progress was provided as often as stated on the SP.**  
(34 CFR §300.320(a)(3))

Review the progress reports for the past year to determine if:

- The reports were provided as often as indicated on the SP
- The reports described the student's progress toward the annual goals (not required for objectives or benchmarks)

Mark **"yes"** if both of the above are **yes**. Mark **"no"** if either of the above is **no**. Mark **"N/A"** if this is an initial SP and the designated time for the first progress report has not been reached.



Florida Department of Education  
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**Compliance Self-Assessment**

**Educational Plan**

This protocol is used when conducting a self-assessment of an educational plan (EP) for a gifted student. To conduct an EP review, the reviewer should have access to information in the student's folder. At a minimum, the following documents should be available:

- Current EP (to be reviewed)
- Report cards from the current and past school year
- Results of statewide or districtwide assessment

Information from each of these may be used to determine the extent to which specific standards are met. For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **"yes"** if **all** components are met. Mark **"no"** if **one or more** components are **not** met. Mark **"N/A"** if the standard **does not apply** to this student.

**EP-1. The EP was current on the day of this review and had been developed within the prior three years for students in grades K–8 or within the last four years for students in grades 9–12.**

(Rule 6A-6.030191(6)(c), F.A.C.)

Check the meeting date of the current EP to determine if the EP was reviewed, revised, or developed within the required timelines. Mark **"yes"** if the EP is current and had been developed within three years for a student in grades K–8 or within four years for a student in grades 9–12. Mark **"no"** if the EP is not current or if it was not developed within the required timeline.

**EP-2. The EP was current at the beginning of the school year.**

(Rule 6A-6.030191(6)(a), F.A.C.)

Determine the first day of school for the current school year. If the current EP was developed after that date, determine if the previous EP was current on the first day of school.

Mark **"N/A"** if the student enrolled in the district after the first day of school or if the student had not yet been identified as a gifted student on the first day of school. Mark **"yes"** if there was an EP in place at the start of the school year. Mark **"no"** if the student was enrolled and identified as a gifted student but did not have a current EP on the first day of school.

**EP-3. The parents were invited to the EP team meeting.**

(Rule 6A-6.030191(2)(a), F.A.C.)

Evidence that parents were invited may include letters or documentation of phone calls, or evidence on the participants section of the IEP that the parents attended or participated by phone.

For this item, mark “**yes**” if there is any evidence that the parents participated in the EP team meeting or were invited. If there is no documentation of a written notice but the parents were in attendance, this is evidence that the parents were notified of the meeting. If there is no evidence that the parents were invited **and** the parents did not attend the EP team meeting, mark “**no**.”

**EP-4. The parents were provided notice of the EP team meeting a reasonable amount of time prior to the meeting, at least one attempt to invite the parent was through a written notice, and a second attempt was made if no response was received from the first notice.**

(Rule 6A-6.030191(2), F.A.C.)

A second notice **is not required** if the parent accepted the first notice but did not attend. Documentation may take the form of written notice, telephone calls, or a visit to the home or place of employment.

A week to 10 days is generally reasonable, although shorter notice is considered reasonable if the parents were able to attend without undue difficulty. If the notice was provided a very short time before the meeting (e.g., less than one week), consider whether there were mitigating circumstances (e.g., the parents agreed to or requested a meeting as soon as possible; the meeting included a manifestation determination).

Mark “**yes**” if there is evidence of **all** the following:

- **At least one** written notice was provided
- The written notice was provided a reasonable amount of time before the meeting
- **If the parent failed to respond to the first attempt**, a second attempt was made to invite the parents

Mark “**no**” if there is no evidence of one or more of the above.

**EP-5. The notice to the EP team meeting contained the time, location, and purpose of the meeting.**

(Rule 6A-6.030191(2)(b), F.A.C.)

Review the notice for the following:

- Reason for the meeting (e.g., annual review, reevaluation)
- Time of the meeting
- Location of the meeting

Mark “**yes**” if all are **yes**. Mark “**no**” if one or more are **no**. Mark “**N/A**” if “no” was marked for EP-4.

**EP-6. The notice contained a listing of persons invited to the meeting, by title or position.**

(Rule 6A-6.030191(2)(b), F.A.C.)

All individuals invited to the meeting must be identified by title or position, and should include the following:

- Parent(s) of the student
- Student, when appropriate

- At least one general education teacher of the child (the participation of the general education teacher may be through the provision of written documentation of the student's strengths and needs in lieu of attendance at the meeting)
- At least one teacher of the gifted program
- LEA representative (may be fulfilled by another member of the team)
- Interpreter of instructional implication of evaluation results (may be fulfilled by another member of the team)
- Interpreter, if needed, for parents or student (e.g., for individuals who are deaf or whose native language is other than English)
- Others, as appropriate

Review the participant page of the EP to determine if all district staff in attendance at the meeting were included on the notice to the parents (by name, title, or position). Mark "**yes**" if the required participants were invited and the parents were notified of everyone in attendance. Mark "**no**" if any one or more required participants were not invited or if there were participants who were not included on the notice. **Note:** Do not mark "**no**" if there is evidence on the notice or EP that the parent requested or approved the participation of the additional members.

**EP-7. The parents were provided a copy of the procedural safeguards.**  
(Rule 6A-6.03313(2)(b)3, F.A.C.)

A copy of the procedural safeguards must be provided to the parents upon notification of each EP team meeting. Review the notice for documentation of this action, which may include a written notation or a preprinted statement to that effect.

Mark "**yes**" if there is evidence that the parents were provided a copy of procedural safeguards. Mark "**no**" if there is no evidence a copy was provided.

**EP-8. The appropriate team members were present at the EP team meeting.**  
(Rule 6A-6.030191(3), F.A.C.)

Review the participant section of the EP to determine whether required members were present. This is compliant as long as the following minimum required participants were present:

- LEA representative (may also serve as the interpreter of instructional implications of evaluation results; this position could be fulfilled by the teacher of the gifted program)
- Teacher of the gifted program (may also serve as the LEA representative; may also serve as the interpreter of instructional implications of evaluation results)
- Interpreter of instructional implications of evaluation results (may also serve as the LEA representative, teacher of the gifted program, or evaluation specialist, such as the school psychologist)
- General education teacher (the participation of the general education teacher may be through the provision of written documentation of the student's strengths and needs, as appropriate)

Mark "**yes**" if all required team members participated. Mark "**no**" if any of the above were not present.

**EP-9. If neither parent was able to attend the EP team meeting, there is evidence and documentation of attempts to ensure parent participation.**

(Rule 6A-6.030191(2)(c)-(d), F.A.C.)

If the parents were unable to attend the meeting and the meeting was conducted in their absence, there must be evidence of attempts to arrange for their participation, such as individual or conference telephone calls or video conferencing. The school district must keep a record of its attempts to involve the parents, such as: detailed records of telephone calls made and the results of those calls, copies of correspondence sent to the parents and responses received, or detailed records of visits made to the home or place of employment and the results of those visits. A request for parental input is acceptable.

Mark “**N/A**” if a parent attended the meeting. Mark “**yes**” if a parent did not attend but there is evidence that parent input **was solicited**, either in writing or through other methods. Mark “**no**” if a parent did not attend the EP team meeting **and** there is no evidence of other attempts to arrange for their participation or input.

**EP-10. The EP for a school-age student includes a statement of present levels of performance which may include, but is not limited to, the student’s strengths and interests.**

(Rule 6A-6.030191(4)(a), F.A.C.)

The present level of performance statement may include, but is not limited to, the student’s strengths and interests, the student’s needs beyond the general education curriculum, results of the student’s performance on state and district assessments, and evaluation results. Data and narrative descriptions from the student’s most recent evaluations, classroom-based observations, and assessments (including class-, district-, and statewide assessments) are appropriate sources of information. The services that are ultimately documented on the EP should be derived from the information described in the present level of performance statement. If a student has a need beyond the general education curriculum in a particular area, this should be identified first in the present level statement and also addressed in subsequent components of the EP (e.g., annual goals, short-term objectives or benchmarks, and services).

Mark “**yes**” if the present level of performance statement sufficiently describes the student’s current performance. Mark “**no**” if there is not a present level of performance statement or if the statement does not sufficiently describe the student’s performance (e.g., test scores alone with no explanation).

**EP-11. The EP includes a statement of goals, including benchmarks or short-term objectives.**

(Rule 6A-6.030191(4)(b), F.A.C.)

Goals should be individualized and correlated directly to the student’s performance and needs related to their giftedness. Short-term objectives and benchmarks are to describe what is expected to be accomplished within a specified time period and to determine the extent to which progress is being made toward the accomplishments.

Mark “**yes**” if the following requirements are met. Mark “**no**” if one or more of the following are not met.

- Goals and short-term objectives or benchmarks relate to the student’s present level statement and the services to be provided
- There are at least two short-term objectives or benchmarks for each goal
- Short-term objectives are measurable
- Benchmarks include time frames for completion

**EP-12. The EP contains a statement of specially designed instruction to be provided to the student, including the initiation date and the projected frequency, location, and duration of the services.**

(Rule 6A-6.030191(4)(c) and (e), F.A.C.)

The description of the specially designed instruction must specifically identify the nature of the services to be provided and include the location, initiation date, duration date, and frequency of those services.

Although the rule specifies “frequency,” the amount of services to be provided must be clear to everyone involved. If a range of time or “as needed” is indicated, additional information must be provided to explain the unique circumstances of the student that require a range of time and the criteria to be used to determine when the service is to be provided. The use of either a range of time or “as needed” must be based on the unique needs of the student and must not be based on administrative convenience.

Mark “**yes**” if all required content is included and is consistent with the services provided to the student. Mark “**no**” if the services:

- Indicate only a service delivery model (e.g., “inclusion”)
- Indicate only the exceptionality (e.g., gifted)
- Indicate only a domain (e.g., curriculum and learning)
- Do not include one or more of the following: location, anticipated initiation, duration, or frequency

**EP-13. The EP contains a statement of how the student’s progress will be measured and reported to the parents.**

(Rule 6A.6.030191(4)(d), F.A.C.)

The EP must include a statement of:

- How the student’s progress toward annual goals will be measured
- How that progress will be reported to the parent

Mark “**yes**” if both of the above elements are included. Mark “**no**” if there is no statement or if the statement does not address both elements listed above.

**EP-14. In developing the EP, the team considered the strengths of the student and needs resulting from the student’s giftedness; the results of recent evaluations, including classwork and state or district assessments; and, in the case of a student with limited English proficiency, the language needs of the student as they relate to the EP.**

(Rule 6A-6.030191(5)(a)-(c), F.A.C.)

There should be evidence that the EP team considered the following:

- Strengths and needs of the student resulting from giftedness
- Results of recent evaluations, classwork, and state or district assessments – the specific results of the evaluation and scores from the assessments do not have to be recorded; however, there must be adequate documentation to support that the EP team considered this information
- Language needs of the student with limited English proficiency

Mark “**yes**” if all of the above are evident. Mark “**no**” if there is no evidence of, or if the content of the EP is in conflict with, one or more of the above.

**EP-15. The parent was provided a copy of the EP free of charge.**

(Rule 6A-6.030191(2)(f), F.A.C.)

The parent must be provided a copy of the EP at no cost. Evidence can be a preprinted statement on the EP. If the parents were in attendance, it is assumed that they received a copy. Mark “**yes**” if there is documentation that the parents received a copy of the EP or were in attendance at the meeting. If there is no evidence on the EP, ask school staff how this is documented. Mark “**no**” if there is no evidence that the parent was provided a copy of the EP.

**EP-16. The teachers of the gifted student were informed of their responsibilities regarding implementation of the EP and had access to the student’s EP.**

(Rule 6A-6.030191(7), F.A.C.)

The student’s teachers must have access to the EP and be informed of their specific responsibilities regarding implementation of the EP. If this is not documented on the EP or on a separate document, ask how this was accomplished.

Mark “**yes**” if there is evidence that all staff responsible for implementation of the EP have been informed of their responsibilities **and** have access to the EP. Mark “**no**” if one or more of the staff responsible for implementation of the EP have not been informed of their responsibilities **or** have not been provided access to the EP.

Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Compliance Self-Assessment**

**Initial Evaluation**

This protocol is used when conducting a self-assessment of a student record for compliance with requirements related to initial referral for evaluation, eligibility determinations, and placement in an ESE program, as appropriate. This protocol reflects those activities required prior to referral and during the evaluation and eligibility process. **At least one disability protocol must be used in conjunction with the initial evaluation (IE) protocol. In such a case, the two protocols will reflect a single required initial evaluation review and may not be counted as two reviews in fulfillment of sampling requirements.**

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **“yes”** if **all** components are met. Mark **“no”** if **one or more** components are **not** met. Mark **“N/A”** if the standard **does not apply** to this student.

The timeline requirement is not included in this protocol. That data is collected through SPP 11 activities.

**IE-1. There is documentation of parental involvement in the general education intervention procedures.**

(Rule 6A-6.0331(1)(a), F.A.C.)

Review the student’s record to determine if there is documentation of parental involvement during the general education intervention process. There must be discussion with the parent of the student’s responses to interventions, supporting data, and potential adjustments to the interventions and anticipated future action. Opportunities for parental involvement to address the student’s areas of concern must have been made available and documentation of parental involvement and communication must be maintained.

Documentation of parental involvement in the general education intervention procedures is not required if the team of qualified professionals and the parent determine that general education interventions are not appropriate (see IE-5). Also, this requirement does not apply to students not enrolled in public school.

Mark **“N/A”** for a prekindergarten (PreK) child or for the exceptions as noted above. Mark **“yes”** if there is documentation of parental involvement in the general education intervention procedures as described above. Mark **“no”** if there is insufficient documentation of the required parental involvement.

**IE-2. Observations of the student must be conducted in the educational environment and, as appropriate, other settings to document the student’s learning or behavioral areas of concern. At least one observation must include an observation of the student’s performance in the general classroom.**

(Rule 6A-6.0331(1)(b), F.A.C.)

Review the student's record to verify the required observations, including at least one observation of the student's performance in the general classroom.

Mark "**N/A**" for a PreK child. Mark "**yes**" if there is evidence of the required observations. Mark "**no**" if there is insufficient evidence or no evidence of an observation in the general classroom.

**IE-3. For a school-aged student, existing data in the student's educational record were reviewed, including the following:**

- **Social**
- **Psychological**
- **Medical**
- **Achievement**
- **Attendance**
- **Anecdotal**

**For a PreK student, existing data were reviewed, including the following:**

- **Social**
- **Psychological**
- **Medical**

(Rule 6A-6.0331(1)(c) and (2)(a), F.A.C.)

Documentation must show that, to the extent available, each of the components indicated above were reviewed prior to referral. Documentation may include a school-based intervention problem-solving team documentation form, referral form, anecdotal records, record review form, or summary statements by school personnel.

If the review of social, psychological, medical, and other related data was done prior to referral, mark "**yes**." If the review of social, psychological, medical, and other related data was done concurrently with the referral based upon parent request, mark "**yes**." If the review of social, psychological, medical, and other related data was done concurrently with the referral but without parent consent, mark "**no**." If the review of social, psychological, medical, and other related data was done after the referral or was not done, mark "**no**."

**IE-4. Screening for hearing and vision were conducted for a PreK or school-age student for the purpose of ruling out sensory deficits. Additional screenings or assessments to assist in determining interventions may be conducted, as appropriate.**

(Rule 6A-6.0331(1)(d) and (2)(b), F.A.C.)

Documentation of vision screening may appear on referral forms, in a cumulative folder, in cumulative health records, or on screening protocol forms. Review to determine the outcome, such as: pass, fail, could not test, or follow-up. Screening for vision must be in accordance with the school district's school health plan. For students known to have vision impairments, the medical eye report takes the place of a vision screening report.

If the screening for vision and hearing functioning was done prior to referral, mark "**yes**." If the screening for vision and hearing functioning was done after the referral and concurrently with the evaluation based upon parent request, mark "**yes**." If the review of screening for vision and hearing functioning was done after the referral and concurrently

with the evaluation but without parent request, or if one or more of the screenings were not conducted, mark “no.”

**IE-5. Evidence-based interventions addressing the identified areas of concern were implemented in the general education environment.**

(Rule 6A-6.0331(1)(e), F.A.C.)

Review the student’s record to determine if evidence-based interventions have been developed using student performance data and a four-step problem-solving process: problem identification, problem analysis, intervention design and implementation, and progress monitoring. The school-based intervention team must have documentation of the problem-solving process that includes details of implemented general education interventions, the student’s response to instruction/interventions, and intervention intensity, support for the implementation and fidelity.

This requirement may not be necessary for students suspected of having a disability if the team of qualified professionals and the parent determine that general education interventions are not appropriate and there is documentation justifying this decision. These students may demonstrate a speech disorder or severe cognitive, physical, or sensory disorders. They also may demonstrate severe social/behavioral deficits that require immediate intervention through special education services to prevent harm to themselves or others. This requirement does not apply to students not enrolled in a public school.

Mark “**N/A**” for a PreK child or for the exceptions as noted above. Mark “**yes**” if there is sufficient documentation of the implementation of evidence-based interventions in the general education environment. Mark “**no**” if there is not sufficient documentation. Checklists with initiation and duration dates of interventions would not be considered sufficient evidence. Evidence should include graphical or other representations of intervention effectiveness, such as graphs representing pre- and post-intervention performance and summary descriptions of conferences, intervention team meetings, and observations of the student.

**IE-6. Ongoing progress-monitoring measures of academic and behavioral areas of concern were collected and shared with parents in an understandable format.**

(Rule 6A-6.0331(1)(e), F.A.C.)

Review the student’s record to determine if the data collected identifies and analyzes the areas of concern. The collected data should also determine the selection and implementation of the appropriate general education interventions. The data should demonstrate that general education interventions were implemented over a reasonable period of time in order to demonstrate their effectiveness. All of the data should be communicated to the parents in an understandable format.

Documentation of parental involvement in the general education intervention procedures is not required if the team of qualified professionals and the parent determine that general education interventions are not appropriate (see IE-5). This requirement does not apply to students not enrolled in a public school.

Mark “**N/A**” for a PreK child or for the exceptions as noted above. Mark “**yes**” if there is sufficient documentation of ongoing progress-monitoring measures of academic or

behavioral areas of concern and communication with the parent in an understandable format. Mark “no” if there is not sufficient documentation.

**IE-7. The school district provided prior written notice of its proposal to evaluate a student to determine if the student qualifies as a student with a disability.**  
(34 CFR §300.503(a) and Rule 6A-6.03311(1), F.A.C.)

Any time the school district proposes or refuses to initiate or change the identification, evaluation, or educational placement of the student, prior written notice must be provided to the parent. The prior written notice must include the following:

- A description of the action proposed
- An explanation of why the school district proposes or refuses the action
- A description of each evaluation, assessment, record, or report the LEA used as the basis for the decision
- A statement that the parents have procedural safeguard protections
- Sources for parents to contact for assistance in understanding their rights
- A description of other options considered and why they were rejected
- A description of any other factors relevant to the decision

Review the record to determine if prior written notice with all required components was provided. It may be on a form designated as *consent for evaluation, referral, informed notice of proposal or refusal*, or some other form. If the notice was provided and included the information described above, mark “yes.” If the notice was not provided or if it was provided but did not include all of the information described above, mark “no.” If the parent provided the evaluation (i.e., an independent evaluation at parent expense), mark “N/A.”

**IE-8. The prior written notice was written in language understandable to the general public and provided in the native language of the parent or other mode of communication used by the parent. If the written notice could not be provided in the native language of the parent, steps were taken to ensure the parent understood the content of the notice.**  
(34 CFR §300.503(c); Rule 6A-6.03311(1), F.A.C.)

Review the record to determine the parent’s native language or mode of communication. If there is evidence that the parent’s mode of communication either is not English or a written language, or that communication with the parent must be accomplished orally or by other means to accommodate the parent’s mode of communication, look for documentation that correspondence with the parent is translated, communicated orally, or communicated by other appropriate means.

Mark “N/A” if the parent’s language is English or if the preferred language is English. Mark “yes” if special communication was needed and provided. Mark “no” if special communication was needed and not provided.

**IE-9. The parents were provided a copy of the procedural safeguards.**  
(Rule 6A-6.03311(2), F.A.C.)

Review the record for evidence that the procedural safeguards notice was provided. This may include a written notation or preprinted statement to that effect. Mark “yes” if

there is evidence that the procedural safeguards notice was given. Mark “no” if there is no evidence that the procedural safeguards notice was provided.

**IE-10. The school district obtained informed consent from the parent prior to conducting the initial evaluation to determine if the student qualifies as a student with a disability.**

(34 CFR §300.300(a)(1)(i); Rule 6A-6.0331(4)(a), F.A.C.)

Compare the dates of consent (parent signature) and the administration of the first evaluation procedure conducted as part of the evaluation. Note that screenings and other activities conducted as part of the team problem-solving process do not require consent and may be used to fulfill evaluation requirements, if appropriate.

If the date of the first evaluation procedure is after the receipt of consent, mark “yes.” If the district administered the first evaluation procedure prior to the receipt of consent, mark “no.” If the parent provided the entire evaluation (i.e., an independent evaluation at parent expense) and the district did not conduct additional assessments or evaluation procedures, mark “N/A.”

**IE-11. If the parent requested an evaluation prior to the completion of the general education interventions, the school district obtained consent for the evaluation and completed the interventions concurrently with the evaluation, but prior to the eligibility determination, or the school district provided the parent with the written notice of refusal to conduct the evaluation.**

(Rule 6A-6.0331(3)(b), F.A.C.)

Mark “yes” if there is evidence that the parent requested an evaluation prior to the completion of the general education interventions and the school district promptly obtained consent for the evaluation and conducted the evaluation concurrently with the general education interventions (but prior to the eligibility determination) **or** provided the parent with written notice of refusal to conduct the evaluation procedures.

Mark “no” if the parent requested an evaluation prior to the completion of the general education interventions and the school district did not promptly obtain consent for the evaluation and complete the evaluation concurrently with the general education interventions **and** did not provide the parent with written notice of refusal to conduct the evaluation. Mark “N/A” if the parent did not request an evaluation prior to the completion of the general education interventions or if the parent withdrew the request.

**IE-12. Qualified examiners conducted the evaluation.**

(Rule 6A-6.0331(3)(c), F.A.C.)

The evaluation must be conducted by physicians, school psychologists, psychologists, speech-language pathologists, teachers, audiologists, social workers, or other professionals qualified in their field. They must have a valid Florida license or certificate for their field or a valid Florida teacher’s certificate. Refer to the district’s *Exceptional Student Education Policies and Procedures* (SP&P) and the publisher’s manual for a given instrument to determine whether each assessment was administered or conducted by qualified personnel.

If there is evidence that qualified examiners conducted all components of the evaluation, mark “**yes**.” If there is evidence that one or more components of the evaluation were administered by unqualified personnel, mark “**no**.”

**IE-13. The evaluation team: used a variety of assessment tools and strategies, including information from the parent, to gather relevant functional, developmental, and academic information about the student; did not rely on a single measure or assessment to determine if the student was eligible; used technically sound instruments; selected and administered assessments so as not to be discriminatory on a racial or cultural basis and to accurately reflect the student’s aptitude or achievement level on the skill being assessed; and administered assessments in the student’s native language or other appropriate mode of communication.**

(34 CFR §§300.304(b) and (c)(1)-(3); Rule 6A-6.0331(5)(a)-(e), F.A.C.)

Review records for documentation that:

- A variety of assessment tools and strategies were used to gather relevant functional, developmental, and academic information.
- The evaluation included information from the parents. (Examples may include, but are not limited to: input provided by the parents through conferences, notes, or phone calls; results of evaluations submitted by the parents; or parent input in completing functional behavioral assessments, adaptive behavior rating scales, or other observational checklists.)
- More than one measure or assessment procedure was used to determine eligibility.
- Assessments were administered in the child’s native language (or other mode of communication) and in the form most likely to yield accurate information regarding what the child knows and can do academically, developmentally, and functionally, unless clearly not feasible to do so.
- Assessments and other evaluation materials include those tailored to assess specific areas of educational need and not merely those that are designed to provide a single general intelligence quotient.
- The assessments and other evaluation procedures used were selected and administered in a manner to ensure that the results for a student with impaired sensory, manual, or speaking skills accurately reflect the child’s aptitude or achievement level rather than reflecting the child’s impaired sensory, manual, or speaking skills. (The publisher’s manual for a given instrument is a good source of information that the reviewer may refer to for guidance if it is not clear that a selected assessment or measure was appropriate.)
- Assessments and other evaluation procedures were selected and administered so as to not discriminate on a racial or cultural basis and administered in the child’s native language (or other mode of communication) and to accurately reflect what the child knows and can do academically, developmentally, and functionally, unless it was clearly not feasible to do so.
- The evaluation provided information relevant for determining the student’s educational needs.
- The evaluation was sufficiently comprehensive to identify all the student’s ESE needs.

Mark “**yes**” if the above requirements were met. If there is evidence that one or more of the requirements were not addressed, mark “**no**.”

