District/Coop: _____

Review Name(s): _____

Student Name: _____

RECORD REVIEW CHECKLIST
Part C Record Review Standards

This Record Review Checklist is a guide for conducting record reviews and is meant to be advisory only and does not represent a written, official position of the Minnesota Department of Education (MDE). This checklist is not inclusive of the district's legal obligations. School districts and individuals are charged with notice of laws based upon publication, regardless of the content of this document.

Timelines

Directions: Use the following fields to assist in determining citations for the below:

Date of referral:	/	/
Date that evaluation/assessment and initial IFSP meeting were due:	/	/
Date of prior written notice for screening (if applicable):	/	/
Date of parental consent for screening (if applicable):	/	/
Date of prior written notice for initial evaluation/assessment:	/	/
Date of parental consent for initial evaluation/assessment:	/	/
Date initial evaluation/assessment were completed:	/	/
Date of initial IFSP meeting:	/	/
Were initial evaluation/assessment and IFSP completed in district?	___ Yes	___ No
Type of current IFSP:	___ Initial	___ Annual
Date of most recent IFSP planning meeting:	/	/
Date of most recent prior written notice for IFSP:	/	/
Date services initiated on current IFSP:	/	/
Date of most recent periodic review:	/	/
Date of previous IFSP planning meeting:	/	/
Is child eligible or potentially eligible for services under Part B?	___ Yes	___ No
Date transition conference was held:	/	/

Directions: For each area, review legal requirement and mark item if record is NOT in compliance, checking all that apply. Then select final compliance status for that area. If one or more legal requirements are checked as not in compliance, the final compliance status would be NOT In Compliance.

Post Referral Timelines

_____ [A]ny screening . . . must be completed within 45 days from the date the lead agency or EIS provider receives the referral of the child.	34 C.F.R. § 303.310(a)
_____ [T]he initial evaluation and the initial assessments of the child and family . . . must be completed within 45 days from the date the lead agency or EIS provider receives the referral of the child.	34 C.F.R. § 303.310(a)
_____ [T]he initial IFSP meeting . . . must be completed within 45 days from the date the lead agency or EIS provider receives the referral of the child.	34 C.F.R. § 303.310(a)
_____ Document in the child's early intervention records the . . . repeated attempts by the lead agency or EIS provider to obtain parental consent. . . .”	34 C.F.R. § 303.310(c)(1)
_____ Document in the child's early intervention records the exceptional family circumstances. . . .”	34 C.F.R. § 303.310(c)(1)
_____ [I]n the event [of unavailability due to exceptional family circumstances or delayed parental consent] the lead agency or EIS provider must—Complete the screening (if applicable), the initial evaluation, the initial assessments (of the child and family), and the initial IFSP meeting as soon as possible after the documented exceptional family circumstances . . . no longer exist or parental consent is obtained for the screening (if applicable), the initial evaluation, and the initial assessment of the child. . . .	34 C.F.R. § 303.310(c)(2)
_____ [I]n the event [of unavailability due to exceptional family circumstances or delayed parental consent] the lead agency or EIS provider must—Develop and implement an interim IFSP, to the extent appropriate and consistent with § 303.345.	34 C.F.R. § 303.310(c)(3)
_ In Compliance _ NOT In Compliance | _ District _ Family _ Other District| _ N/A	
District Reviewer Comments:	

IFSP Periodic Review

_____ A review of the IFSP for a child and the child's family must be conducted every six months, or more frequently if conditions warrant. . . .	34 C.F.R. § 303.342(b)(1)
_____ Each early intervention service must be provided as soon as possible after the parent provides consent for that service	34 CFR § 303.342(e)
_____ Documentation not in the file.	*See* 34 C.F.R. § 76.731
_ In Compliance _ NOT In Compliance | _ District _ Family _ Other District| _ N/A	
District Reviewer Comments:	

IFSP Development

_____ A meeting must be conducted on at least an annual basis to evaluate and revise, as appropriate, the IFSP for the child and child's family.	34 C.F.R. § 303.342(c)
_____ Each early intervention service must be provided as soon as possible after the parent provides consent for that service	34 CFR § 303.342(e)
_____ Documentation not in the file.	*See* 34 C.F.R. § 76.731
_ In Compliance _ NOT In Compliance | _ District _ Family _ Other District	
District Reviewer Comments:	

