Wisconsin Department of Public Instruction
PROCEDURAL COMPLIANCE SELF-ASSESSMENT
EVALUATION RECORD REVIEW CHECKLIST
PI-SA-RRC-EVAL-001 (Rev. 07-14)

INSTRUCTIONS: Complete one copy for each student record selected for the sample. Retain at the district level. *For Local Use Only. Provided for documentation purposes. Use by the LEA is optional. **Examples for Evidence of Student-Level Corrective Action (last column), include called parent on [date], no new IEP team meeting, etc.*

Student Name *First and Last*	School Level *Check one*	Type of Evaluation *Check one*
	☐ Elementary ☐ Middle ☐ High School	☐ Initial Evaluation ☐ Reevaluation

Student Date of Birth *Mo./Day/Yr.*	Reviewer's Name *First and Last*	NOTE: When reviewing a record of a student who is an adult, substitute "adult student" for "parent" in all checklist items. *Items not required for independent 2r charter schools authorized under s. 118.40, Wis. Stats.

RECORD REVIEW CHECKLIST

Item No.		Item Description	Standards & Directions	Required Student-Level Corrective Action	Evidence Of Student-Level Corrective Action**
EVAL-1	☐ Yes ☐ No	The student's parents were contacted and afforded an opportunity to participate in the review of existing evaluation data. Comments:	After a parent is notified in writing of the start of an initial evaluation or reevaluation, IEP team members must review existing data to determine what additional data are needed, if any. The student's parents, as members of the IEP team, must have the opportunity to participate in this review. After the review is complete the local educational agency (LEA) must either notify the parent no additional assessments are needed or request parental consent for additional assessment. This requirement has three components: • The review of existing data must occur *after* the parent is notified in writing of the start of an evaluation (IE-1 or RE-1). • The date, method, and the parent's input must be documented. This information is often located on the *Worksheet for Consideration of Existing Data* (EW-1). • The review of existing data must occur **on or before** the date on the form requesting parental consent for additional assessment or the notice no additional assessments are needed (IE-2, IE-3, RE-4, or RE-5). The review of existing data may occur on the same day the parent is notified of the start of an evaluation only if the parent is provided with a copy of the notice of the start of the evaluation in person prior to the review. If the notice of the start of an evaluation (IE-1 or RE-1) is mailed to the parent, the LEA should consider the amount of time mail takes to go through the LEA's processing and mailing system before beginning to review existing data. Although the review of existing data may be completed during an IEP team meeting, an IEP team meeting is not required for this purpose. If a meeting was held to review existing evaluation data, look for an *Evaluation Report and IEP Cover Sheet* (I-3) and determine whether the parent attended the meeting to review existing evaluation data. A meeting to review existing data may be held on the same day the parent receives the *Notice of Receipt of Referral* (IE-1) or *Notice of Reevaluation* (RE-1), as long as the notice is provided before existing data is reviewed and before consent for additional testing is requested.	The department will verify correction of student-level noncompliance. If the parent was not afforded an opportunity to participate in the review of existing data, review evaluation data with the parent and determine whether additional evaluation data were needed at the time of the evaluation. If additional data were needed, decide whether a reevaluation is warranted at this time. Document the results of the discussion with the parent and the decision reached. If the parent was afforded an opportunity to participate in the review of existing data, but the review occurred **before** the parent was notified in writing of the start of the evaluation, no student-level corrective action is required. There must be evidence of the parent's participation.	