**IE-14. The student was assessed in all areas related to the suspected disability.**  
(34 CFR §300.304(c)(4); Rule 6A-6.0331(5)(f)-(g), F.A.C.)

Review the student record for documentation of assessments in each of the following areas, as appropriate:

- Health
- Vision
- Hearing
- Social and emotional status
- General intelligence
- Academic performance
- Communicative status
- Motor abilities

If an assessment has not been performed in a suspected area of disability, review the record for evidence of screenings or information to indicate further assessment in that area was not needed. Mark “**yes**” if documentation indicates needed assessments were administered. Mark “**no**” if, for an area of suspected disability, an assessment has not been performed and there is no documentation to indicate further assessment was not necessary.

**IE-15. A group of qualified professionals, including the parent, determined whether the student is a student with a disability in need of special education and related services.**  
(34 CFR §300.306(a)(1); Rule 6A-6.0331(6)(a), F.A.C.)

Documentation of eligibility should include the team members present, including the parent. If the parents did not attend the meeting, determine if they were invited. If there is evidence that a group of qualified professionals, including the parent, determined the student’s eligibility for special education and related services (or the parent was invited but did not participate in the meeting with the group of qualified professionals), mark “**yes.**” If the parent was not invited or if there was not a sufficient group of qualified professionals participating in the meeting to determine if the student was an eligible student with a disability, mark “**no.**”

**IE-16. The school district provided a copy of the evaluation report and the documentation of determination of eligibility at no cost to the parent.**  
(34 CFR §300.306(a)(2); Rule 6A-6.0331(6)(a), F.A.C.)

A copy of the written summary of the team’s analysis and documentation of determination of eligibility must be given to the parent at no cost. Review the record for evidence that a copy was provided to the parents. If this is not documented, ask school staff how this was done. If there is evidence that the district provided a copy of the written report and the documentation of determination of eligibility at no cost to the parent, mark “**yes.**” If the parents were not provided a copy or if there is evidence that the parents were charged a fee, mark “**no.**”

**IE-17. A student was not determined as a student with a disability if the determinant factor was lack of appropriate instruction in reading, lack of appropriate instruction in math, or limited English proficiency.**  
(34 CFR §300.306(b); Rule 6A-6.0331(6)(d), F.A.C.)

Review the student's record to determine if appropriate instruction has occurred in reading (phonemic awareness; phonics; vocabulary development; reading fluency, including oral reading skills; and reading comprehension strategies) and math. Determine if this student has limited English proficiency.

Mark **"yes"** if there is evidence that the team considered these factors and determined that they were not the determinant factors for the student's difficulties. Mark **"no"** if there is no evidence the team considered these factors or if there is strong evidence that one or more of them were the basis for the student's difficulties.

**IE-18. The IEP, or possibly an individualized family support plan (IFSP) for a child ages three through five, was developed prior to the provision of special education and related services and within 30 calendar days following the determination of eligibility.**

(34 CFR §300.323(c)(1); Rules 6A-6.03028(3)(f)2 and 6A-6.0331(6)(c), F.A.C.)

A meeting must be held within 30 days of a determination that a student needs special education and related services. Compare the date of the eligibility determination and the development date of the IEP or IFSP. If this requirement has been met, mark **"yes."** If the IEP or IFSP was developed more than 30 calendar days from the determination of eligibility, mark **"no."**

**IE-19. As soon as possible following development of the IEP, special education and related services were made available to the student in accordance with the IEP.**

(34 CFR §300.323(c)(2))

Compare the development date of the IEP to the initiation date for services. Services must be provided as soon as possible after the development of the IEP. If there was no delay in the provision of services, mark **"yes."** If there was a delay of more than a week or so, review the record for documentation of the reason for the delay. If the delay was at the request of the parent, or due to a delay in the parent providing written consent for services, mark **"yes."** Mark **"no"** if it appears that a delay is the result of administrative convenience (e.g., the district delayed placement until the start of the school year for a three-year-old child transitioning from Part C to Part B during the spring, there was a delay of several weeks pending the hiring of staff to provide services or establish a classroom).

**IE-20. The school district obtained informed consent for the initial provision of special education and related services prior to providing exceptional student education services.**

(34 CFR §300.300(b))

Review the student's record for a parent signature indicating consent for initial placement in an ESE program. Compare the date of consent with the initiation date for the IEP. If consent was provided after the initiation date on the IEP, review class records to determine if the student was provided ESE services prior to the receipt of consent. If consent was obtained prior to services being provided, mark **"yes."** If there is evidence that ESE services were provided prior to consent, mark **"no."**

**Note:** Consent for placement is **not** required for a change in services or a change in disability category. However, consent **is** required when a student previously eligible only as gifted is found eligible as a student with a disability.



Florida Department of Education  
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**Compliance Self-Assessment**

**Autism Spectrum Disorder  
Rule 6A-6.03023, F.A.C.**

This protocol addresses the requirements specific to Rule 6A-6.03023, F.A.C., *Exceptional Student Education Eligibility for Students with Autism Spectrum Disorder (ASD)*. This protocol reflects only the minimum evaluation and eligibility criteria specific to ASD. **The initial evaluation (IE) protocol must be used in conjunction with this disability-specific protocol; the two protocols will reflect a *single* required initial evaluation review.**

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark “**yes**” if **all** components are met. Mark “**no**” if **one or more** components are **not** met. Mark “**N/A**” if the standard **does not apply** to this student.

**Evaluation Procedures**

- ASD-1. Behavioral observations were conducted by members of the evaluation team targeting social interaction, communication skills, and stereotyped patterns of behavior, interests, or activities across settings.**  
(Rule 6A-6.03023(3)(a), F.A.C.)

There must be documented and dated behavioral observations conducted by members of the evaluation team targeting social interactions; communication skills; and stereotyped patterns of behavior, interests, or activities across settings. General education interventions and activities conducted prior to referral may be used to meet this criterion if the activities address the required elements.

Mark “**yes**” if behavioral observations that meet the requirements above were conducted. Mark “**no**” if there are no documented observations or if the observations do not meet the requirements above.

- ASD-2. A comprehensive social developmental history was compiled with the parent(s) or guardian(s) that addresses the core features of ASD.**  
(Rule 6A-6.03023(3)(b), F.A.C.)

A comprehensive social developmental history that addresses the core features of an autism spectrum disorder related to social interaction, communication, and behavior must be compiled. The social developmental history may be in the form of a report from a social worker or other qualified person, as part of the comprehensive psychological report, or as part of the medical report.

The social developmental history must be based on information provided by the parent or guardian. Section 1000.21(5), F.S., defines a parent as “...either or both parents of a student, any guardian of a student, any person in a parental relationship

to a student, or any person exercising supervisory authority over a student in the place of a parent.”

Mark “**yes**” if a comprehensive social developmental history was compiled appropriately. Mark “**no**” if there is no social developmental history or if the history does not meet the requirements above.

**ASD-3. A comprehensive psychological evaluation was conducted.**

(Rule 6A-6.03023(3)(c), F.A.C.)

A comprehensive psychological evaluation must be conducted to identify the present levels of performance and uneven patterns of development in language, social interaction, adaptive behavior, and cognitive skills.

Mark “**yes**” if there is a psychological evaluation conducted by qualified personnel. Mark “**no**” if there is no psychological evaluation or if the evaluation does not meet the requirements above.

**ASD-4. A comprehensive speech and language evaluation was conducted.**

(Rule 6A-6.03023(3)(d), F.A.C.)

A licensed speech language pathologist (SLP) must conduct a comprehensive evaluation of speech and language. Evidence of the evaluation could include test protocol booklets, speech or language samples, observations or checklists, or an evaluation report.

Mark “**yes**” if there is a speech and language evaluation conducted by an SLP. Mark “**no**” if there is no speech and language evaluation or if the evaluation does not meet the requirements above.

**ASD-5. Medical information provided was considered.**

(Rule 6A-6.03023(3)(e), F.A.C.)

If medical information was provided, this information must be considered. Evidence of consideration could include conference notes, IEPs, checklists, or medical information referenced in reports.

Mark “**N/A**” if no medical information was provided. Mark “**yes**” if medical information was provided and there is evidence that it was considered. Mark “**no**” if medical information was provided but there is no evidence that it was considered.

**Eligibility**

**ASD-6. The student exhibits an uneven developmental profile.**

(Rule 6A-6.03023(4)(a)1, F.A.C.)

The student exhibits an uneven developmental profile as evidenced by inconsistencies across or within the domains of language, social interaction, adaptive behavior, or cognitive skills. Evidence may be included in one or more reports reviewed as part of the eligibility determination and should reflect data from the evaluation components referenced in ASD-1 through ASD-5.

Mark “**yes**” if there is evidence of an uneven developmental profile. Mark “**no**” if there is no evidence of inconsistencies across domains in the student’s developmental profile.

**ASD-7. The student exhibits impairment in social interaction.**  
(Rule 6A-6.03023(4)(a)2, F.A.C.)

The student exhibits impairment in social interaction as evidenced by delayed, absent, or atypical ability to relate to people or the environment as evidenced by one or more behavioral indicators, such as: limited joint attention and impairment in use of nonverbal behaviors; lack of spontaneous seeking to share enjoyment, interest, or achievements with others; difficulties in relating to people, objects, and events; failure to develop peer relationships appropriate to developmental level; significant vulnerability and safety issues due to social naïveté; preference for isolated or solitary activities; misinterpretation of others’ behaviors and social cues; and lack of emotional reciprocity.

Mark “**yes**” if there is evidence of impairment in interactions. Mark “**no**” if there is no evidence of impairment of social interaction.

**ASD-8. The student exhibits impairment in verbal and/or nonverbal language or social communication skills.**  
(Rule 6A-6.03023(4)(a)3, F.A.C.)

The student exhibits impairment in verbal and/or nonverbal language or social communication skills as evidenced by one or more behavioral indicators, such as: lack of spontaneous imitations or lack of varied imaginative play; absence or delay of spoken language; limited understanding and use of nonverbal communication skills, such as gestures, facial expressions, or voice tone; odd production of speech, including intonation, volume, rhythm, or rate; repetitive or idiosyncratic language or inability to initiate or maintain a conversation when speech is present; and lack of using a finger to point or request.

Mark “**yes**” if there is evidence of impairment in verbal or nonverbal language or social communication skills. Mark “**no**” if there is no evidence of impairment in verbal or nonverbal language or social communication.

**ASD-9. The student exhibits restricted repetitive or stereotyped patterns of behavior, interests, or activities.**  
(Rule 6A-6.03023(4)(a)4, F.A.C.)

The student exhibits restricted repetitive or stereotyped patterns of behavior, interests, or activities as evidenced by one or more behavioral indicators, such as: insistence on following rules or rituals, demonstration of distress or resistance to changes in activity, repetitive motor mannerisms, lack of true imaginative play versus reenactment, overreaction or underreaction to sensory stimuli, rigid or rule-bound thinking, persistent preoccupation with parts of objects, and encompassing preoccupation with one or more stereotyped or restricted patterns of interest that are abnormal either in intensity or focus.

Mark “**yes**” if there is evidence of restricted repetitive or stereotyped patterns of behavior, interests, or activities. Mark “**no**” if there is no evidence of restricted repetitive or stereotyped patterns of behavior, interests, or activities.

**ASD-10. The student needs special education.**

(Rule 6A-6.03023(4)(b), F.A.C.)

To be eligible as a student with autism spectrum disorder, the student must need special education to ensure access to the general education curriculum. Needed services may include interventions or adaptations to the school routine, school environment, or curriculum, which may be documented through observation or testimonial evidence as well as formal and informal assessments.

Mark “**yes**” if there is evidence that the student needs interventions or adaptations that significantly differ in intensity and duration from what can be provided solely through general education resources. Mark “**no**” if there is evidence that the interventions required are available through general education resources.

**ASD-11. The student meets eligibility criteria.**

(Rule 6A-6.03023(4), F.A.C.)

Mark “**yes**” if ASD-6 through ASD-10 are **yes**. Mark “**no**” if any one or more of ASD-6 through ASD-10 are **no**.

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**Compliance Self-Assessment**

**Deaf or Hard-of-Hearing  
Rule 6A-6.03013, F.A.C.**

This protocol addresses the requirements specific to Rule 6A-6.03013, F.A.C., *Exceptional Student Education Eligibility for Students Who Are Deaf or Hard-of-Hearing* (DHH). This protocol reflects only the minimum evaluation and eligibility criteria specific to DHH. **The initial evaluation (IE) protocol must be used in conjunction with this disability-specific protocol; the two protocols will reflect a *single* required initial evaluation review.**

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **“yes”** if **all** components are met. Mark **“no”** if **one or more** components are **not** met. Mark **“N/A”** if the standard **does not apply** to this student.

**Evaluation Procedures**

**DHH-1. An audiological evaluation was conducted.**

(Rule 6A-6.03013(3)(a), F.A.C.)

Eligibility as a student who is deaf or hard-of-hearing must be documented on an audiogram or in a report from a licensed audiologist. An auditory brain stem report or audiogram may document hearing loss.

Mark **“yes”** if there is an audiogram or report from a licensed audiologist. Mark **“no”** if there is no audiogram or report from a licensed audiologist.

**DHH-2. An evaluation of developmental skill or academic achievement, including information on the student’s academic strengths and weaknesses, was conducted.**

(Rule 6A-6.03013(3)(b), F.A.C.)

Developmental skill or academic achievement performance must be evaluated by personnel who are identified in the district’s SP&P as qualified to administer the tests and shall include results of general education interventions and activities. Evaluations of academic achievement shall take into consideration the student’s intellectual functioning, degree of hearing loss, and method of communication. The tests should be given in the student’s mode of communication (e.g., nonverbal measures of cognitive or intellectual ability).

Mark **“yes”** if there is an evaluation of developmental skill or academic achievement that meets the requirements above. Mark **“no”** if there is no developmental or academic evaluation or if the evaluation does not meet the requirements above.

**DHH-3. An evaluation of social development was conducted.**

(Rule 6A-6.03013(3)(c), F.A.C.)

There must be evidence of assessment of the student's social development by personnel qualified to administer the tests who are identified in the district's SP&P. District staff may use a standardized assessment instrument or develop a data form to compile information on the student's social emotional development. Student data may be collected through observations and parent, teacher, and student interviews. Evaluation of a student's social development may appear on a life history form, a social developmental checklist, or a social development test (e.g., Meadow-Kendall Social Emotional Assessment). For prekindergarten children, social development may be addressed through completion of a developmental scale.

Mark **"yes"** if there is an evaluation of social development that meets the requirements above. Mark **"no"** if there is no social development evaluation or if the evaluation does not meet the requirements above.

**DHH-4. An evaluation of expressive and receptive communication was conducted.**  
(Rule 6A-6.03013(3)(d), F.A.C.)

Evaluations of receptive and expressive communication skills can include speech, speech reading, written language, and signing skills. The evaluation assessment will depend on the student's method of communication. Receptive and expressive language communication skills must be evaluated by personnel who are identified in the district's SP&P as qualified to administer the tests. Evaluations of communication skills shall take into consideration the student's intellectual functioning, degree of hearing loss, and method of communication. Students who use more than one method of communication should be assessed in those methods. If the student uses sign language and the person conducting the assessment cannot sign, an interpreter must be used.

Mark **"yes"** if there is an evaluation of expressive and receptive communication skills that meets the requirements above. Mark **"no"** if there is no communication evaluation or if the evaluation does not meet the requirements above.

**DHH-5. An individual assessment of intellectual functioning, including comprehensive nonverbal or developmental scales if more appropriate for students under age seven, was conducted.**  
(Rule 6A-6.03013(3)(e), F.A.C.)

Intellectual functioning must be evaluated by personnel qualified to administer the tests that are identified in the district's SP&P. Evaluations of intellectual functioning shall be selected from nonverbal performance scales standardized on or adapted for students who are deaf or hard-of-hearing. If more appropriate, an individual assessment of intellectual functioning, including comprehensive nonverbal or developmental scales, may be administered for students under age seven.

Mark **"yes"** if there is an individual assessment of intellectual functioning that meets the requirements above. Mark **"no"** if there is no assessment of intellectual functioning or if the evaluation does not meet the requirements above.

## Eligibility

### **DHH-6. An audiological evaluation documents a permanent or fluctuating hearing threshold level that interferes with progress in any one of the following areas: developmental skills or academic performance, social-emotional development, or linguistic and communicative skills.**

(Rule 6A-6.03013(4)(a), F.A.C.)

An audiological evaluation documents a permanent or fluctuating hearing threshold level that interferes with progress in any one of the following areas: developmental skills or academic performance, social-emotional development, or linguistic and communicative skills as evidenced by **at least one** of the following:

- 25 decibel (dB)  $\pm$  5 dB or greater based on pure tone average of 500, 1,000, and 2,000 Hz unaided in the better ear
- A high frequency hearing threshold level of 25 dB  $\pm$  5 dB or greater based on pure tone average of 1,000, 2,000, and 3,000 Hz unaided in the better ear
- A unilateral hearing threshold level of 50 dB  $\pm$  5 dB or greater based on pure tone average of 500, 1,000, and 2,000 Hz unaided
- Auditory-evoked potential responses evidencing permanent hearing loss at multiple frequencies equivalent to or in excess of the decibel hearing loss threshold criteria for pure tone audiometric testing specified above

For young children and students for whom pure tone testing is not appropriate based on minimal response levels (auditory brain stem response), a statement from an audiologist confirming a hearing loss that has a potential educational significance is acceptable.

Mark “**yes**” if there is evidence of the hearing loss meeting required thresholds and an evaluation from an audiologist is present in the record. Mark “**no**” if there is no evidence of the hearing loss meeting required thresholds or a statement from an audiologist is not present in the record.

### **DHH-7. The student needs special education.**

(Rule 6A-6.03013(4)(b), F.A.C.)

To be eligible as a student with a hearing loss, the student must need special education to ensure access to the general education curriculum. Needed services may include interventions or adaptations to the school routine, school environment, or curriculum. This may be documented through observation or testimonial evidence as well as formal and informal assessments.

Mark “**yes**” if there is evidence that the student continues to need interventions or adaptations that significantly differ in intensity and duration from what can be provided solely through general education resources. Mark “**no**” if there is evidence that the interventions required are available through general education resources.

### **DHH-8. The student meets eligibility criteria.**

(Rule 6A-6.03013(4), F.A.C.)

Mark “**yes**” if items DHH-6 and DHH-7 are **yes**. Mark “**no**” if either DHH-6 or DHH-7 or both are **no**.

**Reminder:** In addition to the evaluation requirements indicated above, a screening for Usher's syndrome must be administered to each student who is deaf or hard-of-hearing at least once during grades 6–12.

Florida Department of Education  
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**Compliance Self-Assessment**

**Developmentally Delayed (Ages 3–5 Years)  
Rule 6A-6.03027, F.A.C.**

This protocol addresses the requirements specific to eligibility for students who are served under Rule 6A-6.03027, F.A.C., *Special Programs for Children Three through Five Years Old Who are Developmentally Delayed (DD)*. This protocol reflects only the minimum evaluation and eligibility criteria specific to DD. **The initial evaluation (IE) protocol must be used in conjunction with this disability-specific protocol; the two protocols will reflect a *single* required initial evaluation review.**

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **“yes”** if **all** components are met. Mark **“no”** if **one or more** components are **not** met. Mark **“N/A”** if the standard **does not apply** to this student.

**Evaluation Procedures**

**DD-1. The child’s delay is documented by a multidisciplinary team using one or more of the following measures of assessment:**

- **Standardized instruments**
- **Judgment-based assessments**
- **Criterion-referenced instruments**
- **Systematic observation**
- **Functional skills assessment**
- **Other procedures selected in consultation with the parents**
- **Informed clinical opinion utilizing qualitative and quantitative information to determine the need for early intervention**

(Rule 6A-6.03027(4)(a)1-2, F.A.C.)

The child’s developmental delay should be documented by a multidisciplinary team that has used one or more of the following measures of assessment:

- Standardized instruments
- Judgment-based assessments
- Criterion-referenced instruments
- Systematic observation
- Functional skills assessment
- Other procedures selected in consultation with the parents

If this is not appropriate for a given student, an informed clinical opinion using qualitative and quantitative information by professionals can be used to determine the existence of developmental delay or atypical development when the delay cannot be substantiated through the use of assessment instruments. An informed clinical opinion is the systematic, structured recording of impressions regarding some aspect of the child’s status and characteristics. This can include rating scales, checklists, or impressions that cannot be quantified in any other way. It is a necessary safeguard against eligibility determination based on isolated information or test scores alone.

The ability to render an informed clinical opinion requires the professional to have an adequate knowledge base as a result of appropriate training, which includes knowledge of assessment strategies and interpretation. In addition to training, the knowledge base for making an informed clinical opinion is the result of a professional's experience with evaluation and assessment, familiarity with young children who have similar developmental accomplishments or delays, observational and interpretive skills, sensitivity to cultural characteristics, and the ability to elicit and include family perceptions.

When a developmental delay cannot be verified by the use of standardized instruments, the delay may be established through observation of atypical functioning in any one or more of the developmental areas. A report must be written documenting the evaluation procedures used, the results obtained, the reasons for overriding the results from standardized instruments, and the basis for recommending eligibility.

Mark **"yes"** if (1) a multidisciplinary team conducted an evaluation using multiple measures of assessment **or** (2) there is a report documenting informed clinical opinion supporting the presence of a developmental delay. Mark **"no"** if a multidisciplinary team did not conduct an evaluation using multiple measures of assessment and there is not a report of an informed clinical opinion.

**DD-2. The child's developmental delay is documented by a parent report that confirmed or modified the information obtained in DD-1.**  
(Rule 6A-6.03027(4)(a)3, F.A.C.)

There must be a parent report that confirms or modifies the information obtained and describes behavior in environments that the district may not be able to access. Parents are able to provide systematic, structured impressions of their child's abilities and needs. Evidence of participation may be found on a parent interview form or in notations by the psychologist or other multidisciplinary team members. Mark **"yes"** if there is a parent report supporting the presence of a developmental delay. Mark **"no"** if there is not a parent report.

### Eligibility

**DD-3. The child is three through five years of age.**  
(Rule 6A-6.03027(2)(a), F.A.C.)

Review the student's birth date. This rule applies only to children who are three through five years of age. If the child was determined eligible for the DD program prior to age three in accordance with Rule 6A-6.03031, F.A.C., *Special Programs for Children Birth Through Two Years Old Who Are Developmentally Delayed*, continued eligibility must have been determined by the child's third birthday. Similarly, a child is no longer eligible for the DD program after age five, and dismissal from ESE or continued eligibility under another disability category must be determined by the child's sixth birthday.

Mark **"yes"** if the child is three through five years old. Mark **"no"** if the child is six years of age or older and continuing eligibility was not determined by the child's sixth birthday.

- DD-4. There is documentation of one of the following:**
- **The child has a score of 2 standard deviations below the mean or a 25 percent delay on measures yielding scores in months in at least one area of development.**
  - **The child has a score of 1.5 standard deviations below the mean or a 20 percent delay on measures yielding scores in months in at least two areas of development.**
  - **Based on informed clinical opinion, the eligibility staffing committee makes a recommendation that a developmental delay exists and exceptional student education services are needed.**

(Rule 6A-6.03027(2)(b)1-3, F.A.C.)

There should be a score of **2** standard deviations below the mean or a 25 percent delay on measures yielding scores in months in **at least one area** of development **or** a score of **1.5** standard deviations below the mean or a 20 percent delay on measures yielding scores in months in **at least two areas** of development. Areas to be assessed include adaptive or self-help development; cognitive development; communication development; social or emotional development; or physical development, including fine, gross, or perceptual motor development.

If evidence of a developmental delay is not obtained through a standardized assessment, the eligibility staffing committee can make a recommendation that a developmental delay exists and exceptional student education services are needed based on informed clinical opinion as described in DD-1 above.

Mark **“yes”** if there is appropriate documentation of a developmental delay. Mark **“no”** if there is no evidence of a developmental delay.

- DD-5. The eligibility staffing committee has made a determination concerning the effects of the environment, cultural differences, or economic disadvantage.**

(Rule 6A-6.03027(2)(c), F.A.C.)

The team must consider the effects of environment, cultural differences, and economic disadvantage and that these factors are not the primary cause of the child’s delays. This may be illustrated in the parent report, evaluation report, or other documentation. Mark **“yes”** if there is evidence that the team considered these factors as required. Mark **“no”** if there is no evidence that these factors were considered.

- DD-6. The student meets eligibility criteria.**

(Rule 6A-6.03027, F.A.C.)

Mark **“yes”** if DD-3, DD-4, and DD-5 are **all yes**. Mark **“no”** if one or more of the requirements is **no**.