Transition from Part C Services

_____ If a toddler with a disability may be eligible for preschool services under part B of the Act, the lead agency, with the approval of the family of the toddler, convenes a conference, among the lead agency, the family, and the LEA not fewer than 90 days—and, at the discretion of all parties, not more than 9 months—before the toddler's third birthday to discuss any services the toddler may receive under part B of the Act. . . .	34 C.F.R. § 303.209(c)(1)
_____ If the lead agency determines that a toddler with a disability is not potentially eligible for preschool services under part B of the Act, the lead agency, with the approval of the family of that toddler, makes reasonable efforts to convene a conference among the lead agency, the family, and providers of other appropriate services for the toddler to discuss appropriate services that the toddler may receive.	34 C.F.R. § 303.209(c)(2)
_ In Compliance _ NOT In Compliance | _ District _ Family _ Other District| _ N/A	
District Reviewer Comments:	

Notification

Directions: For each area, review legal requirement and mark item if record is NOT in compliance, checking all that apply. Then select final compliance status for that area. If one or more legal requirements are checked as not in compliance, the final compliance status would be NOT In Compliance.

Prior Written Notice for Screening (if applicable)

_____ The notice must be in sufficient detail to inform parents about—The action that is being proposed or refused. . . .	34 C.F.R. § 303.421(b)(1)
_____ The notice must be in sufficient detail to inform parents about—The reasons for taking the action. . . .	34 C.F.R. § 303.421(b)(2)
_____ The notice must be in sufficient detail to inform parents about—All procedural safeguards that are available under this subpart, including a description of mediation[,] how to file a State complaint[,] and a due process complaint[,] and any timelines under those procedures.	34 C.F.R. § 303.421(b)(3)
_____ The notice must be—Written in language understandable to the general public. . . .	34 C.F.R. § 303.421(c)(1)(i)
_____ The notice must be—Provided in the native language, as defined in § 303.25, of the parent or other more of communication used by the parent, unless it is clearly not feasible to do so.	34 C.F.R. § 303. 421(c)(1)(ii)
_____ If the lead agency or EIS provider proposes to screen a child, it must—Provide the parent notice of its intent to screen the child to identify whether the child is suspected of having a disability . . . and include in that notice a description of the parent's right to request an evaluation . . . at any time during the screening process. . . .	34 C.F.R. § 303.320(a)(1)(i)
_____ Prior written notice for screening not in the file.	*See* 34 C.F.R. § 76.731
_ In Compliance _ NOT In Compliance | _ District _ Other District |	**_ N/A**
District Reviewer Comments:	

Parental Consent for Screening (if applicable)

_____ The lead agency must ensure parental consent is obtained before—Administering screening procedures . . . that are used to determine whether a child is suspected of having a disability. . . . 34 C.F.R. § 303.420(a)(1)
_____ Documentation of consent not in the file. *See* 34 C.F.R. § 76.731
_ In Compliance _ NOT In Compliance | _ District _ Other District | _ N/A
District Reviewer Comments:

Screening Results (if applicable)

_____ If the parent consents to the screening and the screening or other available information indicates the child is—Suspected of having a disability . . . an evaluation and assessment must be conducted. . . . 34 C.F.R. § 303.320(a)(2)(i)
_____ If the parent consents to the screening and the screening or other available information indicates the child is—Not suspected of having a disability, the lead agency or EIS provider must ensure that notice of that determination is provided to the parent . . . and the notice describes the parent's right to request an evaluation. 34 C.F.R. § 303.320(a)(2)(ii)
_ In Compliance _ NOT In Compliance | _ District _ Other District | _ N/A
District Reviewer Comments:

Prior Written Notice for Evaluation and Assessment

_____ The notice must be in sufficient detail to inform parents about—The action that is being proposed or refused. . . . 34 C.F.R. § 303.421(b)(1)
_____ The notice must be in sufficient detail to inform parents about—The reasons for taking the action. . . . 34 C.F.R. § 303.421(b)(2)
_____ The notice must be in sufficient detail to inform parents about—All procedural safeguards that are available under this subpart, including a description of mediation[,] how to file a State complaint and a due process complaint[,] and any timelines under those procedures. 34 C.F.R. § 303.421(b)(3)
_____ The notice must be—Written in language understandable to the general public. . . . 34 C.F.R. § 303.421(c)(1)(i)
_____ The notice must be— Provided in the native language, as defined in § 303.25, of the parent or other mode of communication used by the parent, unless it is clearly not feasible to do so. 34 C.F.R. § 303.421(c)(1)(ii)
_____ Prior written notice for evaluation and assessment not in the file. *See* 34 C.F.R. § 76.731

_ In Compliance _ NOT In Compliance | _ District _ Other District
District Reviewer Comments:

Parental Consent for Evaluation and Assessment

_____ The lead agency must ensure that consent is obtained before—All evaluations and assessments of a child. . . .	34 C.F.R. § 303.420(a)(2)
_____ Documentation of consent not in the file.	*See* 34 C.F.R. § 76.731

