

Directions for Using the Compliance Checklist

Completing the Heading

- Fill in demographic information about the student.
- Enter the current primary disability category. Enter a secondary disability category, if applicable.
- The area of the checklist to be used is determined by the most recent action/s completed in the record.
- For students who transfer from another LEA (in NC or out of State) also check if the student is in the Initial or Reevaluation cycle.
- When checking the record, review forms indicated to determine Compliant (C) or Noncompliant (NC).
- If there is an * under C or NC, a date must be entered from the form.
- If the student has been determined eligible for SLD, indicate *yes* if the student has been determined using the RtI model and *no* if the student has been determined eligible using the discrepancy model.
- A parent's letter of referral may serve as the referral and will start the 90 day timeline.

Reviewing the Student Record

Initial – *if checking a record of a student who has not gone through the reevaluation process:*

- Complete Compliance Areas I – V, VII – VIII (A and B). Complete C only if there has been a change in the continuum since the Initial Placement.
- Complete Compliance Areas IX, and X for students 14 and older, and XI, X, XI for students 16 and over. Complete XII if applicable and XIII if a disciplinary change in placement has occurred within the current school year.
- Complete Compliance Area XIV for students age 3 – 21 for whom a referral has been received. This should be completed only for students referred during the applicable fiscal year (July 1-June 30).
- Complete Compliance Area XV for students coming from the Part C program. This should be completed only for students referred during the applicable fiscal year (July 1-June 30).
- If a Secondary Disability Category has been determined, complete Compliance Areas IV(E) and VI(G).
- Complete XVI and XVII for all records.
- Complete XVIII (Fiscal Review) for all records audited. Refer to the *Correction of Noncompliance Document*.

Students referred (DEC 1 received) prior to November 1, 2007 must have required screenings and evaluations according to NC Procedures Governing Programs and Services for Children with Disabilities -October 2004 Edition. All students referred (DEC 1 received) on or after November 1, 2007 must have required screenings and evaluations according to NC Policies Governing Services for Children with Disabilities.

Reevaluation – *if checking a record of a student who has gone through the reevaluation process:*

- Complete for DD prior to turning age 8 or entering 3rd grade whichever comes first.

- Complete Compliance Areas I and V – VIII (B). Complete VIII (C) only if there has been a change in the continuum since the reevaluation was completed.
- For area VI (I), record DEC 5 for current reevaluation
- For area VI (J) record prior three year reevaluation or evaluation date.
- Compliance Areas XIV and XV are not required if checking a record of a student who has gone through the reevaluation process.
- Documentation must support review of all required screenings and evaluations for determining eligibility for the current category(s). Need to verify that in the record, all required components for the eligibility category(s) were completed.
- Documentation must be on DEC 7 and/or DEC 3.
- Complete Compliance Areas IX, and X for students 14 and older, and IX, X, and XI, for students 16 and over. Complete XII if applicable and XIII if a disciplinary change in placement has occurred within the current school year.
- If a Secondary Disability Category has been determined, complete Compliance Areas IV (E) and VI-G.
- Complete XVI and XVII for all records.
- Complete XVIII (Fiscal Review) for all records audited for any reason. Refer to the *Correction of Noncompliance Document*.

Transfer Students

- If a student transfers from another LEA in the State, the record should be audited based upon the cycle that the record is in currently (initial or reevaluation).
- If a student transfers from out of state, the record should be treated as an initial and would be audited using the steps to audit a record in the initial cycle.

Annual Review Only – *Records must have been reviewed for compliance following the initial or reevaluation process.*

- Complete Compliance Areas I, V, VII, VIII (A and B).
- Complete Compliance Area VIII (C) if there has been a change in LRE.
- Complete Compliance Areas IX, X, XI, XII if applicable, and XIII if a disciplinary change in placement has occurred within the current school year.
- Complete XVI and XVII for all records.
- Complete XVIII (Fiscal Review) for all records audited. Refer to the *Correction of Noncompliance Document*.

Completing the Deficit Sheet and Verification of Corrections Sheet

- Record the demographic data at the top of the page.
- List the Compliance Area number, the noncompliant issue and, when corrected, specify the date of correction of noncompliance. Indicate written documentation/form on which correction can be verified.
- The person verifying the correction of noncompliance must sign and date at the bottom of the form. This is the date of verification of correction.