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**Compliance Self-Assessment**

**Dual-Sensory Impairment  
Rule 6A-6.03022, F.A.C.**

This protocol addresses the requirements specific to eligibility for students who are served under Rule 6A-6.03022, F.A.C., *Special Programs for Students Who Are Dual-Sensory Impaired* (DSI). This protocol reflects only the minimum evaluation and eligibility criteria specific to DSI. **The initial evaluation (IE) protocol must be used in conjunction with this disability-specific protocol; the two protocols will reflect a *single* required initial evaluation review.**

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **“yes”** if **all** components are met. Mark **“no”** if **one or more** components are **not** met. Mark **“N/A”** if the standard **does not apply** to this student.

**Evaluation Procedures**

**DSI-1. For students suspected of having a degenerative condition or syndrome, a medical statement confirms the existence of such a condition or syndrome and its prognosis that the condition or syndrome will lead to dual-sensory impairment.**  
(Rule 6A-6.03022(3)(a), F.A.C.)

Documentation must include a written statement by a medical doctor that confirms the existence of the condition or syndrome and a prognosis that degeneration of vision and hearing could result in dual-sensory impairment.

Examples of syndromes with prognoses of dual-sensory impairments include, but are not limited to: CHARGE syndrome (coloboma, heart anomaly, choanal atresia, retardation, genital, and ear anomalies), Usher (Types I, II, and III), Flynn-Aird, Kearns-Sayor, Alstrom, Cockayne, Refsum, Bardet-Beidl, Leber’s congenital amaurosis, Goldenhar, and Wolfram syndrome.

Mark **“N/A”** if the team did not base the eligibility determination on the existence of a degenerative condition. Mark **“yes”** if there is a medical statement that identifies the condition or syndrome and its prognosis. If **“yes,”** standards DSI-2 through DSI-10 are not applicable. Continue with standard DSI-11.

Mark **“no”** if the team based the eligibility determination on a degenerative syndrome and there is no supporting medical statement.

**For all students:**

**DSI-2. A medical eye exam describing the etiology, diagnosis, and prognosis was conducted.**  
(Rules 6A-6.03022(3)(b)1 and 6A-6.03014(4)(a), F.A.C.)

Documentation must include a written statement by an ophthalmologist or optometrist. Documentation of a medical eye exam may appear in an eye report form developed by the district or the Division of Blind Services or in narrative but must describe etiology; diagnosis; corrected and uncorrected acuity measures for left, right, and both eyes; measure of field of vision; recommended actions for lighting levels, physical activity, and the use of aides or glasses, as appropriate; and prognosis. If the medical professional does not complete the information requested or required, documentation of efforts to obtain the information may include notations from telephone conversations with the medical professional and written correspondence, such as letters, questionnaires, or checklists.

Mark **“yes”** if there is a medical exam that describes the etiology, diagnosis, and prognosis. Mark **“no”** if there is no medical statement or if the medical statement is incomplete and there is no evidence of attempts to obtain the missing information.

**DSI-3. Observation of functional vision, which includes possible impediments to visual use, was documented.**  
(Rule 6A-6.03022(3)(b)2, F.A.C.)

There must be evidence that qualified personnel (see the district’s SP&P) conducted a functional vision observation that included assessment of skills appropriate to the student’s chronological age or developmental level. Mark **“yes”** if there is documentation of the observation conducted as required. Mark **“no”** if there is no documentation that the observation was conducted.

**DSI-4. An audiological exam was conducted.**  
(Rule 6A-6.03022(3)(b)3, F.A.C.)

Hearing loss eligibility must be documented on an audiogram or in a report from a licensed audiologist and may include an assessment of auditory conditions other than decibel loss, including, but not limited to, progressive hearing loss and inability to screen out auditory background sounds. Mark **“yes”** if there is documentation of an audiological exam. Mark **“no”** if there is no documentation that an audiological exam was conducted.

**DSI-5. Observation of auditory functioning was documented.**  
(Rule 6A-6.03022(3)(b)4, F.A.C.)

There must be evidence that qualified personnel (see the district’s SP&P) conducted a functional hearing observation that included assessment of skills appropriate to the student’s chronological age or developmental level. A narrative description of the student’s auditory functioning may be used as documentation. Mark **“no”** if there is no documentation that the observation was conducted **or** that it was conducted but did not address the required areas.

**For students over the age of three years:**

**DSI-6. An assessment of speech and language functioning was conducted.**  
(Rule 6A-6.03022(3)(c)2, F.A.C.)

The assessment of speech and language functioning must be conducted by a speech language pathologist as a separate procedure or as an integral part of other evaluation procedures described above and below. The assessment must include a differential diagnosis of the student's linguistic abilities and of modality strengths and preferences.

Mark "**N/A**" if the student is below the age of three years. Mark "**yes**" if there is documentation that qualified personnel conducted a speech and language assessment that included the required area. Mark "**no**" if there is no documentation that the assessment was conducted **or** that it was conducted but did not address the required areas.

**DSI-7. An assessment of intellectual functioning, developmental level, or academic functioning was conducted.**

(Rule 6A-6.03022(3)(c)3, F.A.C.)

Depending on the student's level of functioning, assessments of the intellectual functioning, developmental level, or academic achievement may be used. Instruments used must be valid for students with dual-sensory impairments, taking into account the nature and severity of vision and hearing loss. Selection of an appropriate evaluator should be based on the student's level of functioning and the procedures determined to be most appropriate (e.g., if intellectual functioning is evaluated, a qualified psychologist must administer the instrument). Personnel administering the evaluation must be able to modify procedures in consideration of the vision and hearing loss.

Mark "**N/A**" if the student is below the age of three years. Mark "**yes**" if there is documentation that an assessment of intellectual functioning, developmental level, or academic achievement was conducted. Mark "**no**" if there is no documentation that the assessment was conducted.

## Eligibility

**DSI-8. The student was determined to have one or more of the following visual impairments:**

- a. **Visual acuity of 20/70 or less in the better eye after best correction**
- b. **A peripheral field loss**
- c. **A progressive vision loss**
- d. **Other documented visual conditions, including, but not limited to, extreme light sensitivity or lack of contrast sensitivity**

(Rule 6A-6.03022(2)(a)1-4, F.A.C.)

The team must have carefully reviewed the results of the functional vision and educational assessments as well as any additional relevant medical information (e.g., existence of progressive eye disorder). There must be documentation that at least one of the following criteria was met. Documentation may appear in the cumulative folder, in an eye report form, or in narrative from medical professionals. There must be a documented eye impairment as manifested by at least one of the following:

- a. A visual acuity of 20/70 or less in the better eye after correction
- b. A peripheral field so constricted that it affects the student's ability to function in an educational setting
- c. A progressive loss of vision that may affect the student's ability to function in an educational setting; such progressive losses may be due to, among other

- conditions, aniridia, cataracts, chorioretinitis, detached retinas, diabetic retinopathy, glaucoma, keratoconus, macular degeneration, Marfan's syndrome, optic atrophy, retinitis pigmentosa, or toxoplasmosis
- d. Other documented visual condition, such as extreme light sensitivity or lack of contrast sensitivity

Mark **"yes"** if the record documents that the student has one or more visual impairments. Mark **"no"** if documentation does not support that the student has one or more visual impairments.

**DSI-9. The student was determined to have one or more of the following hearing impairments:**

- a. **Hearing impairment of 30 dB or greater unaided in the better ear**
  - b. **Other documented auditory conditions, including, but not limited to, monaural loss or an inability to screen out auditory background sounds**
  - c. **Progressive hearing loss**
- (Rule 6A-6.03022(2)(b)1-3, F.A.C.)

Any one of the following hearing impairments can be used to support eligibility on this criterion: hearing impairments of 30 dB or greater unaided in the better ear; other documented auditory conditions, including but not limited to a monaural loss or an inability to screen out auditory background sounds; or a progressive hearing loss. These impairments may be documented on an audiogram or in a report from a certified or licensed audiologist. For young children and students for whom pure tone testing is not appropriate, a statement from an audiologist confirming a hearing loss (in combination with a vision impairment) that has potential educational significance is acceptable based on minimal response level (auditory brain stem response).

Mark **"yes"** if the record documents that the student has one or more hearing impairments. Mark **"no"** if documentation does not support that the student has one or more hearing impairments.

**DSI-10. The student was determined to have a combination of the visual and auditory impairments as specified above that adversely affects, or has the potential to adversely affect, the student's abilities to acquire information, communicate, or function within the environment, unless special instruction, materials, adaptations, or counseling are provided.**

(Rule 6A-6.03022(2)(c), F.A.C.)

When there is evidence that the student meets one or more of the criteria in both the visually impaired (DSI-8) and hearing loss (DSI-9) sections, the eligibility staffing committee must make a determination that the resulting dual-sensory impairment adversely affects or has the potential to adversely affect the student's abilities to acquire information, communicate, or function within the environment unless special instructional materials, adaptations, or counseling are provided. For students over the age of three, the results of the assessment of speech and language functioning and the results of the assessment of intellectual functioning, developmental level, or academic functioning, as appropriate, must be considered in making the decision.

Mark **"yes"** if documentation supports evidence of a combination of impairments. Mark **"no"** if there is no documentation of a combination of impairments.

**DSI-11. The student meets eligibility criteria.**

(Rule 6A-6.03022(2), F.A.C.)

The student must have a visual and hearing impairment, the combination of which must adversely affect or have the potential to adversely affect the student's abilities to acquire information, communicate, or function within the environment, or a documented degenerative condition or syndrome as referenced in DSI-1.

Mark **"yes"** if DSI-8, DSI-9, and DSI-10 are all **"yes."** Mark **"no"** if DSI-1 and one or more of DSI-8, DSI-9, or DSI-10 are **no**.



Florida Department of Education  
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**Compliance Self-Assessment**

**Emotional or Behavioral Disability  
Rule 6A-6.03016, F.A.C.**

This protocol addresses the requirements specific to Rule 6A-6.03016, F.A.C., *Exceptional Student Education Eligibility for Students with Emotional or Behavioral Disabilities* (EBD). This protocol reflects only the minimum evaluation and eligibility criteria specific to EBD. **The initial evaluation (IE) protocol must be used in conjunction with this disability-specific protocol; the two protocols will reflect a *single* required initial evaluation review.**

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **“yes”** if **all** components are met. Mark **“no”** if **one or more** components are **not** met. Mark **“N/A”** if the standard **does not apply** to this student.

A student with an emotional or behavior disability has *persistent* (is not sufficiently responsive to implemented evidence-based interventions) and *consistent* emotional or behavioral responses that adversely affect performance in the educational environment that cannot be attributed to age, culture, gender, or ethnicity.

**Evaluation Procedures**

**EBD-1. A functional behavioral assessment (FBA) was conducted.**  
(Rule 6A-6.03016(3)(a), F.A.C.)

An FBA should be completed as part of the activities conducted prior to the student being referred for behavioral difficulties. If an FBA was not completed prior to the student being referred for evaluation, one must be completed as part of the evaluation. The FBA **must** identify the following:

- The specific behavior(s) of concern
- The conditions under which the behavior is most and least likely to occur
- The function or purpose of the student’s behavior

Mark **“yes”** if an FBA was conducted prior to referral or as part of the evaluation **and** the FBA addressed the three areas noted above. Mark **“no”** if an FBA was not conducted **or** if an FBA was conducted but did not address each of the three areas noted above.

**EBD-2. A scientific, research-based behavior intervention plan (BIP) of reasonable intensity and duration was implemented.**  
(Rule 6A-6.03016(3)(a)-(b) and (4)(e), F.A.C.)

The evaluation must include documentation of the student’s response to general education interventions that:

- Targeted the function of the behavior(s) as identified in the FBA
- Were of sufficient intensity to address the nature of the target behavior(s)
- Were implemented with fidelity (i.e., implemented as designed)

- Were implemented for a period of time that was sufficient to evaluate their effectiveness

Under extraordinary circumstances, implementation of general education interventions prior to determining eligibility can be waived if immediate intervention is required to address an acute onset of an internal emotional or behavioral characteristic.

Mark “**yes**” if there is documentation of the student’s response to general education interventions **and** the interventions met the criteria listed above. Mark “**no**” if there is no documentation of the student’s response to general education interventions **or** if the interventions did not meet the criteria listed above. Mark “**N/A**” if there is evidence of extraordinary circumstances and justification for waiving the general education intervention requirements.

**EBD-3. A social developmental history was compiled from a structured interview with the parent or guardian.**

(Rule 6A-6.03016(3)(c), F.A.C.)

A social developmental history that addresses developmental, familial, medical or health, and environmental factors impacting learning and behavior must be compiled. The history should identify the relationship between social, developmental, and socio-cultural factors and the presence or absence of emotional or behavioral responses beyond the school environment. The social developmental history may appear in the form of a report from a social worker or other qualified person or may be part of a medical report or comprehensive psychological or staffing report.

The social developmental history must be based on information provided by the parent or guardian. Section 1000.21(5), F.S., defines a parent as “either or both parents of a student, any guardian of a student, any person in a parental relationship to a student, or any person exercising supervisory authority over a student in the place of a parent.” Any person functioning as a parent or guardian who meets this definition can be the source of information for a social developmental history.

Mark “**yes**” if the social developmental history was compiled, addressed the required issues, **and** was based on information from a parent. Mark “**no**” if a social developmental history was not compiled **or** if it was compiled but did not address all required issues **or** was not based on information from a parent.

**EBD-4. A psychological evaluation was conducted that includes assessment procedures necessary to identify the factors contributing to the development of an emotional or behavioral disability.**

(Rule 6A-6.03016(3)(d), F.A.C.)

The psychological evaluation must include assessment procedures necessary to identify the factors contributing to the development of an emotional or behavioral disability and include a review of general education interventions that have already been implemented and the criteria used to evaluate their success. The assessment procedures should comprise behavioral observations and interview data related to the referral concerns and assessment of emotional and behavioral functioning and may also include information on developmental functioning and skills.

Mark “**yes**” if the psychological evaluation included the required components. Mark “**no**” if no psychological evaluation was conducted or if the psychological evaluation was limited to measures of intellectual development (e.g., intelligence quotient [IQ] score) or did not include a review of general education procedures that have already been implemented and the criteria used to evaluate their success.

**EBD-5. Educational data was reviewed, and an academic evaluation was conducted if determined necessary.**

(Rule 6A-6.03016(3)(e), F.A.C.)

Educational data that includes information on the student’s academic levels of performance and the relationship between the student’s academic performance and the emotional or behavioral disability must be reviewed. If determined necessary, additional academic evaluation may be completed. Documentation of the educational data may be found in the psychological report, diagnostician’s report, or staffing report. The student’s academic strengths and weaknesses should be assessed and used to assist in determining the extent to which the presenting problem is affecting academics.

Mark “**yes**” if there is evidence that existing educational data were reviewed and the relationship between academic performance and the student’s behavioral difficulties was considered. Mark “**no**” if educational data were not reviewed or not considered in relation to the student’s behavioral issues **or** if there is evidence that additional academic evaluation was needed or requested but not addressed (e.g., conference notes, parent request, insufficient educational data available).

**EBD-6. If needed, a medical evaluation was conducted.**

(Rule 6A-6.03016(3)(f), F.A.C.)

If the administrator of the exceptional student program or designee determines that the emotional or behavioral responses may be precipitated by a physical problem, a medical evaluation must be conducted. Review the record to determine if this was required.

Mark “**N/A**” if there is no evidence the ESE administrator required a medical evaluation. Mark “**yes**” if a medical evaluation was required and was conducted. Mark “**no**” if a medical evaluation was required but was not conducted.

## Eligibility

**EBD-7. The student demonstrates an inability to maintain adequate performance in the educational environment that cannot be explained by physical, sensory, socio-cultural, developmental, medical, or health (with the exception of mental health) factors.**

(Rule 6A-6.03016(4), F.A.C.)

Review the record for evidence that:

- The student is unable to maintain adequate performance in the educational environment.
- The inability cannot be explained by physical, sensory, socio-cultural, developmental, medical, or health (with the exception of mental health) factors.

There should be evidence that the staffing committee reviewed information from a variety of sources and disciplines, including documented interventions conducted prior to and subsequent to referral; the results of the functional behavioral assessment, psychological evaluation, and medical evaluation (when recommended by the ESE administrator); anecdotal records; the social developmental history; student achievement summary; and behavioral observations.

Mark “**yes**” if the review of data reveals (1) an inability to maintain adequate performance in the educational environment **and** (2) no physical, sensory, socio-cultural, developmental, medical, or health (with the exception of mental health) factors likely to be primarily responsible for the student’s behavior. Mark “**no**” if there is no evidence of either (1) or (2) or both.

**EBD-8. The student demonstrates internal or external characteristics that adversely affect performance in the educational environment.**

(Rule 6A-6.03016(4)(a)-(b), F.A.C.)

There should be evidence that the staffing committee reviewed relevant educational, psychological, and environmental data and determined that the student exhibits one or more of the following:

- Internal factors characterized by one or more of the following:
  - Feelings of sadness, or frequent crying, or restlessness, or loss of interest in friends or school work, or mood swings, or erratic behavior;
  - The presence of symptoms such as fears, phobias, or excessive worrying, and anxiety regarding personal or school problems;
  - Behaviors that result from thoughts and feelings that are inconsistent with actual events or circumstances, or difficulty maintaining normal thought processes, or excessive levels of withdrawal from persons or events
- External factors characterized by:
  - An inability to build or maintain satisfactory interpersonal relationships with peers, teachers, and other adults in the school setting;
  - Behaviors that are chronic and disruptive, such as noncompliance, verbal or physical aggression, or poorly developed social skills that are manifestations of feelings, symptoms, or behaviors as specified under internal factors

Mark “**yes**” if there is documentation of one or more of the internalizing or externalizing behaviors described above. Mark “**no**” if there is no evidence in the record that the student exhibited at least one of these behaviors.

**EBD-9. The student manifests the behavior(s) for a minimum of six months duration in two or more settings.**

(Rule 6A-6.03016(4)(c), F.A.C.)

An emotional or behavioral disability must be present over an extended period of time and in more than one situation. Some students will have life crises that may provoke temporary changes to their behaviors. The intent of the rule is to verify that the student has an established disability and not an emotional disturbance that is either transitory or an appropriate or typical response to unhappy events (e.g., conflict with peers, situational stressors). These events and the resulting behaviors are not to be sole deciding factors when considering students for evaluations.

The behavior(s) must have been evident for a period of at least six months and in two or more settings, including, but not limited to, school, educational environment, transition to and from school, at home, or in community settings. At least one setting must include school.

Under extraordinary circumstances, the requirement that the behavior was manifested for a minimum of six months in two or more settings may be waived when immediate intervention is required to address an acute onset of an internal emotional or behavioral characteristic.

Mark “**yes**” if there is documentation that the student manifested the behavior for at least six months and in two or more settings, including school. Mark “**no**” if there is no evidence that the behavior existed over time or in at least two settings, including school. Mark “**N/A**” if there is evidence of extraordinary circumstances and justification for waiving this requirement.

**EBD-10. The student needs special education.**

(Rule 6A-6.03016(4)(d), F.A.C.)

To be eligible as a student with an EBD, the student **must** need special education and related services in order to ensure access to the general education curriculum. If the student’s target behaviors respond sufficiently to interventions that can be provided solely through general education resources, the student does not need special education and should not be determined eligible.

Mark “**yes**” if there is evidence that, in order to access the general education curriculum, the student continues to need interventions that significantly differ in intensity and duration from what can be provided through general education resources. Mark “**no**” if there is evidence that the interventions required are available through general education resources.

**EBD-11. The student meets eligibility criteria.**

(Rule 6A-6.03016, F.A.C.)

When determining eligibility, it is important to note that the following characteristics are not indicative of a student with an emotional or behavioral disability:

- Normal, temporary (less than six months) reactions to life event(s) or crisis,
- Emotional or behavioral difficulties that improve significantly in response to evidence-based implemented interventions,
- Social maladjustment, unless the student also is found to have an emotional or behavioral disability

Mark “**yes**” if EBD-7 through EBD-10 are **all yes** or **N/A**. Mark “**no**” if one or more of EBD-7 through EBD-10 are **no**.



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**Compliance Self-Assessment**

**Gifted  
Rule 6A-6.03019, F.A.C.**

This protocol addresses the requirements specific to eligibility for students who are served under Rule 6A-6.03019, F.A.C., *Special Instructional Programs for Students for Who Are Gifted*, and the requirements described in Part III, Section A of the district's *Exceptional Student Education Policies and Procedures* (SP&P). This protocol comprises all evaluation and eligibility criteria related to the gifted program. Completion of the initial evaluation (IE) protocol is **not** required.

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **"yes"** if **all** components are met. Mark **"no"** if **one or more** components are **not** met. Mark **"N/A"** if the standard **does not apply** to this student.

**Evaluation Procedures**

**G-1. The student's need for a special program was evaluated.**  
(Rule 6A-6.03019(3)(a), F.A.C.)

Evaluation of the student's need for a special program may be documented in the following ways:

- A statement of recommendation for the gifted program or for consideration by the staffing committee included in the psychological report
- A statement on the gifted characteristics checklist
- A report completed by the classroom teacher or other professional
- Information included in the referral for evaluation

Mark **"yes"** if there is evidence that the student's need for a special program was evaluated. Mark **"no"** if there is no evidence that the student's need for a special program was evaluated.

**G-2. A standardized scale or checklist of gifted characteristics was completed.**  
(Rule 6A-6.03019(3)(b), F.A.C.)

The format and items may vary, depending on the checklist or standardized scale used.

Mark **"yes"** if a checklist or standardized scale assessing characteristics of the gifted was administered. Mark **"no"** if no checklist or standardized scale assessing characteristics of the gifted was administered.

**G-3. A standardized individual test of intellectual development was administered.**  
(Rule 6A-6.03019(3)(c), F.A.C.)

Qualified personnel must administer a standardized individual test of intellectual functioning. Examples of standardized individual tests of intellectual functioning include, but are not limited to, those listed in the school district's SP&P document.

Mark **"yes"** if an individual test of intellectual development was administered. Mark **"no"** if no individual test of intellectual development was administered **or** if an unqualified person administered it.

### Eligibility

#### **G-4. The student demonstrates a need for a special program.**

(Rule 6A-6.03019(2)(a)1, F.A.C.)

Review the documentation of G-1 to determine if the student exhibits a need for the gifted program.

Mark **"N/A"** if this standard was not the basis of the eligibility determination because criteria specified in an approved school district plan for increasing the participation of underrepresented groups in programs for gifted students was used to determine eligibility (G-7). Mark **"yes"** if there is evidence of the student's need for a special program. Mark **"no"** if there is no evidence of the student's need for a special program.

#### **G-5. The student demonstrates a majority of characteristics of a gifted student according to a standardized scale or checklist.**

(Rule 6A-6.03019(2)(a)2, F.A.C.)

Review the standardized scale or gifted checklist to determine if the student exhibits a majority of the characteristics described. "Majority" is generally defined as having at least one more than half of the items checked as "yes," "often observed," or indicated in the middle of the scale.

Mark **"N/A"** if this standard was not the basis of the eligibility determination because criteria specified in an approved school district plan for increasing the participation of underrepresented groups in programs for gifted students was used to determine eligibility (G-7). Mark **"yes"** if the student exhibited a majority of gifted characteristics on a standardized scale or checklist. Mark **"no"** if the student did not exhibit a majority of gifted characteristics on a standardized scale or checklist.

#### **G-6. The student demonstrates superior intellectual development.**

(Rule 6A-6.03019(2)(a)3, F.A.C.)

Intellectual functioning is measured by an intelligence quotient (IQ). The IQ score should be included in the evaluation report or on a separate cover sheet. The required IQ score will vary depending upon which test is used and the age of the student at the time of testing. Intellectual functioning must be 2 standard deviations or more above the mean on an individually administered standardized test of intelligence. The full-scale score should typically be at least 130.

The standard error of measurement ( $SE_m$ ) may be considered in individual cases. Justification for the use of  $SE_m$  should be included in the eligibility staffing report (see Technical Assistance Paper [TAP] *Standard Error of Measurement*, FY 1996-7).

If *SEm* is used but no justification is provided, this is not considered noncompliant but should be noted as a concern. However, if a pattern of using *SEm* emerges through a review of a sampling of records, a finding of noncompliance may be made.

If used, justification for the use of part scores **must** be included in the eligibility staffing report (see TAP *Use of Part Scores with Tests of Intelligence*, FY 2005-9). Clinical justification included in the report should reference data that corroborates the decision. A statement such as “The part score is a better indicator of the student’s abilities” is not adequate justification.

Mark “**N/A**” if this standard was not the basis of the eligibility determination because criteria specified in an approved school district plan for increasing the participation of underrepresented groups in programs for gifted students was used to determine eligibility (G-7). Mark “**yes**” if the student’s IQ is 2 or more standard deviations above the mean **or** if an appropriately justified part score is 2 or more standard deviations above the mean. Mark “**no**” if the student’s IQ is less than 2 standard deviations above the mean **or** if a part score was used without appropriate justification.

- G-7. The student is a member of an underrepresented group and meets the criteria specified in an approved school district plan for increasing the participation of underrepresented groups in programs for gifted students.**  
(Rule 6A-6.03019(2)(b), F.A.C.)