_ In Compliance _ NOT In Compliance | _ District _ Other District
District Reviewer Comments:

Notice for IFSP Meetings

_____ Meeting arrangements are made with, and written notice provided to, the family and other participants early enough before the meeting date to ensure that they will be able to attend.	34 C.F.R. § 303.342(d)(2)
_____ Notice of team meeting not in the file.	*See* 34 C.F.R. § 76.731

_ In Compliance _ NOT In Compliance | _ District _ Other District
District Reviewer Comments:

Prior Written Notice for IFSP

_____ The notice must be in sufficient detail to inform parents about—The action that is being proposed or refused. . . .	34 C.F.R. § 303.421(b)(1)
_____ The notice must be in sufficient detail to inform parents about—The reasons for taking the action. . . .	34 C.F.R. § 303.421(b)(2)
_____ The notice must be in sufficient detail to inform parents about—All procedural safeguards that are available under this subpart, including a description of mediation[,] how to file a State complaint and a due process complaint[,] and any timelines under those procedures.	34 C.F.R. § 303.421(b)(3)
_____ The notice must be—Written in language understandable to the general public. . . .	34 C.F.R. § 303.421(c)(1)(i)
_____ The notice must be— Provided in the native language, as defined in § 303.25, of the parent or other mode of communication used by the parent, unless it is clearly not feasible to do so.	34 C.F.R. § 303.421(c)(1)(ii)
_____ Prior written notice for IFSP not in the file.	*See* 34 C.F.R. § 76.731

_ In Compliance _ NOT In Compliance | _ District _ Other District|
District Reviewer Comments:

Parental Consent for IFSP

_____ The lead agency must ensure parental consent is obtained before—Early intervention services are provided to the child. . . .	34 C.F.R. § 303.420(a)(3)
_____ Documentation of consent not in the file.	*See* 34 C.F.R. § 76.731

_ In Compliance _ NOT In Compliance | _ District _ Other District
District Reviewer Comments:

Evaluation

Directions: For each area, review legal requirement and mark item if record is NOT in compliance, checking all that apply. Then select final compliance status for that area. If one or more legal requirements are checked as not in compliance, the final compliance status would be NOT In Compliance.

Screening Materials and Procedures (if applicable)

_____ Screening procedure includes the administration of appropriate instruments by personnel trained to administer those instruments. 34 C.F.R. § 303.320(b)(2)
_____ Documentation not in the file. *See* 34 C.F.R. § 76.731
_ In Compliance _ NOT In Compliance | _ District _ Other District | _ N/A
District Reviewer Comments:

Evaluation Materials and Procedures

_____ The lead agency must ensure that . . .each child . . . receives—A timely, comprehensive, multidisciplinary evaluation of the child in accordance with paragraph (b) of this section unless eligibility is established [based on medical and other records without conducting an evaluation of the child.] 34 C.F.R. § 303.321(a)(1)(i)
_____ Qualified personnel must use informed clinical opinion when conducting an evaluation and assessment of the child. 34 C.F.R. § 303.321(a)(3)(ii)
_____ All evaluations . . . of the child and family must be conducted by qualified personnel, in a nondiscriminatory manner, and selected and administered so as not to be racially or culturally discriminatory. 34 C.F.R. § 303.321(a)(4)
_____ Unless clearly not feasible to do so, all evaluations . . . of a child must be conducted in the native language of the child, in accordance with the definition of native language in § 303.25. 34 C.F.R. § 303.321(a)(5)
_____ Procedures [for evaluating the child] must include—Administering an evaluation instrument. . . . 34 C.F.R. § 303.321(b)(1)
_____ Procedures [for evaluating the child] must include—Taking the child's history (including interviewing the parent). . . . 34 C.F.R. § 303.321(b)(2)
_____ Procedures [for evaluating the child] must include—Identifying the child's level of functioning in each of the developmental areas[: cognitive development, physical development, including vision and hearing, communication development, social or emotional development, and adaptive development.] 34 C.F.R. § 303.321(b)(3)
_____ Procedures [for evaluating the child] must include—Gathering information from other sources such as family members, other caregivers, medical providers, social workers, and educators, if necessary, to understand the full scope of the child's unique strengths and needs. . . . 34 C.F.R. § 303.321(b)(4)

_____ Procedures [for evaluating the child] must include—Reviewing medical, educational, or other records. 34 C.F.R. § 303.321(b)(5)
_____ Evaluation report or IFSP not in the file. *See* 34 C.F.R. § 76.731
_ In Compliance _ NOT In Compliance | _ District _ Other District
District Reviewer Comments:

Procedures for Assessment of Child and Family

_____ An assessment of each infant or toddler with a disability must be conducted by qualified personnel in order to identify the child's unique strengths and needs and the early intervention services appropriate to meet those needs. 34 C.F.R. § 303.321(c)(1)
_____ Qualified personnel must use informed clinical opinion when conducting an . . . assessment of the child. 34 C.F.R. § 303.321(a)(3)(ii)
_____ All . . . assessments of the child and family must be conducted by qualified personnel, in a nondiscriminatory manner, and selected and administered so as not to be racially or culturally discriminatory. 34 C.F.R. § 303.321(a)(4)
_____ Unless clearly not feasible to do so, all . . . assessments of a child must be conducted in the native language of the child, in accordance with the definition of native language in § 303.25. 34 C.F.R. § 303.321(a)(5)
_____ The assessment of the child must include the following—A review of the results of the evaluation conducted. . . . 34 C.F.R. § 303.321(c)(1)(i)
_____ The assessment of the child must include the following—Personal observations of the child. . . . 34 C.F.R. § 303.321(c)(1)(ii)
_____ The assessment of the child must include the following—The identification of the child's needs in each of the developmental areas: [cognitive development, physical development, including vision and hearing, communication development, social or emotional development, and adaptive development.] 34 C.F.R. § 303.321(c)(1)(iii)
_____ A family directed assessment must be conducted by qualified personnel in order to identify the family's resources, priorities, and concerns and the supports and services necessary to enhance the family's capacity to meet the developmental needs of the family's infant or toddler with a disability. The family-directed assessment must—Be based on information obtained through an assessment tool and also through an interview with those family members who elect to participate in the assessment. . . . 34 C.F.R. § 303.321(c)(2)
_____ Evaluation report or IFSP not in the file. *See* 34 C.F.R. § 76.731
_ In Compliance _ NOT In Compliance | _ District _ Other District
District Reviewer Comments:

Eligibility

Directions: After completing an eligibility checklist for each area evaluated, complete the non-shaded areas below.

Check Each Area Considered	Evaluation /IEP Team Found Student Eligible in This Area: Indicate Yes/No	Disability Category	Documentation in Evaluation Report Supports Team Decision: Yes/No	District Comments
		Autism Spectrum Disorders		
		Blind or Visually Impaired		
		Deaf/Blind		
		Deaf/Heard of Hearing		
		Developmental Adapted Physical Education (DAPE)		
		Developmental Cognitive Disability		
		Developmental Delay (Birth – 2)		
		Developmental Delay (3-6)		
		Emotional or Behavior Disorders		
		Other Health Disabilities		
		Physical Impairment		
		Severely Multiply Impaired		
		Specific Learning Disability		
		Speech or Language Impairment		
		Traumatic Brain Injury		

IFSP/IEP/IIIP

Directions: For each area, review legal requirement and mark item if record is NOT in compliance, checking all that apply. Then select final compliance status for that area. If one or more legal requirements are checked as not in compliance, the final compliance status would be NOT In Compliance.

Requirements for IFSP Meetings

_____ IFSP meetings must be conducted—In settings and at times that are convenient for the family. . . . 34 C.F.R. § 303.342(d)(1)(i)
_____ IFSP meetings must be conducted—In the native language of the family or other mode of communication used by the family, unless it is clearly not feasible to do so. 34 C.F.R. § 303.342(d)(1)(ii)
_ In Compliance _ NOT In Compliance
District Reviewer Comments:

IFSP Team Members

_____ Each initial meeting and each annual IFSP Team meeting to evaluate the IFSP must include the following participants—The parent or parents of the child. 34 C.F.R. § 303.343(a)(1)(i)
_____ Other family members, as requested by the parent, if feasible to do so.34 C.F.R. § 303.343(a)(1)(ii)
_____ An advocate or person outside the family, if the parent requests that the person participate. 34 C.F.R. § 303.343(a)(1)(iii)
_____ The service coordinator designated by the public agency to be responsible for implementing the IFSP. 34 C.F.R. § 303.343(a)(1)(iv)
_____ A person or persons directly involved in conducting the evaluations and assessments. . . . 34 C.F.R. § 303.343(a)(1)(v)
_____ As appropriate, persons who will be providing early intervention services . . . to the child or family. 34 C.F.R. § 303.343(a)(1)(vi)
_____ The IFSP team in 303.340 must include the involvement of . . . two or more individuals from separate disciplines or professions . . . . 34 CFR § 303.24(b)
_____ Documentation not in the file. *See* 34 C.F.R. § 76.731
_ In Compliance _ NOT In Compliance
District Reviewer Comments:

IFSP Required Content

_____	The IFSP must include a statement of the infant or toddler with a disability's present levels of physical development (including vision, hearing, and health status), cognitive development, communication development, social or emotional development, and adaptive development based on the information from that child's evaluation and assessments. . . . 34 C.F.R. § 303.344(a)
_____	With the concurrence of the family, the IFSP must include a statement of the family's resources, priorities, and concerns related to enhancing the development of the child as identified through the assessment of the family. . . . 34 C.F.R. § 303.344(b)
_____	The IFSP must include a statement of the measurable results or measurable outcomes expected to be achieved for the child (including pre-literacy and language skills, as developmentally appropriate for the child) and family. . . . 34 C.F.R. § 303.344(c)
_____	The IFSP must include a statement of . . . the criteria, procedures, and timelines used to determine—The degree to which progress toward achieving the results or outcomes identified in the IFSP is being made. . . . 34 C.F.R. § 303.344(c)(1)
_____	The IFSP must include a statement of the specific early intervention services, based on peer-reviewed research (to the extent practicable), that are necessary to meet the unique needs of the child and the family to achieve the results or outcomes. . . . 34 C.F.R. § 303.344(d)(1)
_____	The IFSP must include . . . —The length, duration, frequency, intensity, and method of delivering the early intervention services. . . . 34 C.F.R. § 303.344(d)(1)(i)
_____	The IFSP must include . . .—A statement that each early intervention service is provided in the natural environment for that child or service to the maximum extent appropriate . . . or . . . a justification as to why an early intervention service will not be provided in the natural environment. 34 C.F.R. § 303.344(d)(1)(ii)(A)
_____	The IFSP must include . . . —The location of early intervention services. . . . 34 C.F.R. § 303.344(d)(1)(iii)
_____	The IFSP must include . . . —The payment arrangements, if any. 34 C.F.R. § 303.344(d)(1)(iv)
_____	To the extent appropriate, the IFSP also must—Identify medical and other services that the child or family needs or is receiving through other sources, but that are neither required or funded under this part. . . . 34 C.F.R. § 303.344(e)(1)
_____	The IFSP must include—The projected date for the initiation of each early intervention service . . . and [t]he anticipated duration of each service. 34 C.F.R. § 303.344(f)(1)-(2)
_____	The IFSP must include the name of the service coordinator from the profession most relevant to the child's or family's needs . . . who will be responsible for implementing the early intervention services identified in a child's IFSP, including transition services, and coordination with other agencies and persons. 34 C.F.R. § 303.344(g)
_____	The IFSP must include the steps and services to be taken to support the smooth transition of the child . . . from Part C services. . . . 34 C.F.R. § 303.344(h)(1)

_____ The steps . . . must include—Discussions with and training of parents as appropriate, regarding future placements and other matters related to the child's transition. . . .34 C.F.R. § 303.344(h)(2)(i)
_____ The steps . . . must include—Procedures to prepare the child for changes in service delivery, including steps to help the child adjust to, and function in, a new setting. . . . 34 C.F.R. § 303.344(h)(2)(ii)
_____ The steps . . . must include—Identification of transition services and other activities that the IFSP Team determines are necessary to support the transition of the child. 34 C.F.R. § 303.344(h)(2)(iv)
_____ IFSP not in the file. *See* 34 C.F.R. § 76.731
_ In Compliance _ NOT In Compliance
District Reviewer Comments:

Periodic Review

_____ The purpose of the periodic review is to determine—The degree to which progress toward achieving the results or outcomes identified in the IFSP is being made. . . . 34 C.F.R. § 303.342(b)(1)(i)
_____ The purpose of the periodic review is to determine—Whether modification or revision of the results, outcomes, or early intervention services identified in the IFSP is necessary. 34 C.F.R. § 303.342(b)(1)(ii)
_____ Documentation of periodic review not in the file. *See* 34 C.F.R. § 76.731
_ In Compliance _ NOT In Compliance | _ NA
District Reviewer Comments:

Interim IFSP Standards

_____ An interim IFSP is developed that includes—The name of the service coordinator who will be responsible . . . for implementing the interim IFSP and coordinating with other agencies and persons . . . . 34 C.F.R. § 303.345(b)(1)
_____ An interim IFSP is developed that includes—The early intervention services that have been determined to be needed immediately by the child and the child's family. 34 C.F.R. § 303.345(b)(2)
_ In Compliance _ NOT In Compliance | _ NA
District Reviewer Comments: