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**Updated August 2023**

**Special Purpose Private School On-Site File Review Monitoring Tool**

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| **On-Site Review Items** |
| **Instructions:*** This is the On-Site Review Monitoring Tool - Word version
* This tool lists the Item/Citations for which the 21-22 special education files will be monitored.
* This tool includes the corrective activities for each Item/Citation should the SPPS demonstrate noncompliance. **Do not submit corrective activities at this time.**
* This tool is for your reference only.

**Key:*** SAU – School Administrative Unit
* AWN – Advanced Written Notice
* WN – Written Notice
* MUSER – Maine Unified Special Education Regulations
* FAPE – Free Appropriate Public Education
* SDI – Specially Designed Instruction
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| **Record of Access** |
|  | **Item/Citation** | **Criteria** | **Corrective Activities**  |
| ROA1 | Each SAU must keep a record of parties obtaining access to education records collected, maintained, or used under part B of IDEA (except for access by parents and authorized employees of the school). 34 CFR 300.614 | Yes = There is a sign in sheet in the student's fileNo = Sign in sheet is missing | *Corrective activity:*Create and submit sign in sheet for review.*Evidence:* Provide a letter of assurance that the sign in sheets are in all students’ files. |
| **Out of Unit Placement** |
| OOU2 | The IEP Team's documentation of the program components of a placement that would support the IEP developed at the meeting.MUSER IX.3.H | Yes = The WN clearly documents the discussion of out-of-unit placement with all the IEP components specific to student’s needs.No = WN does not clearly document the discussion of out-of-unit placement with all the IEP components specific to student’s needs, does not ensure LRE discussion and does not demonstrate that the SAU is unable to provide FAPE in the SAU setting. | Guidance only. |
| OOU5 | Evidence that an IEP meeting was convened to review the IEP within 30 days after placement.MUSER IX.3.H | Yes = The WN clearly documents that within 30 days of out-of-unit placement, IEP Team meets to review placement, discuss LRE and ensure all IEP components remain appropriate.No = there is no documentation of a 30 day out-of-unit placement meeting to discuss LRE and ensure all IEP components are appropriate or a meeting was held after 30 days. | *Corrective activity:*Provide training to staff on 30-day review procedures after a student has been enrolled in an Out of Unit placement.*Evidence:*1. Submit draft letter to districts if review is not scheduled in a timely fashion.
2. Submit next 5: WNs and applicable sections of IEPs that may have changed as a result of the 30 day notice - Focus: 30 Day Review Meetings including review of the continuum of services.
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| **Least Restrictive Environment**  |
|  | **Item/Citation** | **Criteria** | **Corrective Activities** |
| LRE2 WN | Current WN documented the discussion of LRE and any other options that the Team, which includes the parent, considered and the reasons why those options were rejected.34 CFR 300.503MUSER IX.3.A.(1)(e) | Yes = Current WN clearly documents the discussion of LRE, the options the IEP Team considered and reasons why the other options were rejected. WN Section #4 completed.No = Missing or incomplete WN. | *Corrective activity:*Provide training to staff on ongoing LRE discussion procedures, including activities to encourage movement along the continuum of programming options to LRE.*Evidence:*1. Submit a statement indicating that all SPPS staff who are responsible for attending IEPs have been trained on how to discuss LRE.
2. Submit next 5 WNs - Focus: Discussion of LRE.
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| **Forms** |
| IEP1 | All IEPs from placement are included in the student's file including amendments between annual IEP meetings. | Yes= All IEPs from date of enrollment including amendments are in the student's file.No= IEP(s) or amendments are missing or incomplete. | *Corrective activity:*Communicate with SAUs about the importance of including all IEPs in files.*Evidence:* 1. Provide a letter of assurance that all IEPs from date of enrollment are in students’ files.
2. Submit draft letter to districts for missing IEP(s). This should include a process for repeated requests until the document is received.