For the purpose of eligibility for a gifted program, underrepresented groups are defined as those with limited English proficiency or whose families are of low socio-economic status. Review the district’s SP&P to determine if there is an approved plan under this section of the rule. If so, review the record for evidence that the student was evaluated in accordance with the plan and meets the alternate eligibility criteria.

Mark “**N/A**” if the student was not found eligible under the alternate eligibility criteria for underrepresented groups. Mark “**yes**” if the student was appropriately evaluated and met the criteria as described in the district’s SP&P. Mark “**no**” if the evaluation was not conducted appropriately or if the student does not meet the criteria.

- G-8. The student meets eligibility criteria.**  
(Rule 6A-6.03019, F.A.C.)

Mark “**yes**” if G-4, G-5, and G-6 are all **yes or** if G-7 is **yes**. Mark “**no**” if the student did not meet either of these requirements.



Florida Department of Education  
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**Compliance Self-Assessment**

**Homebound or Hospitalized  
Rule 6A-6.03020, F.A.C.**

This protocol addresses the requirements specific to students who are served under Rule 6A-6.03020, F.A.C., *Specially Designed Instruction for Students Who Are Homebound or Hospitalized* (HH). This protocol comprises **all** evaluation and eligibility criteria related to the HH program. Completion of the initial evaluation (IE) protocol is **not** required.

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **“yes”** if **all** components are met. Mark **“no”** if **one or more** components are **not** met. Mark **“N/A”** if the standard **does not apply** to this student.

An HH student is a student who has a medically diagnosed physical or psychiatric condition that is acute or catastrophic in nature, or a chronic illness, or a repeated intermittent illness due to a persisting medical problem and which confines the student to home or hospital and restricts activities for an extended period of time.

**Evaluation Procedures**

- HH-1. There is an annual medical statement from a licensed physician that includes all required components.**  
(Rule 6A-6.03020(4)(a), F.A.C.)

The minimum evaluation for a student to determine eligibility is an annual medical statement from a licensed physician that includes all of the following required components:

- a. A description of the disabling condition or diagnosis with any medical implications for instruction
- b. A statement that the student is unable to attend school
- c. A description of the plan of treatment
- d. Recommendations regarding school reentry
- e. The estimated duration of the condition or prognosis

Mark **“yes”** if there is a current medical statement from a licensed physician that includes items **a–e** above. Mark **“no”** if there is no evidence of a current medical statement from a licensed physician or if one or more of the required components are not included.

- HH-2. If determined necessary by the IEP team, additional evaluation data may be required.**  
(Rule 6A-6.03020(4)(a), F.A.C.)

The team determining eligibility may require additional evaluation data. This additional evaluation data must be provided at no cost to the parent. Mark **“N/A”** if additional data was not required. Mark **“yes”** if there is evidence that additional evaluation data was required **and** this data was provided at no cost to the parent. Mark **“no”** if there is

documentation that additional evaluation data was required but was not provided or that the district **required** the parent to pay for the cost of providing it.

**HH-3. If requested, a physical reexamination and a medical report by a licensed physician(s) were provided.**  
(Rule 6A-6.03020(4)(b), F.A.C.)

A physical reexamination and a medical report by a licensed physician may be requested by the administrator of exceptional student education or designee on a more frequent basis than required in HH-1 and may be required if the student is scheduled to attend school part of a day during a recuperative period of readjustment to a full school schedule. This physical reexamination and medical report shall be provided at no cost to the parent.

Mark “**N/A**” if a reexamination was not required. Mark “**yes**” if a reexamination was required **and** was provided at no cost to the parent. Mark “**no**” if a reexamination was required and was not provided or if the district **required** the parent to pay for the cost of providing it.

**Eligibility**

**HH-4. A licensed physician has certified the requirements below.**  
(Rule 6A-6.03020(3)(a), F.A.C.)

Review the medical report to ensure the following:

- a. The student is expected to be absent from school due to a physical or psychiatric condition for at least 15 consecutive school days, or the equivalent on the block schedule, *or* due to a chronic condition for at least 15 school days, or the equivalent on a block schedule, which need not run consecutively.
- b. The student is confined to home or a hospital.
- c. The student will be able to participate in and benefit from an instructional program.
- d. The student is under medical care for an illness or injury that is acute, catastrophic, or chronic in nature.
- e. The student can receive instructional services without endangering the health and safety of the instructor or other students with whom the instructor may come in contact.

After reviewing the medical report, mark “**yes**” if there is evidence in the file that a licensed physician has certified items **a** through **e** above. Mark “**no**” if one or more of **a–e** are not evident.

**HH-5. The student is enrolled in a public school in kindergarten through twelfth grade prior to the referral for HH services, or the student meets eligibility criteria for an exceptional student education program.**  
(Rule 6A-6.03020(3)(b), F.A.C.)

The student must be enrolled in a K–12 public school prior to the referral for HH services, unless the student meets criteria for eligibility under another State Board of Education rule for at least one of the following disabilities: intellectual disabilities; speech impairment; language impairment; deaf or hard-of-hearing; visual impairment; orthopedic impairment, traumatic brain injury, or other health impairment; emotional or

behavioral disability; specific learning disability; dual-sensory impairment; autism spectrum disorder; or developmental delay for children three through five years old.

Mark “**yes**” if there is evidence that the student was enrolled in a K–12 public school prior to the referral for homebound or hospitalized services **or** that the student has been evaluated and meets the criteria for eligibility under one or more of the disability categories noted above. Mark “**no**” if the student was not enrolled in a K–12 public school prior to the referral **and** the student has not been previously identified with a disability under the appropriate rule.

**HH-6. The parent, guardian, or primary caregiver signed a parental agreement concerning HH policies and parental cooperation.**

(Rule 6A-6.03020(3)(c) and (7), F.A.C.)

To be eligible to receive homebound services, the student’s parent must sign an agreement indicating the following:

- The parent, guardian, or primary caregiver will provide a quiet, clean, well-ventilated setting where the teacher and the student will work.
- A responsible adult will be present.
- A schedule for student study between the teacher’s visits that takes into account the student’s medical condition and the requirements of the student’s coursework will be established.

For a student to receive educational services in a hospital setting, the student’s parent must sign an agreement indicating that the hospital administrator or designee will provide appropriate space for the teacher and student to work and allow for the establishment of a schedule for student study between teacher visits. For a student to receive services through telecommunications or computer devices, an open, uninterrupted telecommunication link must be provided at no additional cost to the parent during the instructional period, and the parent must ensure that the student is prepared to actively participate in learning.

Mark “**yes**” if the parent signed the parental agreement concerning HH policies and parental cooperation. Mark “**no**” if an appropriately signed parental agreement concerning HH policies and parental cooperation is not in the file.

**HH-7. The student meets eligibility criteria.**

(Rule 6A-6.03020, F.A.C.)

Mark “**yes**” if HH-4, HH-5, and HH-6 are **all yes**. Mark “**no**” if one or more of the requirements is **no**.

**HH-8. The student’s IEP was developed or revised prior to assignment to the HH program placement.**

(Rule 6A-6.03020(6), F.A.C.)

A student may be alternatively assigned to the HH program and to a school-based program due to an acute, chronic, or intermittent condition as certified by a licensed physician.

Mark **“yes”** if the student’s IEP was developed or revised prior to the assignment to the HH program. Mark **“no”** if the student’s IEP was developed or revised following the assignment to the HH program or if an IEP was not developed or revised for the student.

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**Compliance Self-Assessment**

**Intellectual Disability  
Rule 6A-6.03011, F.A.C.**

This protocol addresses the requirements specific to Rule 6A-6.03011, F.A.C., *Exceptional Student Eligibility for Students with Intellectual Disabilities* (InD). This protocol reflects only the minimum evaluation and eligibility criteria specific to InD. **The initial evaluation (IE) protocol must be used in conjunction with this disability-specific protocol; the two protocols will reflect a *single* required initial evaluation review.**

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **“yes”** if **all** components are met. Mark **“no”** if **one or more** components are **not** met. Mark **“N/A”** if the standard **does not apply** to this student.

**Evaluation Procedures**

**InD-1. A standardized individual test of intellectual functioning was administered.**  
(Rule 6A-6.03011(3)(a), F.A.C.)

A standardized individual test of intellectual functioning must be individually administered by a professional qualified in accordance with Rule 6A-4.0311, F.A.C., or licensed under Chapter 490, F.S. Examples of standardized individual tests of intellectual functioning include, but are not limited to, instruments described in the school district’s SP&P document. For prekindergarten children, or for an older student for whom an assessment of intellectual functioning is not appropriate, the school district may administer alternative instruments of cognitive functioning. Specifically, a standardized developmental scale may be administered. If a standardized developmental scale is used to assess cognitive functioning, an additional test is not required to assess academic or developmentally appropriate pre-academic skills.

Mark **“yes”** if an individual test of intellectual functioning or alternative instrument was administered. Mark **“no”** if no individual test of intellectual functioning or alternative instrument was administered.

**InD-2. A standardized assessment of adaptive behavior that included input from the student’s parent(s) or guardian(s) was conducted.**  
(Rule 6A-6.03011(3)(b), F.A.C.)

The standardized assessment of adaptive behavior of students suspected of having an intellectual disability must include parental or guardian input regarding their child’s adaptive behavior. Mark **“yes”** if an assessment of adaptive behavior was conducted appropriately. Mark **“no”** if there was no adaptive behavior assessment or if the assessment did not include input by the student’s parent or guardian.

**InD-3. A standardized test of academic or pre-academic achievement was individually administered.**

(Rule 6A-6.03011(3)(c), F.A.C.)

A standardized test of academic or pre-academic achievement must be individually administered. A standardized developmental scale may be used when an academic or pre-academic test cannot measure a student's level of functioning. Appropriate tests of academic and pre-academic achievement or developmental scales for different age levels include, but are not limited to, instruments identified in the school district's SP&P document.

Mark "**yes**" if a standardized test of academic or pre-academic achievement was administered appropriately. Mark "**no**" if there was no test of academic or pre-academic achievement or if it was a group-administered assessment.

**InD-4. A social developmental history was compiled directly from the parent, guardian, or primary caregiver.**

(Rule 6A-6.03011(3)(d), F.A.C.)

A social developmental history that is compiled directly from the parent, guardian, or primary caregiver must be conducted. Documentation should include information such as: identifying information; family and living situations; medical information; information regarding birth, infancy, childhood diseases, and developmental milestones; behavioral information; educational history; and information regarding family and relatives.

Mark "**yes**" if a social developmental history was compiled appropriately. Mark "**no**" if there was no social developmental history or if it was not compiled directly from the parent, guardian, or primary caregiver.

**Eligibility****InD-5. The student's measured level of intellectual functioning is more than 2 standard deviations below the mean on an individually measured, standardized test of intellectual functioning.**

(Rule 6A-6.03011(4)(a), F.A.C.)

Intellectual functioning is measured on a standardized IQ test. The IQ score should be included in the evaluation report or on a separate cover sheet. The required IQ score will vary depending on which test is used and the age of the student at the time of testing. Intellectual functioning must be more than 2 standard deviations below the mean. The profile of intellectual functioning should demonstrate consistently sub-average performance in a majority of areas evaluated.

The standard error of measurement ( $SE_m$ ) may be considered in individual cases. Justification for the use of  $SE_m$  should be included in the eligibility staffing report (see Technical Assistance Paper [TAP] *Standard Error of Measurement*, FY 1996-7). If  $SE_m$  is used but no justification is provided, this is not considered noncompliant but should be noted as a concern. However, if a pattern of using  $SE_m$  emerges through a review of a sampling of records, a finding of noncompliance may be made.

If used, justification for the use of part scores **must** be included in the eligibility staffing report (see TAP *Use of Part Scores with Tests of Intelligence*, FY 2005-9). Clinical justification included in the report should reference data that corroborates the decision. A statement such as “The part score is a better indicator of the student’s abilities” is not adequate justification.

Mark “**yes**” if the student’s IQ is within the required range. Mark “**no**” if the student’s IQ is less than 2 standard deviations below the mean **or** if a part score was used without appropriate justification.

**InD-6. The level of adaptive functioning is more than 2 standard deviations below the mean on the adaptive behavior composite or on two out of three domains on a standardized test of adaptive behavior.**

(Rule 6A-6.03011(4)(b), F.A.C.)

The assessed level of adaptive behavior must be more than 2 standard deviations below the mean on the adaptive behavior composite or on two out of three domains on a standardized test of adaptive behavior. Adaptive behavior is determined from documentation that the student’s performance is significantly and reliably different from other students of the same age and socio-cultural status in the same classroom situation and the neighborhood or community in which the student lives. Community refers to the population at large.

The record should indicate that the adaptive behavior was assessed formally through standardized scales. Input from the parents or guardians regarding their child’s adaptive behavior must be included. In some instances, a parent’s score may differ dramatically from the school’s. In this case, decisions should be made based on how the information fits together and whether there is strong overall support for a particular decision about the student’s adaptive behavior deficits. Functioning in the adaptive skill areas should be considered equally as important as IQ scores and academic functioning.

Mark “**yes**” if the student’s adaptive behavior was appropriately assessed and is more than 2 standard deviations below the mean on the adaptive behavior composite or on two out of three domains on a standardized test of adaptive behavior. Mark “**no**” if the student’s adaptive behavior was not assessed, **or** if the assessment did not include parent input, **or** if the scores are not more than 2 standard deviations below the mean on the adaptive behavior composite or on two out of three domains on a standardized test of adaptive behavior.

**InD-7. The level of academic or pre-academic performance on a standardized test is consistent with the performance expected of a student of comparable intellectual functioning.**

(Rule 6A-6.03011(4)(c), F.A.C.)

Guidelines for reviewing achievement in relation to IQ scores are typically found in a table in the achievement test manual (or technical manual) for the respective achievement test (e.g., WIAT-II, DAS-II, and KTEA-II). These charts will address predicted or expected achievement based on the ability test standard score. The expected achievement can be calculated if you know the student’s standard ability and achievement scores and the correlation between them. The following web page,

[http://alpha.fdu.edu/psychology/Determining\\_predicted\\_ach.htm](http://alpha.fdu.edu/psychology/Determining_predicted_ach.htm), has a link to Tables for Expected Achievement.

A standardized developmental scale shall be used when an academic or pre-academic test cannot measure a student's level of functioning. Mark "**yes**" if the student's academic or pre-academic achievement was appropriately assessed and is consistent with the performance expected of a student of comparable intellectual functioning. Mark "**no**" if the student's academic or pre-academic achievement was not assessed or if performance is not consistent with the performance expected of a student of comparable intellectual functioning.

**InD-8. The social developmental history identifies the developmental, familial, medical and health, and environmental factors impacting student functioning and documents the student's functional skills outside of the school environment.**  
(Rule 6A-6.03011(4)(d), F.A.C.)

A social developmental history that is compiled directly from the parent, guardian, or primary caregiver must be conducted. Documentation should address such factors as family and living situations; medical information; information regarding birth, infancy, childhood diseases, and developmental milestones; behavioral information; educational history; and information regarding family and relatives that may impact student functioning and should document the student's functional skills outside of the classroom environment.

Mark "**yes**" if a social developmental history was compiled appropriately. Mark "**no**" if there was no social developmental history, **or** if it was compiled but did not adequately address relevant issues, **or** if it was not compiled directly from the parent, guardian, or primary caregiver.

**InD-9. The student needs special education.**  
(Rule 6A-6.03011(4)(e), F.A.C.)

To be eligible as a student with an intellectual disability, the student must need special education to ensure access to the general education curriculum. Needed services may include interventions or adaptations to the school routine, school environment, or curriculum. This may be documented through observation or testimonial evidence as well as formal assessments, informal assessment, and general education interventions, if applicable.

Mark "**yes**" if there is evidence that the student needs interventions or adaptations that significantly differ in intensity and duration from what can be provided solely through general education resources. Mark "**no**" if there is evidence that the interventions required are available through general education resources.

**InD-10. The student meets eligibility criteria.**  
(Rule 6A-6.03011, F.A.C.)

Mark "**yes**" if InD-5 through InD-9 are all **yes**. Mark "**no**" if one or more are **no**.

Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Compliance Self-Assessment**

**Language Impairment  
Rule 6A-6.030121, F.A.C.**

This protocol addresses the requirements specific to Rule 6A-6.030121, F.A.C., *Exceptional Student Education Eligibility for Students with Language Impairments and Qualifications and Responsibilities for the Speech-Language Pathologists Providing Language Services*, which became effective July 1, 2010. This protocol reflects only the minimum evaluation and eligibility criteria specific to language impairments (LI). **The initial evaluation (IE) protocol must be used in conjunction with this disability-specific protocol; the two protocols will reflect a single required initial evaluation review.**

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **“yes”** if **all** components are met. Mark **“no”** if **one or more** components are **not** met. Mark **“N/A”** if the standard **does not apply** to this student.

**Evaluation Procedures**

**LI-1. The school district promptly requested consent to conduct an evaluation.**

(Rules 6A-6.030121(6)(a) and 6A-6.0331(3)(b), F.A.C.)

For a student enrolled in public school in kindergarten through grade 12, the school district must promptly request parental or guardian consent to conduct an evaluation to determine if the student needs exceptional student education **in the following circumstances:**

- a. Prior to obtaining consent for evaluation, the student has not made adequate progress after an appropriate period of time when provided appropriate instruction and intense, individualized interventions
- b. Prior to obtaining consent for evaluation, intensive interventions are demonstrated to be effective but require sustained and substantial effort that may include the provision of exceptional student education
- c. Whenever a referral is made to conduct an evaluation to determine the student's need for exceptional student education and the existence of a disability, including when the parent requests an evaluation

Review the record for evidence that a problem-solving response to intervention or instruction process was implemented and whether the parent or the district initiated the evaluation. **Mark “N/A” if the student is not enrolled in the school district in kindergarten through grade 12.** Mark **“yes”** if **a or b or c** occurred and consent for evaluation was promptly requested. Mark **“no”** if **a or b or c** occurred and consent for evaluation was not promptly requested.

**LI-2. Information was obtained from the student's parent or guardian and others, as appropriate.**

(Rule 6A-6.030121(3)(a), (6)(b)3.and (6)(c), F.A.C.)

For prekindergarten children, the evaluation must include information gathered from the child's parent(s) or guardian(s) and others, as appropriate, such as teacher(s), service provider(s), or caregiver(s). For students in kindergarten through grade 12, the evaluation must include information gathered from the student's parent(s) or guardian(s) and teacher(s) and, if appropriate, the student. There should be evidence in the record of interviews, checklists, questionnaires, or other methods of obtaining this information, either prior to or as part of the evaluation. Information obtained prior to the evaluation may be used to fulfill this requirement.

Mark "**yes**" if there is evidence that information was obtained from the parent(s) or guardian(s) **and**, for a student in kindergarten through grade 12, from the student's teacher(s) and the student, if appropriate. Mark "**no**" if there is no evidence that information was obtained from one or more of the required individuals.

**LI-3. One or more documented and dated observation(s) of the child's or student's language skills were conducted.**

(Rule 6A-6.030121(3)(b)., (6)(b)4., (7)(c)4., and (6)(c), F.A.C.)

The evaluation must include one or more documented and dated observation(s) of the child's language skills conducted by a speech- language pathologist (SLP) in one or more setting(s), either prior to or as part of the evaluation. For a prekindergarten child, the observations must be conducted in the child's typical learning environment or an environment or situation appropriate for a child of that chronological age. Observation(s) conducted prior to the evaluation may be used to fulfill this requirement.

The SLP **must conduct at least one additional observation** as part of the evaluation when the language impairment is due to a deficit in pragmatic language and cannot be verified by the use of a standardized instrument(s). General education activities and interventions conducted prior to initial evaluation in accordance with Rule 6A-6.0331(1), F.A.C., **cannot** be used to satisfy this requirement.

Mark "**yes**" if one or more observations were conducted and met the requirements described above. Mark "**no**" if an observation was not conducted or if observation(s) were conducted but did not meet the requirements described above.

**LI-4. One or more standardized norm-referenced instruments designed to measure language skills were administered.**

(Rule 6A-6.030121(3)(c), (6)(b)5., and (6)(c), F.A.C.)

The evaluation must include the administration of one or more standardized assessments to determine the nature and severity of the language deficits, either prior to or as part of the evaluation. The results must be interpreted by an SLP. If the SLP was unable to administer a norm-referenced instrument, a scientific, research-based alternative instrument must have been used. The evaluation report must document the evaluation procedures used, including the rationale for use of an alternative instrument, if applicable; the results obtained; and the basis for any recommendations. Standardized assessment results obtained prior to the evaluation may be used to fulfill this requirement.

Mark “**yes**” if one or more standardized norm-referenced assessments were administered. Mark “**no**” if a norm-referenced assessment was not administered.

- LI-5. The evaluation for a student in kindergarten through grade 12 included a review of the student’s response to instruction or intervention and data-based documentation of repeated measures of performance or functioning was provided to the student’s parent(s) or guardian(s).**  
(Rule 6A-6.030121(6)(b)1. and 2., F.A.C.)

To ensure that the decreased performance or functioning of a student suspected of having a language impairment is not due to lack of appropriate instruction, the evaluation procedures must include a review of data that demonstrate the student was provided well-delivered scientific, research-based instruction and interventions addressing the identified area(s) of concern, delivered by qualified personnel in general or exceptional education settings.

Data-based documentation of repeated measures of performance or functioning, obtained at reasonable intervals, must be provided to the student’s parent(s) or guardian(s). The documentation must be communicated in an understandable format and reflect the student’s response to intervention during instruction.

Review the record for evidence that a problem-solving response to intervention or instruction process was implemented and the results were provided to the student’s parents. Mark “**N/A**” if the student was not in kindergarten through grade 12 on the day that the eligibility determination was made. Mark “**yes**” if there is evidence that the student was provided instruction or interventions as described above, either prior to evaluation or as part of the evaluation, **and** that the team reviewed the results. Mark “**no**” if there is no evidence that the student was provided instruction or interventions as described above, either prior to evaluation or as part of the evaluation, **or** that the team did not review the results.

### Eligibility

**Items LI-6 and LI-7 apply to prekindergarten children. Mark as “N/A” for students who were in kindergarten through grade 12 on the day the eligibility determination was made.**

- LI-6. Standardized assessments, observation(s), and information gathered from the *prekindergarten child’s* parent(s) or guardian(s), teacher(s), service provider(s), or caregiver(s) reveal significant deficits in language that affect one or more of the following areas: listening comprehension, oral expression, social interaction, or emergent literacy.**  
(Rule 6A-6.030121(4)(a)-(d), F.A.C.)

The results of standardized norm-referenced assessment **and** observation(s) must reveal a significant deficit in **one or more** of the following areas, **and** the results must be supported by information gathered from the parents or guardians, teacher(s), service provider(s), or caregiver(s):

- Listening comprehension
- Oral expression
- Social interaction

- Emergent literacy skills (e.g., vocabulary development, phonological awareness, narrative concepts)

Review the record to determine whether the results of standardized norm-referenced instrument(s) reveal a significant language deficit in one or more of the areas in phonology, morphology, syntax, semantics, or pragmatics, as evidenced by standard score(s) significantly below the mean. If the evaluator was unable to administer a norm-referenced instrument and an alternative scientific, research-based instrument was administered, the instrument must reveal a significant language deficit in phonology, morphology, syntax, semantics, or pragmatics. Significance of the deficit(s) must be determined and based on specifications in the manual of the instrument(s) utilized for evaluation purposes.

Mark “**N/A**” for a student who was in kindergarten through grade 12 on the day the eligibility determination was made. Mark “**yes**” if the results of the standardized assessment reveal a significant deficit in language that is supported by observation(s) and information from individuals with knowledge of the child as described above. Mark “**no**” if there is no evidence of a significant deficit in language **or** if the evidence is not supported by one or more of the required sources.

- LI-7. The language impairment has an adverse effect on the *prekindergarten child's* ability to perform or function in the typical learning environment.**  
(Rule 6A-6.030121(4)(e), F.A.C.)

The language deficits must have an adverse effect on the child’s ability to perform or function in the typical learning environment, thereby demonstrating the need for exceptional student education.

Mark “**N/A**” for a student who was in kindergarten through grade 12 on the day the eligibility determination was made. Mark “**yes**” if there is evidence that the student needs special education and related services (i.e., services beyond those generally available through general education resources). Mark “**no**” if there is no evidence that the student needs special education and related services.

**Items LI-8 through LI-9 apply to students who were in kindergarten through grade 12 on the day the eligibility determination was made. Mark as “N/A” for prekindergarten children.**

- LI-8. For a student in kindergarten through grade 12, standardized assessments; observation(s); the student’s response to scientific, research-based interventions; and information gathered from the student’s parent(s) or guardian(s), teacher(s), and, when appropriate, the student reveal significant deficits in language that affect oral expression, listening comprehension, social interaction, written expression, phonological processing, or reading comprehension.**  
(Rule 6A-6.030121(7)(a) and (c), F.A.C.)