RECORD REVIEW CHECKLIST

Item No.		Item Description	Standards & Directions	Required Student-Level Corrective Action	Evidence Of Student-Level Corrective Action**
EVAL-1 contd.			The review may be conducted without a parent's participation if the LEA is unable to convince the parent to participate. If the parent did not participate, the LEA must document at least three reasonable attempts to convince the parent to participate. The record of attempts to involve parents in the review can be found on the LEA's notices, forms IE-2, IE-3, RE-4, or RE-5. In some cases, the record of attempts to involve the parents in the review will be found in section III of form EW-1. Examples of documentation include: • detailed records of telephone calls and the results of those calls; • copies of correspondence sent to parent and any response received; and • detailed records of visits made to the parent's home or place of employment and results of the visits. If the parent did not participate, but there is a record of at least three reasonable attempts to convince the parent to participate, the requirement is met. Often school personnel will attempt to contact parents by telephone. Do not count a telephone call where there is no answer or no message is left as an attempt. A telephone call where the phone is answered and a message is left may be counted. A delivered e-mail message may be counted as an attempt.		
		A review of existing evaluation data on the student to identify what additional data, if any, were needed to complete the evaluation or re-evaluation included:			
EVAL-2	☐ Yes ☐ No ☐ NA	a. not less than 1 regular education teacher of such student (if the student is, or may be, participating in the regular education environment); and Comments:	After a parent is notified in writing of the start of an initial evaluation or reevaluation, IEP team members must review existing data to determine what, if any, additional data are needed. After the review is complete, the LEA must either notify the parent no additional assessments are needed or request parental consent for additional assessment.	The department will verify correction of student-level noncompliance. If the required IEP team member was not afforded an opportunity to participate in the review of existing data, review evaluation data with the member and determine whether additional evaluation data were needed. If additional data were needed at the time of the evaluation, determine whether a reevaluation is warranted at this time. Document the results of the discussion with the IEP team member and the decision reached.	
EVAL-3	☐ Yes ☐ No	b. not less than 1 special education teacher, or where appropriate, not less than 1 special education provider of such student; and Comments:	This requirement has three components: • The review of existing data must occur *after* the parent is notified in writing of the start of an evaluation (IE-1 or RE-1). • The required IEP team member's input and the date of the input must be documented. This information is often located on the *Worksheet for Consideration of Existing Data* (EW-1). • The review of existing data must occur **on or before** the date on the form requesting parental consent for additional assessment or the notice no additional assessments are needed (IE-2, IE-3, RE-4, or RE-5).		
EVAL-4	☐ Yes ☐ No	c. a local educational agency representative.			

RECORD REVIEW CHECKLIST

Item No.		Item Description	Standards & Directions	Required Student-Level Corrective Action	Evidence Of Student-Level Corrective Action**
EVAL-4 contd.			The review of existing data may occur on the same day the parent is notified of the start of an evaluation only if the parent is provided with a copy of the notice of the start of the evaluation in person prior to the review. If the notice of the start of an evaluation (IE-1 or RE-1) is mailed to the parent, the LEA should consider the amount of time mail takes to go through the LEA's processing and mailing system before beginning to review existing data. Although the review of existing data may be completed during an IEP team meeting, an IEP team meeting is not required for this purpose. If a meeting was held to review existing evaluation data, look for an *Evaluation Report and IEP Cover Sheet* (I-3) and determine whether the required IEP team member attended the meeting to review existing evaluation data. A meeting to review existing data may be held on the same day the parent receives the *Notice of Receipt of Referral* (IE-1) or *Notice of Reevaluation* (RE-1), as long as the notice is provided before existing data is reviewed and before consent for additional testing is requested. A regular education teacher is a required member of the IEP team for a child with a disability age 3-5 if the child is or may be participating in a regular early childhood program during the term of the IEP. If the student is not in a regular education environment and is not anticipated to be in a regular education environment during the term of the IEP, including a regular early childhood program for a child age 3-5, enter "NA" for item EVAL-2. A common error is failing to obtain the input of the LEA representative. Another common error occurs when the individualized education program (IEP) team participant who fills out the *Worksheet for Consideration of Existing Data* fails to include his or her own input. Another common error occurs when a case review by a problem-solving team (teacher assistance teams, building consultation teams) prior to referral for special education is documented, instead of the IEP team's review to decide whether additional evaluation data is needed to complete an IEP team evaluation.	If the required IEP team member was afforded an opportunity to participate in the review of existing data, but the review occurred **before** the parent was notified in writing of the start of the evaluation, no student-level corrective action is required. There must be evidence of the IEP team member's participation.	
EVAL-5	☐ Yes ☐ No	The student's parent attended the meeting to determine whether the student is or continues to be a child with a disability or participated by other means. Comments:	The LEA must take steps to ensure one or both of the parents of the student are present at the IEP team meeting or are afforded the opportunity to participate, including 1) notifying parents of the meeting early enough to ensure that they have an opportunity to attend; and 2) scheduling the meeting at a mutually agreed on time and place. If neither parent can attend, the school must use other methods to ensure parent participation, including individual or conference telephone calls.	Offer parents the opportunity to conduct a new IEP team meeting to determine whether the student is or continues to be a child with a disability. Document the results of the discussion with the parent and the decision reached. The department will verify correction of student-level noncompliance.	

RECORD REVIEW CHECKLIST

Item No.		Item Description	Standards & Directions	Required Student-Level Corrective Action	Evidence Of Student-Level Corrective Action**
EVAL-5 contd.			If neither parent can attend, the school must use other methods to ensure parent participation, including individual or conference telephone calls. Look at the Evaluation Report and IEP Cover Sheet (I-3) for the name of the parent listed as a participant. Also look on the I-3 to see that “evaluation including determination of eligibility” is indicated as a purpose of the meeting. Consider the LEA’s practices for documenting meeting attendance. If the LEA’s practice is to list the participants on I-3 based on their actual attendance, consider the requirements met if the parent is listed as a meeting participant and one purpose of the meeting is IEP review or development. Some LEAs enter the names of IEP team participants before the meeting is conducted. They use check marks or participants’ initials to indicate attendance at the meeting. For such LEAs, consider the requirement met if there is a check mark or initials indicating the parent attended and one purpose of the meeting was evaluation. If determining eligibility is not indicated on the Evaluation Report and IEP Cover Sheet (I-3) as one purpose of the meeting, you may still be able to establish the purpose of the meeting. Look for other evidence of the purpose of the meeting. Look at the Invitation to a Meeting of the IEP Team (I-1) sent to the parent. Note whether the invitation to the meeting indicates “determining initial or continuing eligibility” as one purpose of the meeting. Also look at the Evaluation Report: including Determination of Eligibility and Need for Special Education (ER-1) and note whether the date of the eligibility determination is the same as the date of the IEP team meeting on the Evaluation Report and IEP Cover Sheet (I-3). The purpose of the meeting is established if the invitation to the meeting (I-1) indicates evaluation as a purpose, and the date of the eligibility determination (ER-1) is the same as the date of the meeting (I-3). If no parent attended the meeting or participated by other means, the parent participation requirement may still be met. If there is documentation the parents have agreed to participate in the IEP team meeting and the parents fail to arrive for the scheduled meeting, the meeting may proceed without the parents in attendance. Look for documentation that the parent agreed to the time and place of the meeting. The requirement may still be met even if the parent declined to participate or did not respond to reasonable attempts to obtain participation in the meeting. Look at the bottom of the *Evaluation Report and IEP Cover Sheet* (I-3) for documentation of at least three reasonable attempts to obtain the parent’s participation. Examples include:		

RECORD REVIEW CHECKLIST

Item No.		Item Description	Standards & Directions	Required Student-Level Corrective Action	Evidence Of Student-Level Corrective Action**
EVAL-5 contd.			• Records of telephone calls and the results of those calls. Do not count a telephone call where there is no answer or no message is left as an attempt. A telephone call where the phone is answered and a message is left may be counted. • Correspondence sent to parents, including e-mail, and any response received. • Records of visits to the parent's home or place of employment and the results of the visits.		
EVAL-6	☐ Yes ☐ No	At the IEP team meeting to determine whether the student is a child with a disability, the IEP team reviewed evaluations and information provided by the student's parents. Comments:	At the IEP team meeting to determine eligibility, the IEP team must review evaluations and information provided by the student's parents. The relevant information is summarized in *Evaluation Report: including Determination of Eligibility and Need for Special Education* (form ER-1). Look under "Information from Review of Existing Data" and "Information provided by parents" for information supplied by the parents. Also look under "Summary of previous evaluations" for results of evaluations provided by parents, if any.	Offer to parents to conduct a new IEP team meeting to determine whether the student is or continues to be a student with a disability. Document the results of the discussion with the parent and the decision reached. The department will verify correction of student-level noncompliance.	
EVAL-7	☐ Yes ☐ No	At the IEP team meeting to determine whether the student is a child with a disability, the IEP team reviewed previous interventions and the effects of those interventions.** **Not required for independent 2r charter schools authorized under Wis. Stats., s118.40. Comments:	At the IEP team meeting to determine eligibility, the IEP team must review previous interventions for the student and the effects of those interventions. The relevant information is summarized in the *Evaluation Report: including Determination of Eligibility and Need for Special Education* (ER-1). Look under "Information from Review of Existing Data" and "Previous interventions and the effects of those interventions" for a description of *both* the interventions for the student *and* the effect of those interventions. Ensure both the interventions, *and* their effects are documented. For example "Child received Birth to 3 services for developmental delays. Although progress was made, language delays continue to exist." Examples that meet minimal compliance include "Student participated in Title I Reading, but has made little progress" or "Moved the student to front of room, which increased his time on task." In some cases, there may have been no previous interventions. In such cases, except for initial SLD evaluations, the requirement is met if the IEP team documented there were no previous interventions. For initial SLD evaluations, documentation of an intensive intervention is required.	Offer to parents to conduct a new IEP team meeting to determine if omitted information affects the eligibility determination. If yes, then reconsider eligibility. The department will verify correction of student-level noncompliance.	