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| AWN1 | All AWNs from placement are included in the student's file. | Yes= All AWNs from date of enrollment are included in the student’s file.No= AWNs are missing. | *Corrective activity:*Communicate with SAUs about the importance of including all AWNs in files.*Evidence:* 1. Provide a letter of assurance that all AWNs from date of enrollment are in students’ files.
2. Submit draft letter to districts for missing AWNs. This should include a process for repeated requests until the document is received.
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| WRN1 | All WNs from placement (including determination for need of Out of Unit programming, which happens prior to actual placement) are included in the student's file. | Yes= All WNs from date of enrollment and determination of placement are included in the student’s file.No= WNs are missing. | *Corrective activity:*Communicate with SAUs about the importance of including all WNs in files.*Evidence:* 1. Provide a letter of assurance that all WNs date of enrollment and determination of placement are in students’ files.
2. Submit draft letter to districts for missing WNs. This should include a process for repeated requests until the document is received.
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| **Results of All Evaluations are included in the student’s file** |
|  | **Item/Citation** | **Criteria** | **Corrective Activities**  |
| RAE2 | The most recent psychological evaluations are included in the student's file. | Yes = The most recent psychological evaluations are included No = The most recent psychological evaluations are not included NA = not applicable | *Corrective activity:*Communicate with SAUs about the importance of including all evaluations in files.*Evidence:* 1. Provide a letter of assurance that all the most recent evaluations are included in students’ files.
2. Submit draft letter to districts for missing evaluations. This should include a process for repeated requests until the document is received.
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| RAE3 | The most recent academic evaluations are included in the student's file. | Yes = The most recent academic evaluations are included No = The most recent academic evaluations are not included NA = not applicable | *Corrective activity:*Communicate with SAUs about the importance of including all evaluations in files.*Evidence:* 1. Provide a letter of assurance that all the most recent evaluations are included in students’ files.
2. Submit draft letter to districts for missing evaluations. This should include a process for repeated requests until the document is received.
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| RAE4 | The most recent speech or language evaluations are included in the student's file. | Yes = The most recent speech or language evaluations are included No = The most recent speech or language evaluations are not included NA = not applicable | *Corrective activity:*Communicate with SAUs about the importance of including all evaluations in files.*Evidence:* 1. Provide a letter of assurance that all the most recent evaluations are included in students’ files.
2. Submit draft letter to districts for missing evaluations. This should include a process for repeated requests until the document is received.
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| RAE5 | The most recent occupational therapy evaluations are included in the student's file. | Yes = The most recent occupational therapy evaluations are included No = The most recent occupational therapy evaluations are not included NA = not applicable | *Corrective activity:*Communicate with SAUs about the importance of including all evaluations in files.*Evidence:* 1. Provide a letter of assurance that all the most recent evaluations are included in students’ files.
2. Submit draft letter to districts for missing evaluations. This should include a process for repeated requests until the document is received.
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| RAE6 | The most recent physical therapy evaluations are included in the student's file. | Yes = The most recent physical therapy evaluations are included No = The most recent physical therapy evaluations are not included NA = not applicable | *Corrective activity:*Communicate with SAUs about the importance of including all evaluations in files.*Evidence:* 1. Provide a letter of assurance that all the most recent evaluations are included in students’ files.
2. Submit draft letter to districts for missing evaluations. This should include a process for repeated requests until the document is received.
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| RAE7 | The most recent Functional Behavior Assessment is included in the student's file. | Yes = The most recent functional behavior assessments are included No = The most recent functional behavior assessments are not included NA = not applicable | *Corrective activity:*Communicate with SAUs about the importance of including all evaluations in files.*Evidence:* 1. Provide a letter of assurance that all the most recent evaluations are included in students’ files.
2. Submit draft letter to districts for missing evaluations. This should include a process for repeated requests until the document is received.
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| RAE8 | Results of other evaluations indicated in section 4 are included in the student's file. | Yes = other evaluations are included No = other evaluations are not included NA = not applicable | *Corrective activity:*Communicate with SAUs about the importance of including all evaluations in files.*Evidence:* 1. Provide a letter of assurance that all the most recent evaluations are included in students’ files.