The results of standardized norm-referenced assessment **and** observation(s) must reveal a significant deficit in **one or more** of the following areas, **and** the results must be

supported by information gathered from the student's parent(s) or guardian(s), teacher(s), and, when appropriate, the student:

- Oral expression
- Listening comprehension
- Social interaction
- Written expression
- Phonological processing
- Reading comprehension

Review the record to determine whether the results of standardized norm-referenced instrument(s) reveal a significant language deficit in one or more of the areas in phonology, morphology, syntax, semantics, or pragmatics, as evidenced by standard score(s) significantly below the mean. If the evaluator was unable to administer a norm-referenced instrument and an alternative scientific, research-based instrument was administered, the instrument must reveal a significant language deficit in phonology, morphology, syntax, semantics, or pragmatics. Significance of the deficit(s) must be determined and based on specifications in the manual of the instrument(s) utilized for evaluation purposes. There must be evidence that the results of the standardized assessment were supported by the observation(s) and other information gathered.

Mark "**N/A**" for a prekindergarten child. Mark "**yes**" if the results of the standardized assessment reveal a significant deficit in language that is supported by observation(s) and information from individuals with knowledge of the student as described above. Mark "**no**" if there is no evidence of a significant deficit in language **or** if the evidence is not supported by one or more of the required sources.

- LI-9. The language impairment has an adverse effect on the kindergarten through grade 12 student's ability to perform or function adequately for the student's chronological age or to meet grade-level standards and on the student's progress when provided with learning experiences and instruction appropriate for the student's chronological age or grade.**  
(Rule 6A-6.030121(6)(a) and (b), F.A.C.)

There must be evidence that, due to deficits in the student's language skills, the student does not perform or function adequately for the student's chronological age or meet grade-level standards **and** that the student does not make sufficient progress to meet chronological or grade-level standards when provided with learning experiences and instruction appropriate for the student's chronological age or grade, thereby demonstrating the need for exceptional student education. Sources of information include documentation of the student's response to intervention and instruction and evaluation reports.

Mark "**N/A**" for a student who was in kindergarten through grade 12 on the day the eligibility determination was made. Mark "**yes**" if there is evidence that the student needs special education and related services (i.e., services beyond those generally available through general education resources). Mark "**no**" if there is no evidence that the student needs special education and related services.

**LI-10. The language impairment is not primarily the result of factors related to chronological age, gender, culture, ethnicity, or limited English proficiency.**

(Rule 6A-6.030121(4)(f) and (7)(d), F.A.C.)

A student cannot be determined eligible for ESE services as a student with an LI if a primary factor responsible for the language deficit is chronological age, gender, culture, ethnicity, or limited English proficiency. Review the record to determine if any of these factors apply for the student and, if so, whether the team considered the potential impact of applicable factors.

Mark **“yes”** if there is evidence that the team considered the potential impact of these factors, if any could apply. Mark **“no”** if there is evidence that one or more of these factors applied to the student (e.g., student had limited English proficiency) **and** the team did not adequately consider the potential impact of that factor when determining that an LI was the basis for the language deficit.

**LI-11. There is appropriate documentation of the eligibility determination for the student.**

(Rule 6A-6.030121(8)(a)-(f), F.A.C.)

Documentation of the determination of eligibility must include a written summary of the group’s analysis of the data that incorporates **all** of the following information:

- a. The basis for making the determination, including an assurance that the determination has been made in accordance with subsection 6A-6.0331(6), F.A.C.
- b. Noted behavior during the observation of the student and the relationship of that behavior to the student’s academic functioning
- c. The educationally relevant medical findings, if any
- d. Whether the student has a language impairment, as evidenced by response to intervention data confirming the following:
  - Performance or functioning discrepancies – The student displays significant discrepancies, for the chronological age or grade level in which the student is enrolled, based on multiple sources of data when compared to multiple groups, including, to the extent practicable, the peer subgroup-, classroom-, school-, district-, and state-level comparison groups.
  - Rate of progress – When provided with effective implementation of appropriate research-based instruction and interventions of reasonable intensity and duration with evidence of implementation fidelity, the student’s rate of progress is insufficient or requires sustained and substantial effort to close the gap with typical peers or expectations for the chronological age or grade level in which the student is currently enrolled.
  - Educational need – The student continues to demonstrate the need for interventions that significantly differ in intensity and duration from what can be provided solely through educational resources and services currently in place, thereby demonstrating a need for exceptional student education due to the adverse effect of the language impairment on the student’s ability to perform or function in the educational environment.
- e. The determination of the student’s parent(s) or guardian(s) and group of qualified professionals concerning the effects of chronological age, culture, gender, ethnicity, patterns of irregular attendance, or limited English proficiency on the student’s performance or functioning

- f. Documentation based on data derived from a process that assesses the student's response to well-delivered scientific, research-based instruction and interventions, including the following:
- Documentation of the specific instructional interventions used, the intervention support provided to the individuals implementing interventions, adherence to the critical elements of the intervention design and delivery methods, the duration of intervention implementation (e.g., number of weeks, minutes per week, sessions per week), and the student-centered data collected
  - Documentation that the student's parent(s) or guardian(s) were notified about the State's policies regarding the amount and nature of student performance or functioning data that would be collected and the educational resources and services that would be provided, interventions for increasing the student's rate of progress, and the parental or guardian right to request an evaluation

Review the student's record to ensure that the documentation of the student's eligibility includes **all** of the above. Mark "**yes**" if **a** through **f** are **yes**. Mark "**no**" if one or more are **no**.

**LI-12. The team determining eligibility for a student suspected of having a language impairment included an SLP.**

(Rule 6A-6.030121(9)(a), F.A.C.)

Review the student's record for evidence that an SLP was a member of the team of qualified professionals determining eligibility. Mark "**yes**" if an SLP was involved. Mark "**no**" if an SLP was not a member of the team.

**LI-13. The IEP team for a student with a language impairment or for an otherwise eligible student with a disability receiving language as a related service included an SLP.**

(Rule 6A-6.030121(9)(b), F.A.C.)

Review the IEP for evidence that an SLP was a member of the IEP team for the student eligible for language services, whether as special education or as a related service for an otherwise eligible student with a disability. Mark "**yes**" if an SLP was involved. Mark "**no**" if an SLP was not a member of the team.

**LI-14. The student meets eligibility criteria.**

(Rule 6A-6.030121, F.A.C.)

Mark "**yes**" if LI-6 through LI-12 are all **yes or N/A**. Mark "**no**" if any one or more of LI-6 through LI-12 are **no**.



Florida Department of Education  
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**Compliance Self-Assessment**

**Other Health Impairment  
Rule 6A-6.030152, F.A.C.**

This protocol addresses the requirements specific to Rule 6A-6.030152, F.A.C., *Exceptional Student Education Eligibility for Students with Other Health Impairment (OHI)*. This protocol reflects only the minimum evaluation and eligibility criteria related to OHI. **The initial evaluation (IE) protocol must be used in conjunction with this disability-specific protocol; the two protocols will reflect a *single* required initial evaluation review.**

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **“yes”** if **all** components are met. Mark **“no”** if **one or more** components are **not** met. Mark **“N/A”** if the standard **does not apply** to this student.

**Evaluation Procedures**

- OHI-1. The evaluation procedures include a report of a medical examination within the previous 12-month period by a Florida-licensed physician, unless a report of medical examination from a physician licensed in another state is permitted.**  
(Rule 6A-6.030152(3)(a), F.A.C.)

A report of a medical examination within the previous 12-month period should be provided by a physician licensed in Florida in accordance with Chapter 458 or 459, F.S., who is qualified to assess the student’s health impairment. In circumstances where a physician licensed in another state provides the student’s medical care, at the discretion of the district administrator for exceptional student education, a report from a licensed out-of-state physician may be accepted. The physician’s report must provide a description of the impairment and any medical implications for instruction.

Mark **“yes”** if there is a medical report that meets the requirements above. Mark **“no”** if there is no medical report **or** if the medical report does not meet the requirements above.

- OHI-2. The evaluation procedures include an educational evaluation that identifies educational and environmental needs.**  
(Rule 6A-6.030152(3)(b), F.A.C.)

The classroom teacher or other qualified educational personnel may provide the educational evaluation as specified in the district’s SP&P document. The documentation may include teacher notes, teacher-made tests, observations, testimonial evidence, or standardized test results. General education interventions and activities conducted prior to referral may be used to meet this criterion if the activities address the required elements.

Mark **“yes”** if there is documentation of an appropriate educational evaluation. Mark **“no”** if there is no documentation of an educational evaluation **or** if the educational evaluation does not identify educational and environmental needs.

### Eligibility

**OHI-3. There is evidence of a health impairment that results in reduced efficiency in school work and adversely affects the student’s performance in the educational environment.**

(Rule 6A-6.030152(4)(a), F.A.C.)

There is documented evidence that the student has limited strength, vitality, or alertness, including a heightened alertness to environmental stimuli that results in limited alertness with respect to the educational environment, that is due to chronic or acute health problems. This includes, but is not limited to, asthma, attention deficit disorder or attention deficit hyperactivity disorder, Tourette syndrome, diabetes, epilepsy, a heart condition, hemophilia, lead poisoning, leukemia, nephritis, rheumatic fever, sickle cell anemia, and acquired brain injury. Evidence may include the medical diagnosis, observation, or testimonial evidence.

Mark **“yes”** if there is evidence that the student has a health impairment that adversely affects the student’s performance in the educational environment. Mark **“no”** if there is no evidence of an OHI.

**OHI-4. The student needs special education.**

(Rule 6A-6.030152(4)(b), F.A.C.)

To be eligible as a student with other health impairment, the student must need special education to ensure access to the general education curriculum. Needed services may include interventions or adaptations to the school routine, school environment, or curriculum. This may be documented through observation or testimonial evidence as well as formal and informal assessments.

Mark **“yes”** if there is evidence that the student continues to need interventions or adaptations that significantly differ in intensity and duration from what can be provided solely through general education resources. Mark **“no”** if there is evidence that the interventions required are available through general education resources.

**OHI-5. The student meets eligibility criteria.**

(Rule 6A-6.030152, F.A.C.)

Mark **“yes”** if OHI-3 and OHI-4 are **yes**. Mark **“no”** if either OHI-3 or OHI-4 or both are **no**.

Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Compliance Self-Assessment**

**Orthopedic Impairment  
Rule 6A-6.030151, F.A.C.**

This protocol addresses the requirements specific to Rule 6A-6.030151, F.A.C., *Exceptional Student Education Eligibility for Students with Orthopedic Impairment (OI)*. This protocol reflects only the minimum evaluation and eligibility criteria related to OI. **The initial evaluation (IE) protocol must be used in conjunction with this disability-specific protocol; the two protocols will reflect a *single* required initial evaluation review.**

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **“yes”** if **all** components are met. Mark **“no”** if **one or more** components are **not** met. Mark **“N/A”** if the standard **does not apply** to this student.

**Evaluation Procedures**

- OI-1. The evaluation procedures include a report of a medical examination within the previous 12-month period by a Florida-licensed physician, unless a report of medical examination from a physician licensed in another state is permitted.**  
(Rule 6A-6.030151(3)(a), F.A.C.)

A report of a medical examination within the previous 12-month period should be provided by a physician licensed in Florida in accordance with Chapter 458 or 459, F.S., who is qualified to assess the student’s orthopedic impairment. In circumstances where a physician licensed in another state provides the student’s medical care, a report from the out-of-state physician may be accepted at the discretion of the district administrator for exceptional student education. A physician’s report must provide a description of the orthopedic impairment and any medical implications for instruction.

Mark **“yes”** if there is a medical report that meets the requirements above. Mark **“no”** if there is no medical report or if the medical report does not meet the requirements above.

- OI-2. The evaluation procedures include an educational evaluation that identifies educational and environmental needs.**  
(Rule 6A-6.030151(3)(b), F.A.C.)

The classroom teacher or other qualified educational personnel may provide the educational evaluation as specified in the district’s SP&P document. The documentation may include teacher notes, teacher-made tests, observations, testimonial evidence, or standardized test results. General education interventions and activities conducted prior to referral may be used to meet this criterion if the activities address the required elements.

Mark **“yes”** if there is documentation of an appropriate educational evaluation. Mark **“no”** if there is no documentation of an educational evaluation or if the educational evaluation does not identify educational and environmental needs.

**Eligibility****OI-3. There is evidence of an orthopedic impairment that adversely affects the student's performance in the educational environment in one or more of the following: ambulation, hand movement, coordination, or daily living skills.**

(Rule 6A-6.030151(4)(a), F.A.C.)

There is evidence that a severe skeletal, muscular, or neuromuscular impairment exists that adversely affects the student's educational performance, such as significantly limiting the student's ability to move about, sit, or manipulate the materials for learning or affecting ambulation, posture, or body use necessary for school work.

Mark **"yes"** if there is evidence of an orthopedic impairment that affects one of the areas noted above. Mark **"no"** if there is no evidence of such an orthopedic impairment.

**OI-4. The student needs special education.**

(Rule 6A-6.030151(4)(b), F.A.C.)

To be eligible as a student with an orthopedic impairment, the student must need special education to ensure access to the general education curriculum. Needed services may include interventions or adaptations to the school routine, environment, or curriculum in one of the listed areas. This may be documented through observation or testimonial evidence as well as formal and informal assessments.

Mark **"yes"** if there is evidence that the student continues to need interventions or adaptations that significantly differ in intensity and duration from what can be provided solely through general education resources. Mark **"no"** if there is evidence that the interventions required are available through general education resources.

**OI-5. The student meets eligibility criteria.**

(Rule 6A-6.030151, F.A.C.)

Mark **"yes"** if OI-3 and OI-4 are **yes**. Mark **"no"** if either OI-3 or OI-4 or both are **no**.

Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Compliance Self-Assessment**

**Specific Learning Disabilities  
Rule 6A-6.03018, F.A.C.**

This protocol addresses the requirements specific to eligibility for students who are served under Rule 6A-6.03018, F.A.C., *Exceptional Education Eligibility for Students with Specific Learning Disabilities* (SLD). This protocol reflects only the minimum evaluation and eligibility criteria specific to SLD. **The initial evaluation (IE) protocol must be used in conjunction with this disability-specific protocol; the two protocols will reflect a *single* required initial evaluation review.**

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **“yes”** if **all** components are met. Mark **“no”** if **one or more** components are **not** met. Mark **“N/A”** if the standard **does not apply** to this student.

**General Education Interventions and Evaluation Procedures**

**SLD-1. There is evidence that a group of qualified professionals considered data demonstrating that the student was provided well-delivered, scientific, research-based instruction and interventions that addressed the identified area(s) of concern, as well as graphic documentation of repeated measures of achievement that also was provided to the parent(s) or guardian(s).**  
(Rule 6A-6.03018(2), F.A.C.)

In order to ensure that lack of academic progress is not due to lack of appropriate instruction, a group of qualified personnel must consider the following:

- Data that demonstrates that the student was provided well-delivered scientific, research-based instruction and interventions addressing the identified area(s) of concern and delivered by qualified personnel in general education settings
- Data-based documentation, which was provided to the student’s parent(s) or guardian(s), of repeated measures of achievement at reasonable intervals, graphically reflecting the student’s response to intervention during instruction

Mark **“yes”** if there is documentation that the student was provided well-delivered scientific, research-based instruction and interventions delivered by qualified personnel with sufficient intensity and duration to reasonably impact the identified area(s) of concern **and** that graphic representation of the student’s response to intervention was provided to the parent. Activities conducted prior to referral for evaluation may be used to fulfill this requirement. Mark **“no”** if there is no documentation that the student was provided well-delivered scientific, research-based instruction and interventions by qualified personnel **or** that that graphic representation of the student’s response to intervention was not provided to the parent.

**SLD-2. The school district promptly requested consent to conduct an evaluation.**  
(Rule 6A-6.03018(3)(a), F.A.C.)

For a student enrolled in public school in kindergarten through grade 12, the school district must promptly request parental or guardian consent to conduct an evaluation to determine if the student needs specially designed instruction **in the following circumstances:**

- a. Prior to obtaining consent for evaluation, the student has not made adequate progress after an appropriate period of time when provided appropriate instruction and intense, individualized interventions
- b. Prior to obtaining consent for evaluation, intensive interventions are demonstrated to be effective but require sustained and substantial effort that may include the provision of specially designed instruction and related services
- c. Whenever a referral is made to conduct an evaluation to determine the student's need for specially designed instruction and the existence of a disability, including **when the parent requests an evaluation**

Review the record for evidence that a problem-solving process using response to intervention or instruction data was implemented and whether the parent or the district initiated the evaluation. **Mark "N/A" if the student is not enrolled in the school district** in kindergarten through grade 12. Mark **"yes"** if **a or b or c** occurred and consent for evaluation was promptly requested. Mark **"no"** if **a or b or c** occurred and consent for evaluation was not promptly requested.

**SLD-3. An observation documenting the relationship between the student's classroom behavior and academic performance was conducted.**

(Rule 6A-6.03018(4)(c), F.A.C.)

This requirement can be met by an observation of routine classroom instruction and monitoring of the student's performance completed before the referral or based on an observation of the student's performance in the student's typical learning environment, or in an environment appropriate for a student of that chronological age that was conducted by a member of the group after the referral.

Mark **"yes"** if there is evidence that an observation documenting the relationship between the student's classroom behavior and academic performance was conducted. Mark **"no"** if there is no evidence that an observation documenting the relationship between the student's classroom behavior and academic performance was conducted.

### Eligibility

**SLD-4. The group of professionals determining eligibility included the student's parent(s) or guardian(s), a general education teacher, a person qualified to conduct and interpret individual diagnostic examinations, and the district ESE administrator or designee.**

(Rule 6A-6.03018(4)(b), F.A.C.)

The determination of whether a student suspected of having a specific learning disability is a student who demonstrates a need for specially designed instruction and related services and meets the eligibility criteria must be made by the student's parent(s) or guardian(s) and a group of qualified professionals, which must include, but is not limited to, all of the following:

- The student's general education teacher; if the student does not have a general education teacher, a general education teacher qualified to teach a student of his or her chronological age
- At least one person qualified to conduct and interpret individual diagnostic examinations of students, including, but not limited to, a school psychologist, speech-language pathologist, or reading specialist
- The district administrator of exceptional student education or designee

Mark **"yes"** if the group of qualified professionals included the parent(s) or guardian(s), a general education teacher, a person qualified to conduct and interpret individual diagnostic examinations, and the district ESE administrator or designee. Mark **"no"** if the group of qualified professionals did not include all of the required participants. Do not mark as noncompliant if the parent(s) or guardian(s) were invited to participate but did not attend the meeting.

- SLD-5. There is evidence from multiple sources (which may include individual or group criterion or norm-referenced measures and individual diagnostic assessments) that the student *does not achieve* adequately for the student's age or to meet state-approved grade-level standards in basic reading skills, reading comprehension, reading fluency, oral expression, listening comprehension, mathematics calculation, mathematics reasoning, or written expression when provided with learning experiences and instruction appropriate for the student's age or state-approved grade-level standards.**  
(Rule 6A-6.03018(4)(a)1, F.A.C.)

A review of the data from multiple sources indicates that, when provided with learning experiences and instruction appropriate for age or grade level, the student does not achieve adequately for chronological age or to meet state-approved standards in one or more of the following areas:

- Basic reading skills
- Reading comprehension
- Reading fluency skills
- Oral expression
- Listening comprehension
- Mathematics calculation
- Mathematics problem solving
- Written expression

Mark **"yes"** if there is documentation of inadequate achievement in one or more of the designated areas and appropriate instruction was provided. Mark **"no"** if there is evidence that the student's achievement was adequate or that the student's achievement was not adequate but appropriate instruction was not provided.

- SLD-6. The student's academic performance is significantly discrepant for the chronological age or grade level in which the student is enrolled when compared to multiple groups.**  
(Rule 6A-6.03018(5)(d)1, F.A.C.)

Mark **"yes"** if there is evidence that the student's academic performance is significantly discrepant for the chronological age or grade level in which the student is enrolled, based on multiple sources of data when compared to peer subgroup —

classroom-, school-, district-, and state-level comparison groups. Mark “no” if the student’s academic performance is not significantly discrepant from peer subgroup, chronological age, or grade-level expectations or if there is no evidence of comparison.

- SLD-7. Student response to intervention data document that the student’s rate of progress is insufficient (or requires sustained and substantial effort) to close the achievement gap with typical peers or academic expectations.**  
(Rule 6A-6.03018(5)(d)2, F.A.C.)

Mark “yes” if there is evidence that the student’s response to intervention data reveal that the student’s rate of progress is insufficient (or requires sustained and substantial effort) to close the achievement gap with typical peers or academic expectations. Mark “no” if the student’s response to intervention data reveal that the student’s rate of progress is sufficient to close the achievement gap with typical peers or academic expectations or if there is no evidence that this was considered.

- SLD-8. The evaluation procedures reveal a need for interventions that significantly differ in intensity and duration from what can be provided solely through general education resources and identify the specific educational needs.**  
(Rule 6A-6.03018(5)(d)3, F.A.C.)

Mark “yes” if the evaluation procedures provide information relevant to determining educational needs. Mark “no” if the evaluation procedures do not provide information relevant to determining the specific educational needs that will be met through exceptional education resources.

- SLD-9. The student’s level of academic performance and rate of progress are not primarily the result of any of the following factors: visual, hearing, or motor disability; intellectual disability; emotional or behavioral disability; cultural factors; irregular patterns of attendance or high mobility rate; classroom behavior; environmental or economic factors; or limited English proficiency (Rule 6A-6.03018(4)(a)3., F.A.C.) or due to lack of appropriate instruction in reading or math.**  
(Rules 6A-6.03018(4)(a)3. and 6A-6.0331(6)(d), F.A.C.)

These factors are known to impact student achievement. A student cannot be determined eligible for ESE services as a student with an SLD if a primary factor responsible for the student’s difficulty is visual, hearing, or motor disability; intellectual disability; emotional or behavioral disability; cultural factors; irregular patterns of attendance or high mobility rate; classroom behavior; environmental or economic factors; or limited English proficiency. The group determining eligibility must have documentation that these factors are not present or, if present, are not primary factors contributing to the student’s lack of progress.

Review the record to determine if any of these factors apply for the student and, if so, whether the team considered the potential impact of applicable factors. Documentation of the impact of these factors should appear in the required written summary of the group’s analysis.

Mark **“yes”** if there is evidence that the team considered the potential impact of these factors, if any could apply. Mark **“no”** if there is evidence that one or more of these factors applied to the student (e.g., student had limited English proficiency) **and** the team did not adequately consider the potential impact of that factor when determining that an SLD was the basis for the student’s lack of progress.

## Documentation

### **SLD-10. There is documentation of the determination of eligibility that includes a written summary of the group’s analysis of the data used to make the determination.** (Rule 6A-6.03018(5), F.A.C.)

The documentation of the determination of eligibility and written summary of the group’s analysis must include **all** of the following:

- The basis for making the determination, including an assurance that the determination was made in accordance with subsection (6) of Rule 6A-6.0331, F.A.C.
- Notes taken during an observation of the student and the relationship of that behavior to the student’s academic functioning
- Educationally relevant medical findings, if any
- Whether the student has a specific learning disability, as evidenced by response to intervention data confirming the performance discrepancy, rate of progress, and educational need
- The determination of the group concerning the effects of visual, hearing, motor, intellectual, or emotional or behavioral disability; cultural factors; attendance or mobility; classroom behavior; environmental or economic factors; or limited English proficiency on the student’s achievement
- Documentation based on data derived from a process that assesses the student’s response to well-delivered scientific, research-based instruction and interventions, including documentation of interventions and parent notification about State policies regarding the amount and nature of student data to be collected, the general education services provided, interventions implemented to increase the student’s rate of progress, and the right to request an evaluation
- The signature of each group member certifying that documentation of the determination of eligibility reflects the member’s conclusion or, if it does not reflect the member’s conclusion, that the group member submitted a separate statement presenting the member’s conclusions

Mark **“yes”** if there is a written summary of the group’s documentation of the determination of eligibility that includes **all** required information. Mark **“no”** if there is no written summary of the group’s documentation of determination of eligibility **or** if the written summary does not include the required information.

### **SLD-11. The student meets eligibility criteria.** (Rule 6A-6.03018(2), F.A.C.)

Mark **“yes”** if SLD-4 through SLD-10 are **all yes**. Mark **“no”** if one or more of SLD-4 through SLD-10 are **no**.



Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Compliance Self-Assessment**

**Speech Impairment  
Rule 6A-6.03012, F.A.C.**

This protocol addresses the requirements specific to Rule 6A-6.03012, F.A.C., *Exceptional Student Education Eligibility for Students with Speech Impairments and Qualifications and Responsibilities for the Speech-Language Pathologists Providing Speech Services*, which became effective July 1, 2010. This protocol reflects only the minimum evaluation and eligibility criteria specific to speech impairment (SI). **The initial evaluation (IE) protocol must be used in conjunction with this disability-specific protocol; the two protocols will reflect a *single* required initial evaluation review.**

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **“yes”** if **all** components are met. Mark **“no”** if **one or more** components are **not** met. Mark **“N/A”** if the standard **does not apply** to this student.

**Evaluation Procedures**

**SI-1. The evaluation procedures to determine a speech sound disorder were followed.**  
(Rule 6A-6.03012(3)(a)-(d), F.A.C.)

For a speech sound disorder, the evaluation must include **all** of the following:

- a. Information must be gathered from the student’s parent(s) or guardian(s) and teacher(s) and, when appropriate, the student regarding the concerns and description of speech characteristics. This may be completed through a variety of methods, including interviews, checklists, or questionnaires.
- b. Documented and dated observation(s) of the student’s speech characteristics must be conducted by a speech language pathologist (SLP) to examine the student’s speech characteristics during connected speech or conversation. Observation(s) conducted prior to obtaining consent for evaluation may be used to meet this criterion.
- c. An examination of the oral mechanism structure and function must be conducted.
- d. One or more standardized, norm-referenced instruments designed to measure speech sound production must be administered to determine the type and severity of the speech sound errors and whether the errors are articulation (phonetic) or phonological (phonemic) in nature.

Review the student’s record to ensure that the evaluation included **all** of the above criteria. Mark this item as **“N/A”** if these criteria related to speech sound disorder evaluation were not applied because the student was evaluated under SI-2 (fluency), SI-3 (voice), or SI-7 (related service). Mark **“yes”** if **a** through **d** are **yes**. Mark **“no”** if one or more are **no**.

**SI-2. The evaluation procedures to determine a fluency disorder were followed.**  
(Rule 6A-6.03012(4)(a)-(e), F.A.C.)

For a fluency disorder, the evaluation must include **all** of the following:

- a. Information must be gathered from the student's parent(s) or guardian(s) and teacher(s) and, when appropriate, the student to address the areas identified in **d** below. This may be completed through a variety of methods, including interviews, checklists, or questionnaires.
- b. A minimum of two documented and dated observations of the student's speech and secondary behaviors must be conducted by a speech language pathologist in more than one setting, including the typical learning environment. For prekindergarten children, the observations may occur in an environment or situation appropriate for a child of that chronological age. Observations conducted prior to obtaining consent for evaluation may be used to meet this criterion, if the activities address the areas identified in **d** below.
- c. An examination of the oral mechanism structure and function must be conducted.
- d. An assessment of **all** of the following areas:
  - Motor aspects of the speech behaviors
  - Student's attitude regarding the speech behaviors
  - Social impact of the speech behaviors
  - Educational impact of the speech behaviors
- e. A speech sample of a minimum of 300–500 words must be collected and analyzed to determine frequency, duration, and type of dysfluent speech behaviors. If the SLP is unable to obtain a speech sample of a minimum of 300–500 words, a smaller sample may be collected and analyzed. The evaluation report must document the rationale for collection and analysis of a smaller sample, the results obtained, and the basis for recommendations.

Review the student's record to ensure that **all** of the procedures identified above were included. Mark this item as "**N/A**" if these criteria related to fluency disorder evaluation were not applied because the student was evaluated under SI-1 (speech sound), SI-3 (voice), or SI-7 (related service). Mark "**yes**" if **a** through **e** are **yes**. Mark "**no**" if any or all are **no**.

**SI-3. The evaluation procedures to determine a voice disorder were followed.**  
(Rule 6A-6.03012(5)(a)-(d), F.A.C.)

For a voice disorder, the evaluation must include **all** of the following:

- a. Information must be gathered from the student's parent(s) or guardian(s) and teacher(s) and, when appropriate, the student regarding the concerns and description of voice characteristics. This may be completed through a variety of methods, including interviews, checklists, or questionnaires.
- b. Documented and dated observation(s) of the student's voice characteristics must be conducted by a speech language pathologist in one or more setting(s), which must include the typical learning environment. For prekindergarten children, the observation(s) may occur in an environment or situation appropriate for a child of that chronological age. Observation(s) conducted prior to obtaining consent for evaluation may be used to meet this criterion.
- c. An examination of the oral mechanism structure and function must be conducted.
- d. A report of a medical examination of laryngeal structure and function conducted by a physician licensed in Florida in accordance with Chapter 458 or 459, F.S., unless a

report of medical examination from a physician licensed in another state is permitted in accordance with 6A-6.0331(3)(c), F.A.C. The physician's report must provide a description of the state of the vocal mechanism and any medical implications for therapeutic intervention.

Review the student's record to ensure that **all** of the criteria identified above were included in the student's evaluation. Mark this item as "**N/A**" if these criteria related to voice disorder evaluation were not applied and the student was evaluated under SI-1 (speech sound), SI-2 (fluency), or SI-7 (related service). Mark "**yes**" if **a** through **d** are **yes**. Mark "**no**" if one or more are **no**.

### Eligibility

#### SI-4. The student has a speech sound disorder.

(Rule 6A-6.03012(6)(a), F.A.C.)

The evaluation results for a speech sound disorder must reveal **all** of the following:

- a. The speech sound disorder must have a significant impact on the student's intelligibility, although the student may be intelligible to familiar listeners or within known contexts.
- b. The student's phonetic or phonological inventory must be significantly below that expected for his or her chronological age or developmental level based on normative data.
- c. The speech sound disorder must have an adverse effect on the student's ability to perform or function in the student's typical learning environment, thereby demonstrating the need for exceptional student education.
- d. The speech sound disorder is not primarily the result of factors related to chronological age, gender, culture, ethnicity, or limited English proficiency.

Review the record for evidence that the criteria described above were met. Mark this item as "**N/A**" if these criteria related to speech sound disorder were not applied and the student was found eligible under SI-2 (fluency), SI-3 (voice), or SI-7 (related service). Mark "**yes**" if **a** through **d** are **yes**. Mark "**no**" if one or more are **no**.

#### SI-5. The student has a fluency disorder.

(Rule 6A-6.03012(6)(b), F.A.C.)

The evaluation results for a fluency disorder must reveal **all** of the following:

- a. The student must exhibit significant and persistent dysfluent speech behaviors. The dysfluency may include repetition of phrases, whole words, syllables and phonemes, prolongations, blocks, and circumlocutions. In addition, secondary behaviors, such as struggle and avoidance, may be present.
- b. The fluency disorder must have an adverse effect on the student's ability to perform or function in the educational environment, thereby demonstrating the need for exceptional student education.
- c. The dysfluency is not primarily the result of factors related to chronological age, gender, culture, ethnicity, or limited English proficiency.

Review the record for evidence that the criteria described above were met. Mark this item as **“N/A”** if these criteria related to fluency disorder were not applied and the student was found eligible under SI-1 (speech sound), SI-3 (voice), or SI-7 (related service). Mark **“yes”** if **a** through **c** are **yes**. Mark **“no”** if one or more are **no**.

**SI-6. The student has a voice disorder.**

(Rule 6A-6.03012(6)(c), F.A.C.)

The evaluation results for a voice disorder must reveal **all** of the following:

- a. The student must exhibit significant and persistent atypical production of quality, pitch, loudness, resonance, or duration of phonation. The atypical voice characteristics may include inappropriate range, inflection, loudness, excessive nasality, breathiness, hoarseness, or harshness.
- b. The voice disorder does not refer to vocal disorders that are found to be the direct result or symptom of a medical condition unless the disorder adversely affects the student’s ability to perform or function in the educational environment and is amenable to improvement with therapeutic intervention.
- c. The voice disorder must have an adverse effect on the student’s ability to perform or function in the educational environment, thereby demonstrating the need for exceptional student education.
- d. The atypical voice characteristics are not primarily the result of factors related to chronological age, gender, culture, ethnicity, or limited English proficiency.

Review the record for evidence that the criteria described above were met. Mark this item as **“N/A”** if these criteria related to voice disorder were not applied and the student was found eligible under SI-4 (speech sound), SI-5 (fluency), or SI-7 (related service). Mark **“yes”** if **a** through **d** is **yes**. Mark **“no”** if one or more are **no**.

**SI-7. The student is an eligible student with a disability under another program and the IEP team determined that the student is in need of speech as a related service.**

(Rule 6A-6.03012(7)(b), F.A.C.)

In order for speech as a related service to be included on the IEP, the student must have been determined eligible for an ESE program. The decision regarding a student’s need for speech as a related service should be data-driven and made on a case-by-case basis by the IEP team. The data used in decision making should include evaluation outcomes, services the student is currently receiving and has received in the past (e.g., private speech language therapy service), the student’s response to specific interventions, and parent input on communication skills observed in the home and other environments. To receive speech as a related service, the team must determine that speech services are necessary for the student to benefit from education. An SLP shall be involved in the development of the IEP.

Mark **“N/A”** if the student met initial eligibility criteria as a student with a speech disorder in need of special education (SI-4 through SI-6). Mark **“yes”** if the student was appropriately determined to be in need of speech services as a related service. Mark **“no”** if an SLP was not a part of the team or if the team did not base the decision on the considerations listed above.

**SI-8. An SLP was involved in the student's eligibility determination and the development of the student's IEP.**

(Rule 6A-6.03012(7)(a)-(d), F.A.C.)

- a. A group of qualified professionals determining eligibility under requirements of 6A-6.030121 and 6A-6.0331(6), F.A.C., must include an SLP.
- b. An SLP shall be involved in the development of the IEP for students eligible for speech services, whether as special education or as a related service for an otherwise eligible student with a disability.

Review the student's record for evidence that the criteria described above were met. Mark "**yes**" if **a and b** are **yes**. Mark "**no**" if either **a or b** or both are **no**. Florida Department of Education Bureau of Exceptional Education and Student Services



Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Compliance Self-Assessment**

**Traumatic Brain Injury  
Rule 6A-6.030153, F.A.C.**

This protocol addresses the requirements specific to Rule 6A-6.030153, F.A.C., *Exceptional Student Education Eligibility for Students with Traumatic Brain Injury* (TBI). This protocol reflects only the minimum evaluation and eligibility criteria related to TBI. **The initial evaluation (IE) protocol must be used in conjunction with this disability-specific protocol; the two protocols will reflect a *single* required initial evaluation review.**

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark **“yes”** if **all** components are met. Mark **“no”** if **one or more** components are **not** met. Mark **“N/A”** if the standard **does not apply** to this student.

**Evaluation Procedures**

- TBI-1. The evaluation procedures include a report of a medical examination within the previous 12-month period by a Florida-licensed physician, unless a report of medical examination from a physician licensed in another state is permitted.**  
(Rule 6A-6.030153(3)(a), F.A.C.)

The medical report should be provided by a physician licensed in Florida in accordance with Chapter 458 or 459, F.S., who is qualified to assess the student’s traumatic brain injury and provide a description of the TBI and any medical implications for instruction. In circumstances where a physician licensed in another state provides the student’s medical care, a report from the out-of-state physician may be accepted at the discretion of the district administrator for exceptional student education.

Mark **“yes”** if there is a medical report that meets the requirements above. Mark **“no”** if there is no medical report or if the medical report does not meet the requirements above.

- TBI-2. The evaluation procedures include documented evidence by more than one person, including the parent, guardian, or primary caregiver, in more than one situation of a marked contrast of pre- and post-injury capabilities in one or more of the areas listed in TBI-5.**  
(Rule 6A-6.030153(3)(b), F.A.C.)

Evidence should include documentation that demonstrates a marked contrast of pre- and post-injury capabilities in the areas listed in TBI-5. There must be evidence of a report or observation by more than one person and in more than one situation. A parent, guardian, caregiver, teacher, health care provider, or other qualified personnel may submit evidence. Districts may use the TBI pre- and post-injury checklist developed by the bureau and available at <http://www.fldoe.org/ese/doc/TBI-SchoolForm.doc> as a resource to assist evaluation teams in gathering the data required by Rule 6A-6.030153, F.A.C. In instances involving shaken baby syndrome or

other traumatic brain injury that may occur while the child is still an infant, pre-injury documentation may cite that the child was a normally-developing infant prior to the injury. General education interventions and activities conducted prior to referral may be used to meet this criterion if the activities address the required elements.

Mark **“yes”** if there is appropriate documentation of marked differences in pre- and post-injury capabilities. Mark **“no”** if there is no documentation of marked differences in pre- and post-injury capabilities or if the documentation does not reflect the input of more than one person in more than one situation.

**TBI-3. The evaluation procedures include an educational evaluation that identifies educational and environmental needs.**

(Rule 6A-6.030153(3)(c), F.A.C.)

The educational evaluation must be completed post-injury and may be provided by the classroom teacher or other qualified educational personnel, as specified in the district’s SP&P document. The documentation may include teacher notes, teacher-made tests, observations, testimonial evidence, standardized test results, or TBI checklists.

Mark **“yes”** if there is documentation of an appropriate educational evaluation. Mark **“no”** if there is no documentation of an educational evaluation or if the educational evaluation does not identify educational and environmental needs.

**TBI-4. The evaluation procedures include a neuropsychological evaluation when requested by the ESE administrator or designee.**

(Rule 6A-6.030153(4), F.A.C.)

There must be evidence of a neuropsychological evaluation if one is requested by the ESE administrator or designee. This additional requirement may be included in the district’s SP&P document or may be required for an individual student on an as-needed basis.

Mark **“N/A”** if a neuropsychological evaluation was not requested. Mark **“yes”** if there is a neuropsychological evaluation that meets the requirements above. Mark **“no”** if a neuropsychological evaluation was requested but not conducted.

## Eligibility

**TBI-5. There is evidence that the traumatic brain injury impacts one or more of the following areas: cognition; language; memory; attention; reasoning; abstract thinking; judgment; problem solving; sensory, perceptual, or motor abilities; psychosocial behavior; physical functions; information processing; or speech.**

(Rule 6A-6.030153(5)(a), F.A.C.)

There must be documented evidence that the traumatic brain injury impacts one or more of the areas listed above. Documentation from more than one person is required (e.g., a parent, guardian, caregiver, teacher, health care provider, or other qualified personnel).

Mark **“yes”** if there is evidence that one of the areas noted above is affected by the traumatic brain injury. Mark **“no”** if there is no evidence of such an effect.

**TBI-6. The student needs special education.**

(Rule 6A-6.030153(5)(b), F.A.C.)

To be eligible as a student with a traumatic brain injury, the student must need special education to ensure access to the general education curriculum. Needed services may include interventions or adaptations to the school routine, school environment, or curriculum in one of the listed areas. This may be documented through observation or testimonial evidence as well as formal and informal assessments.

Mark “**yes**” if there is evidence that the student continues to need interventions or adaptations that significantly differ in intensity and duration from what can be provided solely through general education resources. Mark “**no**” if there is evidence that the interventions required are available through general education resources.

**TBI-7. The student meets eligibility criteria.**

(Rule 6A-6.030153, F.A.C.)

Mark “**yes**” if TBI-5 and TBI-6 are **yes**. Mark “**no**” if either TBI-5 or TBI-6 or both are **no**.



Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Compliance Self-Assessment**

**Visual Impairment  
Rule 6A-6.03014, F.A.C.**

This protocol addresses the requirements specific to eligibility for students who are served under Rule 6A-6.03014, F.A.C., *Exceptional Student Education Eligibility for Students Who Are Visually Impaired* (VI). This protocol reflects only the minimum evaluation and eligibility criteria specific to VI. **The initial evaluation (IE) protocol must be used in conjunction with this disability-specific protocol; the two protocols will reflect a *single* required initial evaluation review.**

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark “**yes**” if **all** components are met. Mark “**no**” if **one or more** components are **not** met. Mark “**N/A**” if the standard **does not apply** to this student.

**Evaluation Procedures**

**VI-1. A medical eye examination was conducted.**  
(Rule 6A-6.03014(3)(a)1, F.A.C.)

A medical eye examination must be conducted that describes etiology, diagnosis, treatment regimen; prognosis; near and distance, corrected and uncorrected acuity measures for the left eye, right eye, and both eyes; measure of field of vision; and recommendations for lighting levels, physical activity, aids, or use of glasses, as appropriate. For children birth to five years of age, or students who are otherwise unable to be assessed, a medical assessment describing visual functioning can be documented when standard visual acuities and measures of field of vision are unattainable.

A medical eye exam must have been conducted. If medical professionals do not complete the information requested or required, documentation to obtain the information may include notations from telephone conversations with the medical professional and written correspondence, such as letters, questionnaires, or checklists. Mark “**yes**” if a medical eye examination that addressed the required areas was conducted prior to the eligibility determination. Mark “**no**” if the medical eye examination was not conducted **or** if it was conducted after the eligibility determination.

**VI-2. Comprehensive assessment of skills known to be impacted by visual impairment to include: functional vision evaluation and learning media assessment and if appropriate, orientation and mobility assessment, has been conducted.**  
(Rule 6A-6.03014(3)(a)2, F.A.C.)

There must be evidence that, at a minimum, a functional vision evaluation and learning media assessment have been performed. These evaluations may be reported on a single report or document. The functional visual evaluation documents how well a student uses residual vision and for what types of tasks vision is used. Learning media assessment helps to determine the means through which a student learns (visually,

tactually, auditorily, or a combination of any of these). Orientation and mobility assessment may address the student's sensory, navigational, and mobility skills.

Mark **"yes"** if there is evidence of a comprehensive assessment of skills performed prior to the eligibility determination. Mark **"no"** if there is no documentation of this assessment.

## Eligibility

### VI-3. There is medical documentation of an eye impairment.

(Rule 6A-6.03014(4)(a), F.A.C.)

There must be medical documentation that at least one of the following criteria was met. Documentation may appear in the cumulative folder, in an eye report form, or in narrative from medical professionals. There must be a documented eye impairment as manifested by at least one of the following:

- A visual acuity of 20/70 or less in the better eye after correction
- A peripheral field so constricted that it affects the student's ability to function in an educational setting; based on the definition developed by the federal government for the purposes of registering legally blind individuals, the visual fields must subtend an angle of 20 degrees or fewer – this may be indicated by referencing tunnel vision, retinitis pigmentosa, or glaucoma, but degree of field limitation should be documented
- A progressive loss of vision that may affect the student's ability to function in an educational setting, not including students who have learning problems that are primarily the result of visual perceptual or visual motor difficulties
- For children below the age of five, or students who are unable to be otherwise assessed, bilateral lack of central, steady, or maintained fixation of vision with an estimated acuity of 20/70 or less after best correction; bilateral central scotoma to the permacula area (20/80–20/200); bilateral grades of III, IV, or V retinopathy of prematurity; or documented eye impairment as stated in the Evaluation Procedures section above

Mark **"yes"** if there is documentation of at least one of the above listed medical eye impairments. Mark **"no"** if there is no documentation of a medical eye impairment.

### VI-4. There is a documented functional vision loss.

(Rule 6A-6.03014(4)(a), F.A.C.)

Mark **"yes"** if there is evidence of a functional vision evaluation or assessment (see description under Evaluation Procedures) that documents vision loss. Mark **"no"** if there is no evidence of such an assessment or the assessment was conducted but does not reveal a functional vision loss.

### VI-5. The student needs special education.

(Rule 6A-6.03014(4)(b), F.A.C.)

To be eligible as a student with a visual impairment, the student must need special education to ensure access to the general education curriculum.

Mark **"yes"** if there is evidence that the student needs interventions or adaptations that significantly differ in intensity and duration from what can be provided solely through

general education resources. Mark “**no**” if there is evidence that the interventions required are available through general education resources.

**VI-6. The student meets eligibility criteria.**  
(Rule 6A-6.03014, F.A.C.)

Mark “**yes**” if VI-4 and VI-5 are both **yes**. Mark “**no**” if VI-4 or VI-5 or both are **no**.



Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Compliance Self-Assessment**

**Reevaluation**

This protocol is used when conducting a self-assessment of a student record for compliance with requirements related to reevaluation. When conducting this self-assessment, the reviewer **must** have access to the following information:

- Current IEP, including any conference notes
- Previous IEP
- The most recent evaluation or reevaluation for the student
- Progress reports from current and previous school year
- Report cards from current and previous school year
- Discipline record
- Attendance record

For each item (standard), refer to the guidance provided in this document when determining if the standard is met or not. Some standards include multiple components. Mark “**yes**” if **all** components are met. Mark “**no**” if **one or more** components are **not** met. Mark “**N/A**” if the standard **does not apply** to this student.

**RE-1. The school district determined that the educational or related services needs of the student, including improved academic achievement and functional performance, warranted a reevaluation or the student’s parent or teacher requested the reevaluation.**

(34 CFR §300.303(a) and Rule 6A-6.0331(7)(a), F.A.C.)

Review the student’s records for evidence that the school district determined that a reevaluation was warranted due to the student’s educational or related services needs or the student’s parent or teacher requested a reevaluation.

Mark “**yes**” if there is evidence that the school district determined that a reevaluation was warranted based upon the educational or related services needs of the student or a request by the student’s parent or teacher. Mark “**no**” if there is no evidence of such a determination, even after known educational or related services need or the student’s parent or teacher request. Mark “**N/A**” if there is evidence of a determination that no reevaluation is needed and there is no evidence that the student’s parent or teacher requested a reevaluation.

**RE-2. The student’s reevaluation has occurred at least once every three years, unless the parent and the school district agreed that the reevaluation was not needed. (A reevaluation may occur not more than once a year, unless the parent and the school district agree otherwise.)**

(34 CFR §300.303(b) and Rule 6A-6.0331(7)(b), F.A.C.)

Review the student’s records to determine if a reevaluation has occurred within the past three years, unless the parent and the school district agreed that the reevaluation was not needed. A reevaluation may occur not more than once a year, unless the parent and the school district agree otherwise.

Mark “**yes**” if there is evidence that a reevaluation has occurred or was considered within the past three years. Mark “**no**” if there is no evidence that a reevaluation

occurred or was considered at least once every three years. Mark “**N/A**” if a reevaluation was considered but the parent and the district agreed that the reevaluation was not warranted.

**RE-3. The team provided the parent with written notice of its proposal regarding reevaluation.**

(34 CFR §§300.300(c) and 300.503 and Rule 6A-6.03311(1), F.A.C.)

Review the student’s record. Mark “**yes**” if there is evidence of the provision of the written notice:

- A reasonable time before the reevaluation.
- In language understandable to the general public.
- In the native language of the parent or other mode of communication used by the parent. If the written notice could not be provided in the native language of the parent, there is evidence that steps were taken to ensure the parent understood the content of the notice.

To mark “**yes**,” the notice must also contain the following:

- A description of the action proposed
- An explanation of why the school district proposes or refuses the action
- A description of each evaluation, assessment, record, or report the LEA used as the basis for the decision
- A statement that the parents have procedural safeguard protections
- Sources for parents to contact for assistance in understanding their rights
- A description of other options considered and why they were rejected
- A description of any other factors relevant to the decision

Review the record to determine if prior written notice with all required components was provided. It may be on a form designated as *consent for reevaluation, referral, informed notice of proposal or refusal*, or some other form. If the notice was provided and included the information described above, mark “**yes**.” If the notice was not provided or if it was provided but did not include all of the information described above, mark “**no**.” If the parent provided the evaluation (i.e., an independent evaluation at parent expense), mark “**N/A**.”

**RE-4. The IEP team, and other qualified professionals, as appropriate, reviewed existing evaluation data on the student, which includes the following:**

- a. Evaluations and information provided by the parent(s) of the student and the student, as appropriate**
- b. Current classroom-based, local, or State assessments, and classroom-based observations**
- c. Observations by teachers and related services providers**

(34 CFR §300.305(a) and Rule 6A-6.0331(8)(a), F.A.C.)

Review the student’s record. Mark “**yes**” if the existing evaluation data considered by the team included the following: evaluations and information provided by the parents of the student, as appropriate; current classroom-based, local, or State assessments and classroom-based observations; and observations by teachers and related service providers (as applicable). Mark “**no**” if there is evidence that one or more of the requirements were not addressed (i.e., parents provided information that was not reviewed; student has related services provider(s), but no information or observations were reviewed).

- RE-5. The IEP team, and other qualified professionals, as appropriate, identified on the basis of their review and input from the student's parent(s) what additional data, if any, were needed to determine whether the student continues to have a disability.**

(34 CFR §300.305(a)(2)(i)(B) and Rule 6A-6.0331(8)(b)4., F.A.C.)

Mark **"yes"** if there is evidence that, on the basis of data review (as required in RE-4) and input from the student's parent(s), the IEP team identified what additional data, if any, were needed to determine whether the student continued to have a disability. Mark **"no"** if there is no evidence that the IEP team reviewed existing data or considered parent input.

- RE-6. The IEP team, and other qualified professionals, as appropriate, identified on the basis of their review and input from the student's parents what additional data, if any, were needed to determine the educational needs of the student.**

(34 CFR §300.305(a)(2)(i)(B) and Rule 6A-6.0331(8)(b)2., F.A.C.)

Mark **"yes"** if there is evidence that, on the basis of data review (as required in RE-4) and input from the student's parent(s), the IEP team identified what additional data, if any, were needed to determine the educational needs of the student. Mark **"no"** if there is no evidence that the IEP team reviewed existing data or considered parent input.

- RE-7. The IEP team, and other qualified professionals, as appropriate, identified on the basis of their review and input from the student's parents what additional data, if any, were needed to determine the present levels of academic achievement and related developmental needs of the student.**

(34 CFR §300.305(a)(2)(ii) and Rule 6A-6.0331(8)(b)3., F.A.C.)

Mark **"yes"** if there is evidence that, on the basis of data review (as required in RE-4) and input from the student's parent(s), the IEP team identified what additional data, if any, were needed to determine the present levels of academic achievement and related developmental needs of the student. Mark **"no"** if there is no evidence that the IEP team reviewed existing data or considered parent input.

- RE-8. The IEP team, and other qualified professionals, as appropriate, identified on the basis of their review and input from the student's parent(s) what additional data, if any, were needed to determine whether the student continues to need special education and related services.**

(34 CFR §300.305(a)(2)(iii)(B) and Rule 6A-6.0331(8)(b)4., F.A.C.)

Mark **"yes"** if there is evidence that, on the basis of data review (as required in RE-4) and input from the student's parent(s), the IEP team identified what additional data, if any, were needed to determine whether the student continues to need special education and related services. Mark **"no"** if there is no evidence that the IEP team reviewed existing data or considered parent input.

- RE-9. The IEP team, and other qualified professionals, as appropriate, identified on the basis of their review and input from the student's parent(s) what additional data, if any, were needed to determine whether any additions or modifications to the special education and related services are needed to enable the student to meet the measurable annual goals set out in the student's IEP and to participate, as appropriate, in the general education curriculum.**

(34 CFR §300.305(a)(2)(iv) and Rule 6A-6.0331(8)(b)5., F.A.C.)

Mark **“yes”** if there is evidence that, on the basis of data review (as required in RE-4) and input from the student’s parent(s), the IEP team identified what additional data, if any, were needed to determine whether any additions or modifications to the special education and related services are needed to enable the student to meet the measurable annual goals set out in the student’s IEP and to participate, as appropriate, in the general education curriculum. Mark **“no”** if there is no evidence that the IEP team reviewed existing data or considered parent input.

**RE-10. The review was conducted without a meeting. There is documentation to verify this.**

(34 CFR §300.305(b) and Rule 6A-6.0331(8)(c), F.A.C.)

Review the student’s record to determine if there is documentation indicating whether the review was conducted during a meeting. Mark **“yes”** if there is documentation indicating that the review was conducted without a meeting. Mark **“no”** if there is no documentation indicating how the review was conducted. Mark **“N/A”** if the review was conducted during a meeting.

**RE-11. For a student who has been determined eligible for ESE as a student who is deaf or hard-of-hearing, the reevaluation included, at a minimum, an audiological evaluation, and if, appropriate, any other formal evaluations addressed in the student’s initial evaluation that may have included the following:**

- a. Evaluation of developmental skills or academic achievement, including information on the student’s academic strengths and weaknesses
- b. Evaluation of social development
- c. Evaluation of receptive and expressive communication
- d. A comprehensive nonverbal assessment of intellectual functioning or developmental scales, if more appropriate, for children under age seven

(Rule 6A-6.03013(5), F.A.C.)

Review the student’s record. Mark **“yes”** if there is evidence of an audiological evaluation **and** evidence of any other formal evaluations (see a–d listed above) if determined necessary by the student’s IEP team in order to determine if the student continues to meet eligibility criteria as a student who is deaf or hard-of-hearing. Mark **“no”** if there is no evidence that an audiological evaluation was completed or there is evidence that any other formal evaluations addressed were needed but not in the initial evaluation but not completed. Mark **“N/A”** if the student has not been determined eligible as a student who is deaf or hard-of-hearing.

**RE-12. For a student who has been determined eligible for ESE as a student who is visually impaired, the reevaluation included the following:**

- a. A minimum of a medical eye examination within the last calendar year
- b. Functional vision evaluation
- c. Learning media assessment
- d. If appropriate, any other formal evaluations addressed in the initial evaluation in accordance with Rule 6A-6.0331, F.A.C.

**(The medical aspect of a reevaluation for students with bilateral anophthalmia may be waived by a written recommendation of a physician.)**

(Rule 6A-6.03014(b), F.A.C.)

According to Rule 6A-6.0331, F.A.C., a group that includes members of the IEP team as well as other qualified individuals may review existing data and determine whether

additional data is needed in order to determine if a student continues to meet eligibility criteria as student who is visually impaired. However, a medical eye examination, functional vision evaluation, and learning media assessment are required for reevaluation.

Mark “**yes**” if there is evidence of a medical eye examination completed within the calendar year prior to the reevaluation date and completion of a functional vision evaluation and learning media assessment. Mark “**no**” if there is evidence that a medical eye examination was **not** completed within the calendar year prior to the reevaluation **or** a functional vision evaluation and learning media assessment were **not** completed. Mark “**N/A**” if the student has not been determined eligible as a student who is visually impaired.

**RE-13. This student has been determined eligible for ESE as a student who is dual-sensory impaired. The reevaluation included the following:**

- a. For students who are under the age of three years:**
  - 1. A medical eye exam describing etiology, diagnosis, and prognosis**
  - 2. Documented observation of functional vision which includes possible impediments to visual use**
  - 3. An audiological exam, and**
  - 4. Documented observation of auditory functioning**
- b. For students who are over the age of three years:**
  - 1. All items included in (a)**
  - 2. An assessment of speech and language functioning, which includes a differential diagnosis of the student’s linguistic abilities and of modality strengths and preferences**
  - 3. An assessment of intellectual functioning, developmental level, or academic functioning**
- c. Any other evaluations specified by an evaluation specialist and an exceptional student teacher after examination of available information in all areas addressed in the initial evaluation or in subsequent reevaluations of the student.**

(Rule 6A-6.03022(4), F.A.C.)

**Note:** The medical aspect of reevaluation for students with bilateralanophthalmia may be waived by a written recommendation of a physician.

Documentation of a medical eye exam may appear in an eye report form developed by the district or the Division of Blind Services or in narrative but must describe etiology; diagnosis; corrected and uncorrected acuity measures for left, right, and both eyes; measure of field of vision; recommended actions for lighting levels, physical activity, and the use of aides or glasses, as appropriate; and prognosis. If the medical professional does not complete the information requested or required, documentation of efforts to obtain the information may include notations from telephone conversations with the medical professional and written correspondence, such as letters, questionnaires, or checklists.

There must be evidence that qualified personnel conducted a functional vision observation that included assessment of skills appropriate to the student’s chronological age or developmental level.

There must be evidence that qualified personnel conducted a functional hearing observation that included assessment of skills appropriate to the student’s

chronological age or developmental level. A narrative description of the student's auditory functioning may be used as documentation.

For students under the age of three years, mark **"yes"** if there is a yes response to items (a) 1–4 and (c) above. Mark **"no"** if there is a no response to any of the items.

For students over the age of three (3) years, mark **"yes"** if there is a yes response to (b) 1–3 and (c) above. Mark **"no"** if there is a no response to any of the items.

Mark **"N/A"** if the student has not been determined eligible as dual-sensory impaired.

**RE-14. Upon the determination by the IEP team and other qualified professionals, as appropriate, that no additional data were needed to determine whether the student continued to be a student with a disability and to determine the student's educational needs, the school district notified the student's parent(s) of:**

- a. **The determination and the reasons for the determination; and**
- b. **The right of the parent(s) to request an assessment to determine whether the student continued to be a student with a disability and determine the student's educational needs**

(34 CFR §300.305(d) and Rule 6A-6.0331(8)(e), F.A.C.)

Review the student's record to determine if there is evidence that the IEP team notified the student's parent(s) that it was determined that no additional data were needed. Mark **"yes"** if there is evidence of (a) and (b) above. Mark **"no"** if the response to (a) or (b) or both are no. Mark **"N/A"** if additional data were needed.

**RE-15. The review was conducted during a meeting. The appropriate IEP team members, including the parent(s), were invited.**

(34 CFR §300.305(a) and Rule 6A-6.0331(8)(a), F.A.C.)

Review the student's record to determine if there is documentation indicating whether the review was conducted during a meeting, and if so, whether the appropriate IEP team members were invited. Mark **"yes"** if there is documentation indicating that the review was conducted during a meeting and the appropriate IEP team members were invited. Mark **"no"** if there is no documentation indicating how the review was conducted or the appropriate IEP team members were not invited. Mark **"N/A"** if the review was conducted without a meeting.

**RE-16. The school district obtained informed parental consent prior to conducting a reevaluation of this student.**

(34 CFR §300.300(c)(1)(i) and Rule 6A-6.0331(7)(c), F.A.C.)

(The informed parental consent for reevaluation need not be obtained if the school district can demonstrate that it made reasonable efforts to obtain such consent and the student's parent has failed to respond. In addition, if the parent refuses consent for reevaluation, the school district may use the consent override provisions of mediation or due process. However, the consent override is not a requirement.)

Compare the dates of consent (parent signature) and the administration of the first reevaluation procedure conducted as part of the reevaluation. If the date of the first evaluation procedure is after the receipt of consent, mark **"yes."** If the district

administered the first reevaluation procedure prior to the receipt of consent, mark “**no**.” If the parent provided the entire reevaluation (i.e., an independent evaluation at parent expense) and the district did not conduct additional assessments or reevaluation procedures, mark “**N/A**.” If the district did not conduct additional assessments or reevaluation procedures based on the determination that no new data were needed and the parent did not provide additional assessments, mark “**N/A**.”

**RE-17. The reevaluation was conducted prior to the determination that the student was no longer a student with a disability.**

(34 CFR §300.300(c)(2) and Rule 6A-6.0331(7)(e), F.A.C.)

Review the student’s record for the date of determination that the student was no longer a student with a disability and the date that the reevaluation was conducted.

Mark “**yes**” if there is documentation that the reevaluation date was before the date the student was determined no longer a student with a disability. Mark “**no**” if the reevaluation date was after the date the student was determined no longer a student with a disability. Mark “**N/A**” if the student continues to be a student with a disability.

**RE-18. The school district completed the reevaluation within a reasonable time following the reevaluation review that identified the need for additional assessment.**

(34 CFR §300.305(e) and Rule 6A-6.0331(8)(b)1., F.A.C.)

Review the student’s record to determine if there is documentation of the reevaluation review that identified the need for additional assessment. Compare the dates of the last administered evaluation instrument against the date of the reevaluation review that identified the need for additional assessment. Mark “**yes**” if the reevaluation was completed within a reasonable time after the reevaluation review. Mark “**no**” if the documentation supports that the reevaluation was not completed within a reasonable time after the reevaluation review. Check the “Student Evaluation and Reevaluations” section of the district’s (SP&P) for any district guidance. Mark “**N/A**” if the reevaluation review did not identify the need for additional assessment.

**RE-19. The school district provided the student with a summary of the student’s academic achievement and functional performance, including recommendations to assist the student in meeting the student’s postsecondary goals.**

(34 CFR §300.305(e)(3) and Rule 6A-6.0331(8)(f), F.A.C.)

This summary of performance is required for students whose eligibility is terminating due to graduation with a standard diploma or exiting from school upon reaching the student’s 22<sup>nd</sup> birthday. If applicable for the school, review the student’s record to determine if there is documentation of a summary of the student’s academic achievement and functional performance, including recommendations to assist the student in meeting the student’s postsecondary goals.

Mark “**yes**” if there is documentation of the student’s academic achievement and functional performance, including recommendations to assist the student in meeting the student’s postsecondary goals. Mark “**no**” if there is insufficient documentation. Mark “**N/A**” if eligibility for this student is not terminating due to graduation with a standard diploma or exiting from school upon reaching the student’s 22<sup>nd</sup> birthday.

**RE-20. The student's IEP team made a recommendation for the student to receive an assistive technology assessment. That assessment was completed within 60 school days after the team's recommendation.**

(Section 1003.575, F.S.)

Compare the date of the administered assistive technology assessment with the date of the IEP team's recommendation. Mark "**yes**" if the date of the assistive technology assessment was conducted within 60 school days of the IEP team's recommendation. Mark "**no**" if the last administered evaluation was not conducted within 60 school days of the IEP team's recommendation. Mark "**N/A**" if there was no IEP team recommendation for the student to receive an assistive technology assessment.

Florida Department of Education  
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**Compliance Self-Assessment**

**Restraint and Seclusion**

This protocol addresses the required school-based standards for restraint and seclusion. When conducting this self-assessment, the reviewer **must** have access to a student's incident report for restraint or seclusion, any signed acknowledgement of the parent's or guardian's receipt of the same-day written notification and written incident report, and documentation of the following:

- The provision of same-day written notification of the incident of restraint or seclusion, including the type of restraint used and any injuries occurring during or resulting from the restraint or seclusion, before the end of the school day on which the restraint or seclusion occurred
- Reasonable efforts to contact the parent or guardian via telephone or email on the day of the incident
- Attempts to obtain signed acknowledgement of the same-day written notification if the parent or guardian failed to respond
- The provision of the written incident report to the parent or guardian by mail within three school days of the incident of restraint or seclusion
- Attempts to obtain signed acknowledgement of the incident report if the parent or guardian failed to respond

Information from each of these will be used to determine the extent to which specific standards are met. For each standard, refer to the guidance provided in this document when determining if it is met. Some standards include multiple components.

Mark **"yes"** if **all** components are met. Mark **"no"** if one or more components are **not** met.

**RS-1. The parent or guardian was provided with same-day notification in writing of any incident of restraint or seclusion before the end of the school day on which the restraint or seclusion occurred. The notification included the type of restraint used and any injuries occurring during or resulting from the restraint or seclusion.**

(Section 1003.573(1)(c), F.S.)

A school must provide a same-day notification in writing to the parent or guardian of a student each time manual physical restraint or seclusion is used. Review the documentation to verify that the written same-day notification was provided to the parent or guardian before the end of the school day on which the restraint or seclusion occurred.

Review the same-day notification of the incident of restraint or seclusion to determine if it includes the following details:

- a. The type of restraint used
- b. Any injuries that occurred during or resulted from the restraint or seclusion

Mark **"yes"** if the same-day written notification was provided to the parent or guardian before the end of the school day on which the restraint or seclusion occurred

and includes (a) and (b) above. Mark “no” if the same-day written notification was not provided to the parent or guardian before the end of the school day on which the restraint or seclusion occurred or does not include (a) or (b).

**RS-2. Reasonable efforts were made to contact the parent or guardian via telephone or email on the day of the incident of restraint or seclusion.**

(Section 1003.573(1)(c), F.S.)

Review the student’s restraint and seclusion folder or the school’s data log related to restraint and seclusion. Mark “yes” if there is documentation indicating reasonable efforts to contact the parent or guardian via telephone or email on the day of the incident. Mark “no” if there is no documentation.

**RS-3. The school has the documentation of the parent’s or guardian’s signed acknowledgement of the same-day written notification or a minimum of two attempts to obtain signed acknowledgement when the parent or guardian failed to respond to the initial same-day written notification.**

(Section 1003.573(1)(c), F.S.)

When the parent or guardian failed to respond to the initial same-day written notification, the school made at least two attempts to obtain written acknowledgement.

Mark “yes” if the school has a copy of the signed acknowledgement of the same-day written notification or if the school has documentation of at least two attempts to receive the signed acknowledgement. Mark “no” if the school doesn’t have a copy of the signed acknowledgement of the same-day written notification or documentation of at least two attempts to receive the signed acknowledgement.

**RS-4. The parent or guardian was provided with a completed written incident report by mail within three school days of any incident of restraint or seclusion.**

(Section 1003.573(1)(d), F.S.)

Review the student’s restraint and seclusion folder or the school’s data log related to restraint and seclusion. Mark “yes” if the documentation indicates that the written incident report was mailed to the parent within three school days of the incident. Mark “no” if the documentation indicates that the written incident report was not mailed within three school days of the incident.

**RS-5. The school has documentation of the parent’s or guardian’s signed acknowledgement of receipt of the written incident report or a minimum of two attempts to obtain signed acknowledgement when the parent or guardian failed to respond to the written incident report.**

(Section 1003.573(1)(d), F.S.)

When the parent or guardian failed to respond to the written incident report, the school made at least two attempts to obtain signed acknowledgement.

Mark “yes” if the school has a copy of the signed acknowledgement of the written incident report or if the school has documentation of at least two attempts to receive the signed acknowledgement. Mark “no” if the school doesn’t have a copy of the signed acknowledgement of the written incident report or documentation of at least two attempts to receive the signed acknowledgement.

Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Compliance Self-Assessment**

**Department of Juvenile Justice (DJJ)**

When conducting a self-assessment of an IEP of a student in a DJJ program, **use the IEP and IPI protocols**. To conduct this review, the reviewer should have access to the student's records. At a minimum, the documents listed below are required. Information from each of these will be used to determine the extent to which specific standards are met.

- Previous and current IEPs (to be reviewed)
- Notice of the IEP team meeting
- Progress reports from the current and past school year
- Report cards from the current and past school year
- Results of FCAT 2.0 or other statewide or districtwide assessment
- Discipline record
- Attendance record
- Teacher or provider lesson plans, grade books, notes or logs, rosters, schedules, correspondence



## Exceptional Education and Student Services

**Compliance Self-Assessment****Matrix of Services**

This matrix of services review protocol is intended to be used in conjunction with the *ESE/FEFP Matrix of Services Handbook, 2012 Edition*, Florida Department of Education (Matrix Handbook). The services checked on the matrix must be based on the information contained in the student's current individual educational plan (IEP). The IEP, not the matrix of services document, determines the special education services a student will receive. The services identified on the IEP and subsequently checked on the matrix must be based on the individual needs resulting from a student's disability and may not simply reflect services offered to all students in a particular class or program. For specific information regarding which students require a matrix and when they must be completed, please refer to the Matrix Handbook referenced above.

For this protocol, only a summary of the self-assessment is reported via the website. Use hard copies of the matrix of services protocol (available for download as a PDF document from the ESE General Supervision Website at <http://beess.fcim.org/>) to conduct the review and then submit the summary data as requested via the website. The steps to be followed when using the matrix review form are described below. Use of the Matrix Handbook is required when conducting this review.

- 1. Identify the levels of service (1–5) indicated on the current matrix for each domain, including which specific services are reported. Check the appropriate box(es) under the “reported at” row.**
- 2. Review the IEP for evidence of the student’s need for the identified service. Using the codes provided, indicate the source of the evidence.**

Appropriate places for documentation on the IEP include the present level of educational performance statements, measurable annual goals, and short-term objectives or benchmarks. Information regarding individual needs may also be documented in IEP conference notes. Evidence that the student needs the type and intensity of services identified on the IEP and on the matrix should be documented in the student's present level of educational performance statement(s), annual goals (and short-term objectives or benchmarks, if applicable), or the IEP conference notes.

- 3. Review the IEP for evidence of the identified service. Using the codes provided, indicate the source of the evidence.**

This information may be found under special education services, related services, supplemental aids and services, program modifications, supports for personnel, or in other components of the IEP. Documentation may also include statements on the IEP regarding modifications or accommodations or regarding delivery models necessary to provide appropriate special education services. Examples are provided in the Matrix Handbook for each domain and each level of service (denoted by a check mark) and prerequisites for specific services or required evidence (denoted by a caret) are included.

- 4. Review on-site to determine if the services are being implemented as indicated on the IEP and the matrix form. Using the codes provided, indicate the source of the evidence.**

Evidence may be found in notes or logs, rosters or schedules, correspondence, lesson plans, grade books, phone logs, materials or equipment, or through interviews or observations

- 5. Based on the evidence from steps 2–4, identify the highest levels of service that are supported by the IEP and for which there is additional evidence of implementation. Check the appropriate box(es) under the “reviewed at” column on the matrix of services review protocol.**

Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Compliance Self-Assessment**

**Matrix of Services**

**Domain A: Curriculum and Learning Environment**

Domain A: Curriculum and Learning Environment					
Reported at	Reviewed at	Reported Matrix Services	(A) IEP Need	(B) IEP Service	(C) Source
<b>Level 1</b>					
A.1.1	<input type="checkbox"/>	<input type="checkbox"/>	Requires no services or assistance beyond that which is normally available to all students		
<b>Level 2</b>					
A.2.1	<input type="checkbox"/>	<input type="checkbox"/>	Accommodations or supports to the general curriculum		
A.2.2	<input type="checkbox"/>	<input type="checkbox"/>	Curriculum compacting		
A.2.3	<input type="checkbox"/>	<input type="checkbox"/>	Differentiated instruction		
A.2.4	<input type="checkbox"/>	<input type="checkbox"/>	Electronic tools used independently		
A.2.5	<input type="checkbox"/>	<input type="checkbox"/>	Accessible instructional materials		
A.2.6	<input type="checkbox"/>	<input type="checkbox"/>	Accommodations on assessment or accessible assessment materials		
A.2.7	<input type="checkbox"/>	<input type="checkbox"/>	Assistance with note taking and studying		
A.2.8	<input type="checkbox"/>	<input type="checkbox"/>	Referrals to agencies		
A.2.9	<input type="checkbox"/>	<input type="checkbox"/>	Consultation on a monthly basis with teachers, family, agencies, or other providers		
<b>Level 3</b>					
A.3.1	<input type="checkbox"/>	<input type="checkbox"/>	Differentiated curriculum		
A.3.2	<input type="checkbox"/>	<input type="checkbox"/>	Electronic tools and assistive technology used with assistance		
A.3.3	<input type="checkbox"/>	<input type="checkbox"/>	Alternate textbooks, materials, assessments, assignments, or equipment		
A.3.4	<input type="checkbox"/>	<input type="checkbox"/>	Special assistance in general education class requiring weekly consultation		
A.3.5	<input type="checkbox"/>	<input type="checkbox"/>	Assistance for some learning activities in the general education setting		
A.3.6	<input type="checkbox"/>	<input type="checkbox"/>	Direct, specialized instruction for some learning activities		
A.3.7	<input type="checkbox"/>	<input type="checkbox"/>	Weekly collaboration with family, agencies, or other providers		
<b>Level 4</b>					
A.4.1	<input type="checkbox"/>	<input type="checkbox"/>	Extensive creation of special materials		
A.4.2	<input type="checkbox"/>	<input type="checkbox"/>	Direct, specialized instruction or curriculum for the majority of learning activities		

Domain A: Curriculum and Learning Environment						
Reported at	Reviewed at	Reported Matrix Services	(A) IEP Need	(B) IEP Service	(C) Source	
A.4.3	<input type="checkbox"/>	<input type="checkbox"/>	Instruction delivered within the community			
A.4.4	<input type="checkbox"/>	<input type="checkbox"/>	Assistance for the majority of learning activities			
A.4.5	<input type="checkbox"/>	<input type="checkbox"/>	Assistive technology used with supervision for the majority of learning activities			
<b>Level 5</b>						
A.5.1	<input type="checkbox"/>	<input type="checkbox"/>	Instruction in reading braille			
A.5.2	<input type="checkbox"/>	<input type="checkbox"/>	Intensive curriculum or instructional approach for all learning activities			
A.5.3	<input type="checkbox"/>	<input type="checkbox"/>	Group instruction at home or hospital			
A.5.4	<input type="checkbox"/>	<input type="checkbox"/>	Individual instruction at home or hospital			
A.5.5	<input type="checkbox"/>	<input type="checkbox"/>	Ongoing, continuous assistance for participation in learning activities			

(A) Need	(a) none
	(b) present level
	(c) annual goals
	(d) objective/benchmark
	(e) other

(B) IEP Service	(f) none	(k) modifications
	(g) spec. ed. services	(l) other
	(h) related services	
	(i) supplemental aids	
	(j) support for personnel	

(C) Source	(m) none	(r) phone logs
	(n) notes/logs	(s) materials/equipment
	(o) rosters/schedules	(t) interview/observation
	(p) correspondence	(u) other
	(q) lesson/grade book	

**Domain B: Social Emotional Behavior**

Domain B: Social Emotional Behavior					
Reported at	Reviewed at	Reported Matrix Services	(A) IEP Need	(B) IEP Service	(C) Source
<b>Level 1</b>					
B.1.1	<input type="checkbox"/>	<input type="checkbox"/>	Requires no services or assistance beyond that which is normally available to all students		
<b>Level 2</b>					
B.2.1	<input type="checkbox"/>	<input type="checkbox"/>	Consultation on a monthly basis with teachers, family, agencies, or other providers		
B.2.2	<input type="checkbox"/>	<input type="checkbox"/>	Specialized instruction or activities in self-advocacy and understanding of exceptionality		
B.2.3	<input type="checkbox"/>	<input type="checkbox"/>	Behavior management system in general class		
B.2.4	<input type="checkbox"/>	<input type="checkbox"/>	Monthly counseling or guidance		
B.2.5	<input type="checkbox"/>	<input type="checkbox"/>	Monthly assessment of behavior or social skills		
<b>Level 3</b>					
B.3.1	<input type="checkbox"/>	<input type="checkbox"/>	Small group instruction in social skills, self-regulatory behavior, self-advocacy, conflict resolution, dealing with authority, and socialization		
B.3.2	<input type="checkbox"/>	<input type="checkbox"/>	Weekly counseling or guidance		
B.3.3	<input type="checkbox"/>	<input type="checkbox"/>	Behavior contract, including behavior outside the classroom		
B.3.4	<input type="checkbox"/>	<input type="checkbox"/>	Weekly family counseling, assessment, or interventions		
B.3.5	<input type="checkbox"/>	<input type="checkbox"/>	Referral and follow-up for transitions to and from community-based programs		
B.3.6	<input type="checkbox"/>	<input type="checkbox"/>	Weekly assessment of behavior as part of behavioral intervention plan		
B.3.7	<input type="checkbox"/>	<input type="checkbox"/>	Weekly collaboration with teachers, family, agencies, or other providers		
<b>Level 4</b>					
B.4.1	<input type="checkbox"/>	<input type="checkbox"/>	Highly structured, individual behavioral intervention plan infused throughout the school day		
B.4.2	<input type="checkbox"/>	<input type="checkbox"/>	Daily counseling or specific instruction on social or emotional behavior		
B.4.3	<input type="checkbox"/>	<input type="checkbox"/>	Daily reports to family, agencies, or others		
<b>Level 5</b>					
B.5.1	<input type="checkbox"/>	<input type="checkbox"/>	Intensive, individualized behavior management plan that requires very small group or one-on-one intervention		
B.5.2	<input type="checkbox"/>	<input type="checkbox"/>	Therapeutic treatment infused throughout the educational program		
B.5.3	<input type="checkbox"/>	<input type="checkbox"/>	Wraparound services for up to 24-hour care		

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(A) Need	(a) none
	(b) present level
	(c) annual goals
	(d) objective/benchmark
	(e) other

(B) IEP Service	(f) none	(k) modifications
	(g) spec. ed. services	(l) other
	(h) related services	
	(i) supplemental aids	
	(j) support for personnel	

(C) Source	(m) none	(r) phone logs
	(n) notes/logs	(s) materials/equipment
	(o) rosters/schedules	(t) interview/observation
	(p) correspondence	(u) other
	(q) lesson/grade book	

**Domain C: Independent Functioning**

Domain C: Independent Functioning					
Reported at	Reviewed at	Reported Matrix Services	(A) IEP Need	(B) IEP Service	(C) Source
<b>Level 1</b>					
C.1.1	<input type="checkbox"/>	<input type="checkbox"/>	Requires no services or assistance beyond that which is normally available to all students		
<b>Level 2</b>					
C.2.1	<input type="checkbox"/>	<input type="checkbox"/>	Monthly personal assistance with materials or equipment		
C.2.2	<input type="checkbox"/>	<input type="checkbox"/>	Consultation on a monthly basis with teachers, family, therapists, service coordinator, or other providers		
C.2.3	<input type="checkbox"/>	<input type="checkbox"/>	Organizational strategies or supports for independent functioning		
C.2.4	<input type="checkbox"/>	<input type="checkbox"/>	Special equipment, furniture, strategies, or supports for motor control in the classroom		
<b>Level 3</b>					
C.3.1	<input type="checkbox"/>	<input type="checkbox"/>	Specially designed organizational strategies or supports for independent functioning		
C.3.2	<input type="checkbox"/>	<input type="checkbox"/>	Supervision to ensure physical safety during some daily activities		
C.3.3	<input type="checkbox"/>	<input type="checkbox"/>	Weekly instruction in self-monitoring of independent living skills		
C.3.4	<input type="checkbox"/>	<input type="checkbox"/>	Weekly monitoring of or assistance with independent living skills, materials, or equipment		
C.3.5	<input type="checkbox"/>	<input type="checkbox"/>	Weekly collaboration with teachers, family, agencies, or other providers		
<b>Level 4</b>					
C.4.1	<input type="checkbox"/>	<input type="checkbox"/>	Supervision to ensure physical safety during the majority of activities		
C.4.2	<input type="checkbox"/>	<input type="checkbox"/>	Individual assistance or supervision in activities of daily living, self-care, and self-management for part of the day		
C.4.3	<input type="checkbox"/>	<input type="checkbox"/>	Special equipment or assistive technology for personal care with frequent assistance		
C.4.4	<input type="checkbox"/>	<input type="checkbox"/>	Regularly scheduled occupational therapy, physical therapy, or orientation and mobility training		
<b>Level 5</b>					
C.5.1	<input type="checkbox"/>	<input type="checkbox"/>	Continuous supervision to ensure physical safety		
C.5.2	<input type="checkbox"/>	<input type="checkbox"/>	Individual assistance or supervision in activities of daily living, self-care, and self-management for the majority of the day		
C.5.3	<input type="checkbox"/>	<input type="checkbox"/>	Occupational therapy, physical therapy, or orientation and mobility training more than once a week		
C.5.4	<input type="checkbox"/>	<input type="checkbox"/>	Multiple therapies and services (physical therapy, occupational therapy, or orientation and mobility training)		

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(A) Need	(a) none
	(b) present level
	(c) annual goals
	(d) objective/benchmark
	(e) other

(B) IEP Service	(f) none	(k) modifications
	(g) spec. ed. services	(l) other
	(h) related services	
	(i) supplemental aids	
	(j) support for personnel	

(C) Source	(m) none	(r) phone logs
	(n) notes/logs	(s) materials/equipment
	(o) rosters/schedules	(t) interview/observation
	(p) correspondence	(u) other
	(q) lesson/grade book	

**Domain D: Health Care**

Domain D: Health Care					
Reported at	Reviewed at	Reported Matrix Services	(A) IEP Need	(B) IEP Service	(C) Source
<b>Level 1</b>					
D.1.1	<input type="checkbox"/>	<input type="checkbox"/>	Requires no services or assistance beyond that which is normally available to all students		
<b>Level 2</b>					
D.2.1	<input type="checkbox"/>	<input type="checkbox"/>	Monthly personal health care assistance		
D.2.2	<input type="checkbox"/>	<input type="checkbox"/>	Consultation on a monthly basis with student, teachers, family, agencies, or other providers		
D.2.3	<input type="checkbox"/>	<input type="checkbox"/>	Monthly monitoring of health status, procedures, or medication		
D.2.4	<input type="checkbox"/>	<input type="checkbox"/>	Specialized administration of medication		
D.2.5	<input type="checkbox"/>	<input type="checkbox"/>	Monthly assistance with agency referrals or coordination		
<b>Level 3</b>					
D.3.1	<input type="checkbox"/>	<input type="checkbox"/>	Weekly monitoring or assessment of health status, procedures, or medication		
D.3.2	<input type="checkbox"/>	<input type="checkbox"/>	Weekly counseling with student or family for related health care needs		
D.3.3	<input type="checkbox"/>	<input type="checkbox"/>	Weekly communication with family, physician, agencies, or other health-related personnel		
D.3.4	<input type="checkbox"/>	<input type="checkbox"/>	Invasive or specialized administration of medication		
D.3.5	<input type="checkbox"/>	<input type="checkbox"/>	Weekly collaboration with family, physician, agencies, or others		
<b>Level 4</b>					
D.4.1	<input type="checkbox"/>	<input type="checkbox"/>	Daily assistance with or monitoring and assessment of health status, procedures, or medication		
D.4.2	<input type="checkbox"/>	<input type="checkbox"/>	Daily assistance with or monitoring of, equipment related to health care needs		
D.4.3	<input type="checkbox"/>	<input type="checkbox"/>	Administration of non-oral medication		
D.4.4	<input type="checkbox"/>	<input type="checkbox"/>	Daily communication with family, physician, agencies, or other health-related personnel		
<b>Level 5</b>					
D.5.1	<input type="checkbox"/>	<input type="checkbox"/>	Daily assistance with procedures such as catheterization, suctioning, or tube feeding		
D.5.2	<input type="checkbox"/>	<input type="checkbox"/>	Continuous monitoring and assistance related to health care needs		

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(A) Need	(a) none
	(b) present level
	(c) annual goals
	(d) objective/benchmark
	(e) other

(B) IEP Service	(f) none	(k) modifications
	(g) spec. ed. services	(l) other
	(h) related services	
	(i) supplemental aids	
	(j) support for personnel	

(C) Source	(m) none	(r) phone logs
	(n) notes/logs	(s) materials/equipment
	(o) rosters/schedules	(t) interview/observation
	(p) correspondence	(u) other
	(q) lesson/grade book	

## Domain E: Communication

Domain E: Communication					
Reported at	Reviewed at	Reported Matrix Services	(A) IEP Need	(B) IEP Service	(C) Source
<b>Level 1</b>					
E.1.1	<input type="checkbox"/>	<input type="checkbox"/>			Requires no services or assistance beyond that which is normally available to all students
<b>Level 2</b>					
E.2.1	<input type="checkbox"/>	<input type="checkbox"/>			Monthly assistance with communication
E.2.2	<input type="checkbox"/>	<input type="checkbox"/>			Occasional assistance with personal amplification or communication system
E.2.3	<input type="checkbox"/>	<input type="checkbox"/>			Consultation on a monthly basis with teachers, family, agencies, or other providers
<b>Level 3</b>					
E.3.1	<input type="checkbox"/>	<input type="checkbox"/>			Weekly intervention or assistance with language or communication
E.3.2	<input type="checkbox"/>	<input type="checkbox"/>			Weekly speech or language therapy or instruction
E.3.3	<input type="checkbox"/>	<input type="checkbox"/>			Weekly assistance with personal amplification or communication system
E.3.4	<input type="checkbox"/>	<input type="checkbox"/>			Weekly supervision of augmentative or alternative communication systems
E.3.5	<input type="checkbox"/>	<input type="checkbox"/>			Weekly collaboration with teachers, family, agencies, or others
<b>Level 4</b>					
E.4.1	<input type="checkbox"/>	<input type="checkbox"/>			Daily assistance or instruction with communication equipment
E.4.2	<input type="checkbox"/>	<input type="checkbox"/>			Daily integrated intervention and assistance related to communication needs
E.4.3	<input type="checkbox"/>	<input type="checkbox"/>			Instruction in sign language for use as the primary method of communication
E.4.4	<input type="checkbox"/>	<input type="checkbox"/>			Interpreting services for part of the school day
<b>Level 5</b>					
E.5.1	<input type="checkbox"/>	<input type="checkbox"/>			Continuous assistance or instruction with communication equipment
E.5.2	<input type="checkbox"/>	<input type="checkbox"/>			Interpreting services for the majority or all of the school day
E.5.3	<input type="checkbox"/>	<input type="checkbox"/>			Multiple, continuous interventions to replace ineffective communication and establish appropriate communication

(A) Need	(a) none
	(b) present level
	(c) annual goals
	(d) objective/benchmark
	(e) other

(B) IEP Service	(f) none	(k) modifications
	(g) spec. ed. services	(l) other
	(h) related services	
	(i) supplemental aids	
	(j) support for personnel	

(C) Source	(m) none	(r) phone logs
	(n) notes or logs	(s) materials/equipment
	(o) rosters/schedules	(t) interview/observation
	(p) correspondence	(u) other
	(q) lesson/grade book	

**Appendix B:**  
**District-Required Activities**



Florida Department of Education  
 Bureau of Exceptional Education and Student Services

**ESE Compliance Monitoring: District-Required Activities  
 2013-14**

The table below identifies, by district, the specific self-assessment protocols to be completed through the self-assessment process and the number of records required for each protocol. Requirements may vary for districts receiving Level 3 monitoring and assistance. This information is current as of the dissemination date of this manual.

A given student’s record may be used to complete more than one protocol, as applicable. For example, a district may select a record to assess using the DJJ protocol, and then use that same student’s record to complete the SPP 13 – Secondary Transition protocol. This same record also could be used for a matrix review if the student is claimed for weighted funding through the FEFP at a 254 or 255 cost factor.

Size	District	Level 1 Fall Cycle				
		SPP 13 Secondary Transition	DJJ	Matrix	Restraint or Seclusion	IEP Implementation
M	Alachua	8	8	7	0	0
S	Baker	5	0	3	3	5
M	Bay	8	6	7	0	0
S	Bradford	5	0	3	3	5
L	Brevard	11	8	9	9	11
VL	Broward	15	10	11	11	15
S	Calhoun	5	0	3	3	5
MS	Charlotte	6	0	5	0	0
MS	Citrus	6	5	5	5	6
M	Clay	8	0	7	7	8
L	Collier	11	7	9	9	11
MS	Columbia	6	0	5	5	6
VL	Dade	15	11	11	0	0
S	DeSoto	5	5	3	3	5
S	Dixie	5	0	3	3	5
VL	Duval	15	10	11	11	15
L	Escambia	11	8	9	0	0
MS	Flagler	6	0	5	5	6
S	Franklin	5	0	3	3	5
S	Gadsden	5	0	3	0	0
S	Gilchrist	5	0	3	3	5
S	Glades	5	5	3	3	5

District-Required Activities

Size	District	Level 1 Fall Cycle				
		SPP 13 Secondary Transition	DJJ	Matrix	Restraint or Seclusion	IEP Implementation
S	Gulf	5	0	3	3	5
S	Hamilton	5	0	3	0	0
S	Hardee	5	0	3	3	5
MS	Hendry	6	0	5	5	6
M	Hernando	8	0	7	7	8
MS	Highlands	6	0	5	0	0
VL	Hillsborough	15	13	11	0	0
S	Holmes	5	0	3	3	5
MS	Indian River	6	0	5	0	0
S	Jackson	5	0	3	3	5
S	Jefferson	5	0	3	0	0
S	Lafayette	5	0	3	3	5
L	Lake	11	0	9	9	11
L	Lee	11	7	9	9	11
M	Leon	8	7	7	0	0
S	Levy	5	0	3	3	5
S	Liberty	5	7	3	3	5
S	Madison	5	6	3	3	5
L	Manatee	11	7	9	0	0
L	Marion	11	7	9	9	11
MS	Martin	6	5	5	5	6
MS	Monroe	6	5	5	5	6
MS	Nassau	6	0	5	0	0
M	Okaloosa	8	11	7	7	8
MS	Okeechobee	6	7	5	5	6
VL	Orange	15	8	11	11	15
L	Osceola	11	6	9	9	11
VL	Palm Beach	15	7	11	11	15
L	Pasco	11	7	9	9	11
VL	Pinellas	15	13	11	0	0
L	Polk	11	7	9	0	0
MS	Putnam	6	0	5	5	6
M	St. Johns	8	7	7	0	0
M	St. Lucie	8	6	7	0	0
M	Santa Rosa	8	5	7	7	8
L	Sarasota	11	0	9	0	0
L	Seminole	11	0	9	0	0
MS	Sumter	6	0	5	5	6

District-Required Activities

Size	District	Level 1 Fall Cycle				
		SPP 13 Secondary Transition	DJJ	Matrix	Restraint or Seclusion	IEP Implementation
S	Suwannee	5	0	3	3	5
S	Taylor	5	0	3	0	0
S	Union	5	5	3	3	5
L	Volusia	11	9	9	9	11
S	Wakulla	5	0	3	3	5
MS	Walton	6	5	5	5	6
S	Washington	5	0	3	0	0
S	Washington Special	5	0	3	3	5
S	FAMU Lab School	5	0	3	3	5
S	FAU Lab School	5	0	3	3	5
S	FSU Lab School	5	0	3	3	5
S	UF Lab School	5	0	3	3	5
S	FSDB	5	0	3	3	5
L	Department of Corrections	11	0	9	9	11
S	Lake Wales Charter Schools	5	0	3	3	5
S	Florida Virtual School	5	0	3	3	5

**Note:** Number of protocols required may be adjusted by the bureau based on current student data.



**Appendix C:**  
**Bureau Contacts**



Florida Department of Education  
Bureau of Exceptional Education and Student Services

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**ESE Monitoring and Dispute Resolution Team Members: District Liaisons**

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Columbia	Suwannee
DeSoto	Taylor
FSDB	UF Lab School
Hernando	

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Lake	

**State Performance Plan Indicators  
Bureau Contacts**

<b><u>Indicator # and Description</u></b>	<b><u>Bureau Contact</u></b>	
#1 Standard Diploma	Judith White	<a href="mailto:judith.white@fldoe.org">judith.white@fldoe.org</a>
#2 Dropout Rate	Judith White	
#3 Assessment	Zoe Mahoney	<a href="mailto:zoe.mahoney@fldoe.org">zoe.mahoney@fldoe.org</a>
#4 Suspension and Expulsion	Jill Snelson	<a href="mailto:jill.snelson@fldoe.org">jill.snelson@fldoe.org</a>
#5 LRE – ages 6 through 21	Leanne Grillot	<a href="mailto:leanne.grillot@fldoe.org">leanne.grillot@fldoe.org</a>
#6 LRE – ages 3 through 5	Janie Register	<a href="mailto:janie.register@fldoe.org">janie.register@fldoe.org</a>
#7 Outcomes for Preschool Children	Janie Register	
#8 Parent Involvement	Aimee Mallini	<a href="mailto:aimee.mallini@fldoe.org">aimee.mallini@fldoe.org</a>
#9 Disproportionality (all)	David Wheeler	<a href="mailto:david.wheeler@fldoe.org">david.wheeler@fldoe.org</a>
#10 Disproportionality (selected)	David Wheeler	
#11 60-day Timeline for Initial Evaluations	David Wheeler	
#12 Transition from C to B	Janie Register	
#13 Secondary Transition	Judith White	
#14 Post-School Outcomes	Judith White	
#15 Correction of Noncompliance	Patricia Howell	<a href="mailto:patricia.howell@fldoe.org">patricia.howell@fldoe.org</a>
#16 State Complaints	Lindsey Granger	<a href="mailto:lindsey.granger@fldoe.org">lindsey.granger@fldoe.org</a>
#17 Due Process Hearings Timelines	Lindsey Granger	
#18 Due Process Hearing Resolution Session Agreements	Lindsey Granger	
#19 Mediation Agreements	Lindsey Granger	
#20 Data	Marie Lacap	<a href="mailto:marie.lacap@fldoe.org">marie.lacap@fldoe.org</a>

**Appendix D:**  
**Comprehensive Timeline of Activities**



Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Comprehensive Timeline of Activities**

The information in the table below reflects the activities required to close out corrective actions resulting from noncompliance identified and the implementation of the self-assessment during the 2013-14 school year.

**Note:** In addition to the major activities indicated below, **each district with outstanding noncompliance must report to the bureau no later than the 15<sup>th</sup> of each month** its status with regard to demonstration of 100 percent compliance through the monthly sampling process. See the *Demonstrating 100 Percent Compliance – Windows for Sampling and Reporting* section of this manual for additional information.

Key: CAP – Corrective action plan  
GSW – General Supervision Website  
Shaded items reflect closeout of 2012-13 school year

Date	Cycle/ School Year	Action	Method of Submission
September 4, 2013	Fall 2013-14	Bureau notifies districts of schools selected, along with additional information request	Email
September 25 and 26, 2013	Fall 2013–14	Informational and technical assistance calls with districts regarding self-assessment and the GSW	Teleconference
September 27, 2013	Fall 2013–14	Bureau notifies districts of students selected for the 2013-14 Level 1 Self-Assessment	Email
November 4, 2013	Fall 2012-13	As applicable, districts submit: <ul style="list-style-type: none"> <li>• <b>Report</b> summarizing results of 2012-13 Level 1 Self-Assessment</li> <li>• <b>Evidence</b> documenting correct implementation of specific regulatory requirement(s)</li> </ul> <p><i>Note: This timeline reflects the established goal of 10 months for districts to demonstrate correct implementation of the specific regulatory requirement(s). In the event this goal is not met, the district must continue to implement corrective actions such that demonstration of 100% compliance is achieved no later than one year from identification of noncompliance.</i></p>	GSW  U.S. mail
December 6, 2013	Fall 2013-2014	<b>Districts submit 2013-2014 Level 1 Self-Assessment</b>	GSW  U.S. mail

Comprehensive Timeline of Activities

Date	Cycle/ School Year	Action	Method of Submission
January 8, 2014	Fall 2013-14	Bureau disseminates follow-up correspondence of 2013-14 Level 1 Self-Assessment  Bureau notifies districts of student records to be submitted for validation of 2013-14 Level 1 Self-Assessment	Email and U.S. mail  Email
January 15, 2014	Fall 2013-14	Districts submit copies of student records for validation by the bureau for 2013-14 Level 1 Self-Assessment	U.S. mail
January 16, 2014 through February 6, 2014	Fall 2013-14	Bureau validates records and notifies districts of need to reassess, if required for 2013-14 Level 1 Self-Assessment	GSW
February 7, 2014 through February 21, 2014	Fall 2013-14	Districts conduct reassessment, if required	GSW
TBD February 2014	Fall 2013-14	Informational calls with districts to review correction of noncompliance	Teleconference
February 28, 2014	Fall 2012-13	As applicable, bureau disseminates letters to districts regarding the completion of 2012–13 corrective action for both prongs	Email and U.S. mail
March 10, 2014	Fall 2013-14	60-day timeline ends for correction of 2012–13 Level 1 noncompliance; final date for districts to submit, if required: <ul style="list-style-type: none"> <li>• Report of correction of individual noncompliance</li> <li>• Hard copy documentation of correction of student-specific noncompliance</li> <li>• CAP to address ongoing noncompliance or documentation of 100% compliance on subsequent sample</li> </ul>	GSW  U.S. mail  GSW and/or U.S. mail
April 25, 2014	Fall 2013-14	Bureau disseminates verification reports of 2012–13 Level 1 Self-Assessment (only districts with identified noncompliance)	Email and U.S. mail
November 12, 2014	Fall 2013-14	As applicable, districts submit: <ul style="list-style-type: none"> <li>• <b>Report</b> summarizing results of 2013-14 Level 1 Self-Assessment CAP</li> <li>• <b>Evidence</b> documenting correct implementation of specific regulatory requirement(s)</li> </ul> <p><i>Note: This timeline reflects the established goal of 10 months for districts to demonstrate correct implementation of the specific regulatory</i></p>	GSW  U.S. mail

Comprehensive Timeline of Activities

Date	Cycle/ School Year	Action	Method of Submission
		<i>requirement(s). In the event this goal is not met, the district must continue to implement corrective actions such that demonstration of 100% compliance is achieved no later than one year from identification of noncompliance.</i>	
February 27, 2015	Fall 2013-14	As applicable, bureau disseminates letters to districts regarding the completion of 2013-14 Level 1 CAP.	Email U.S. mail



**Appendix E:**  
**Glossary of Acronyms and Abbreviations**



Florida Department of Education  
Bureau of Exceptional Education and Student Services

**Glossary of Acronyms and Abbreviations**

ACT	American College Testing
APR	Annual Performance Report
ASD	Autism Spectrum Disorder
BIP	Behavioral Intervention Plan
Bureau	Bureau of Exceptional Education and Student Services
CAP	Corrective Action Plan
CFR	Code of Federal Regulations
CWIC	Community Work Incentives Coordinator
dB	Decibel
DD	Developmentally Delayed
DHH	Deaf or Hard-of-Hearing
DJJ	Department of Juvenile Justice
DOC	Department of Corrections
DSI	Dual-Sensory Impairment
EBD	Emotional or Behavioral Disability
EP	Educational Plan
ESE	Exceptional Student Education
ESY	Extended School Year
F.A.C.	Florida Administrative Code
FAA	Florida Alternate Assessment
FAIR	Florida Assessments for Instruction in Reading
FAPE	Free Appropriate Public Education
FBA	Functional Behavioral Assessment
FCAT 2.0	Florida Comprehensive Assessment Test
FCIM	Florida Center for Interactive Media
FEFP	Florida Education Finance Program
F.R.	Federal Register
F.S.	Florida Statutes
FSDB	Florida School for the Deaf and the Blind
FSP	FCAT 2.0 Success Probability
GSW	General Supervision Website
HH	Homebound or Hospitalized
IDEA	Individuals with Disabilities Education Act
IE	Initial Evaluation
IEP	Individual Educational Plan
InD	Intellectual Disability
IFSP	Individualized Family Support Plan
IPI	Individual Educational Plan Implementation
LEA	Local Educational Agency
LI	Language Impairment
LRE	Least Restrictive Environment
MCC	Montgomery County College
NSTTAC	National Secondary Transition Technical Assistance Center
OHI	Other Health Impairment

OI	Orthopedic Impairment
OSEP	Office of Special Education Programs
PE	Physical Education
PES	Progressive Employment Services
PreK	Prekindergarten
SE $m$	Standard Error of Measurement
SI	Speech Impairment
SLD	Specific Learning Disabilities
SLP	Speech Language Pathologist
SOP	Summary of Performance
SP	Services Plan
SPP	State Performance Plan
SP&P	Exceptional Student Education Policies and Procedures
SSI	Supplemental Security Income
TAP	Technical Assistance Paper
TBI	Traumatic Brain Injury
TDI	Targeted Diagnostic Inventory
URI	Upper Respiratory Infection
USDOE	U.S. Department of Education
VI	Visual Impairment



**Florida Department of Education**  
*Pam Stewart, Commissioner*

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