2. Submit draft letter to districts for missing evaluations. This should include a process for repeated requests until the document is received.
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| **IEP Process: Academic Performance**  |
|  | **Item/Citation** | **Criteria** | **Corrective Activities**  |
| IAP4  | Academic annual progress of the student.MUSER IX.3.D(1)(a) | Yes = The current academic goals show progress from the prior year’s academic goals moving towards proficiency of grade level standards or the standards at which the student is performing.No = The current academic goals do not show progress from the prior year’s academic goals moving towards proficiency of grade level standards or the standards at which the student is performing.NA = No academic needs identified; therefore, no academic goals are required. **Or** new goals were developed at the most recent IEP team meeting. | *Corrective activity:*Provide training to all staff who are responsible for IEPs on how to create an IEP that is reasonably calculated to enable a child to make academic progress appropriate in light of the child’s circumstances.*Evidence:*1. Submit a statement indicating that all SPPS staff who are responsible for writing IEPs have been trained on how to report annual academic progress.
2. Submit next 5 WNs, and section 5 of previous annual (not amendment) and current IEPs, occurring since the LOF was issued. Please submit at least one of the 5 of a student whose file was included in the file review. Focus: Annual academic progress.
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| **IEP Process: Functional/Developmental Performance** |
| IFP4 | Functional/developmental annual progress of the student.MUSER IX.3.D(1)(a) | Yes= the current functional/developmental goals show progress from the prior year’s functional/developmental goals in managing daily activities in cognitive, communicative, motor, adaptive, social/emotional and sensory areas.No= the current functional/developmental goals do not show progress from the prior year’s functional/developmental goals in managing daily activities in cognitive, communicative, motor, adaptive, social/emotional and sensory areas.NA= No functional/developmental needs identified; therefore, no functional/ developmental goals are required. Or new goals were developed at the most recent IEP team meeting. | *Corrective activity:*Provide training to all staff who are responsible for IEPs on how to create an IEP that is reasonably calculated to enable a child to make functional progress appropriate in light of the child’s circumstances.*Evidence:*1. Submit a statement indicating that all SPPS staff who are responsible for writing IEPs have been trained on how to report annual functional/developmental progress.
2. Submit next 5 WNs, and section 5 of previous annual (not amendment) and current IEPs, occurring since the LOF was issued. Please submit at least one of the 5 of a student whose file was included in the file review. Focus: Annual Functional/Developmental Progress.
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| **IEP Process: Supplementary Aids, Services, Modifications and/or Supports** |
|  | **Item/Citation** | **Criteria** | **Corrective Activities**  |
| ISA1 | A statement of supplementary aids and services and modifications to be provided to the student including the projected dates for the beginning/ending of the supplemental aids and services and modifications, position responsible, and the location, frequency, and duration.34 CFR 300.320(a)(4)MUSER IX.3.A(1)(d) | Yes = Accommodations and modifications are determined by the IEP team, appropriately enable the student to progress on goals and access the general education setting and are documented in the WN and documented in the IEP including the location, frequency, and duration of the IEP.No = The Supplementary Aids, Services, Modifications and/or Supports section of the IEP is left blank, incomplete or does not match the determinations documented in the WN. | *Corrective activity:*Provide training on IEP development, including identification of supplementary aids, services, modifications and/or supports necessary for the student to make progress towards IEP goals and access the general education setting.*Evidence:*1. Submit a statement indicating that all SPPS staff who are responsible for writing IEPs have been trained on how to develop plan to review continuum of services when considering student placement in the LRE and provide training on the plan.
2. Submit next 5: annual WNs and only section 6 of IEPs, (rather than amended IEPs) occurring since the LOF was issued. Please submit at least one of the 5 of a student whose file was included in the file review. Focus: Supplementary Aids, Services, Modifications and/or Supports
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| **IEP Process: Special Education and Related Services**  |
| ISR1 | A statement of the special education and related services to be provided. 34 CFR 300.320(a)(4)MUSER IX.3.A(1)(d) | Yes = Special education service(s) (specially designed instruction, consultation or speech (if speech is primary area of disability)) and specific related services (e.g., speech, OT, PT, counseling, etc.) is/are identified on the IEP, and is/are aligned to annual goals. No = Missing services or mismatched services based on IEP Team determinations are found. | *Corrective activity:*Provide training on IEP development, including identification of services necessary for the student to make progress towards IEP goals.*Evidence:*1. Submit a statement indicating that all SPPS staff who are responsible for writing IEPs have been trained on aligning all of the student’s identified needs with a special education or related service.
2. Submit next 5: annual WNs and only section 7 of IEPs, (rather than amended IEPs) occurring since the LOF was issued. Please submit at least one of the 5 of a student whose file was included in the file review.
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| **IEP Process: Transition Plan** |
| ITR2 | IEP contains appropriate measurable post-secondary goals addressing education or training after high school.34 CFR 300.320(b)(1)MUSER IX.3.A(1)(h)(i) | Yes = The IEP contains an appropriate post-secondary goal in the area of education or training that are:* Measurable
* Align with the student’s present level of performance
* Align with assessment results

No = The IEP does not contain an appropriate post-secondary goal in the area of education or training, goal is not measurable or does not align with present level of performance and assessment results. | *Corrective activity:*Provide training on transition planning, including development of appropriate post-secondary goals.*Evidence:*1. Submit a statement indicating that all SPPS staff who are responsible for writing IEPs students that are in 9th grade or above have been trained on transition planning, including development of appropriate post-secondary goals in the area of education or training.
2. Submit next 3: annual WNs and only section 9 of IEPs, (rather than amended IEPs) occurring since the LOF was issued. Please submit at least one of the 3 of a student whose file was included in the file review. Focus: Education or Training Goal
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| ITR3 | IEP contains appropriate measurable post-secondary goal addressing employment after high school.34 CFR 300.320(b)(1)MUSER IX.3.A(1)(h)(i) | Yes = The IEP contains an appropriate post-secondary goal in the area of employment that is:* Measurable
* Aligns with student’s present level of performance
* Aligns with assessment results

No = The IEP does not contain a post-secondary goal in the area of employment or it is not measurable and/or does not align with present level or performance and assessment results. | *Corrective activity:*Provide training on transition planning, including development of appropriate post-secondary goals in the area of employment.*Evidence:*1. Submit a statement indicating that all SPPS staff who are responsible for writing IEPs students that are in 9th grade or above have been trained on transition planning, including development of appropriate post-secondary goals in the area of employment.
2. Submit next 3: annual WNs and only section 9 of IEPs, (rather than amended IEPs) occurring since the LOF was issued. Please submit at least one of the 3 of a student whose file was included in the file review. Focus: Employment Goal
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| ITR4 | IEP contains appropriate measurable post-secondary goal addressing independent living after high school.34 CFR 300.320(b)(1)MUSER IX.3.A(1)(h) | Yes = The IEP contains an appropriate post-secondary goal in the area of independent living that is:* Measurable
* Aligns with student’s present level of performance
* Aligns with assessment results

No = The IEP does not contain a post-secondary goal in the area of independent living, or it is not measurable, and/or does not align with present level of performance and assessment results.NA= An independent living goal is not appropriate for the student. | *Corrective activity:*Provide training on transition planning, including development of appropriate post-secondary goals in the area of independent living.*Evidence:*1. Submit a statement indicating that all SPPS staff who are responsible for writing IEPs students that are in 9th grade or above have been trained on transition planning, including development of appropriate post-secondary goals in the area of independent living.
2. Submit next 3: annual WNs and only section 9 of IEPs, (rather than amended IEPs) occurring since the LOF was issued. Please submit at least one of the 3 of a student whose file was included in the file review. Focus: Independent Living Goal
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