THE LAW ON PRIOR WRITTEN NOTICE AND PRACTICAL COMPLIANCE STRATEGIES

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1. When is prior written notice required?

Prior written notice must be given to a parent:

- [A] Reasonable time before the public agency—
- (i) Proposes to initiate or change the identification, evaluation, or educational placement of the child or the provision of FAPE to the child; or
- (ii) Refuses to initiate or change the identification, evaluation, or educational placement of the child or the provision of FAPE to the child. 34 C.F.R. § 300.503(a).

Prior written notice must also be given to a parent following the parent's written revocation of consent for special education services, as follows:

If, at any time subsequent to the initial provision of special education and related services, the parent of a child revokes consent in writing for the continued provision of special education and related services, the public agency—

(i) May not continue to provide special education and related services to the child, but must provide prior written notice in accordance with §300.503 before ceasing the provision of special education and related services. 34 C.F.R. §300.300(b) (4) (i).

2. What must be included in the prior written notice?

The prior written notice must include:

- (1) A description of the action proposed or refused by the agency;
- (2) An explanation of why the agency proposes or refuses to take the action;
- (3) A description of each evaluation procedure, assessment, record, or report the agency used as a basis for the proposed or refused action;
- (4) A statement that the parents of a child with a disability have protection under the procedural safeguards of this part and, if this notice is not an initial referral for evaluation, the means by which a copy of a description of the procedural safeguards can be obtained;
- (5) Sources for parents to contact to obtain assistance in understanding the provisions of this part;
- (6) A description of other options that the IEP Team considered and the reasons why those options were rejected; and
- (7) A description of other factors that is relevant to the agency's proposal or refusal. 34 C.F.R. § 300.503(b).

3. Is the prior written notice given before a decision is contemplated or before a decision is acted upon?

According to the U.S. Department of Education (USDE), in its discussion of the regulations, prior written notice must be provided a reasonable time before a decision is acted upon:

A public agency meets the requirements in §300.503 so long as the prior written notice is provided a reasonable time before the public agency implements the proposal (or refusal) described in the notice. 71 Fed. Reg. 46691.

South Dakota has adopted a specific timeline:

ARSD 24:05:30:04. Prior notice. Written notice which meets the requirements of § 24:05:30:05 must be given to the parents five days before the district proposes or refuses to initiate or change the identification, evaluation, or educational placement of the child or the provision of a free appropriate public education to the child. The five-day notice requirement may be waived by the parents.

4. In what context does prior written notice arise?

Definitions	Context of Proposal or Refusal
"Evaluation means procedures used in	Referral by an individual
accordance with §§ 300.304 through 300.311	Informal review of a referral
to determine whether a child has a disability	Evaluation team review of existing data
and the nature and extent of the special	IEP Team meeting
education and related services that the child	121 Tourn mooning
needs." 34 C.F.R. § 300.15.	Forms: Parental Prior Written
	Notice/Consent for Evaluation (for
	proposals)
	Parental Prior Written Notice (for refusals)
"Identification" refers to the identification of a	Informal review of a referral
child as a child with a disability, including the	Evaluation team review of existing data
specific disability category or categories.	IEP Team meeting to determine
	eligibility or continued eligibility
	Forms Danastal Drian Weisters Medies
Free appropriate public education or FAPE	Form: Parental Prior Written Notice
means special education and related services	IEP Team meeting
that—	
(a) Are provided at public expense, under	
public supervision and direction, and	
without charge;	
(b) Meet the standards of the SEA,	
including the requirements of this part;	
(c) Include an appropriate preschool,	Form: Parental Prior Written Notice
elementary school, or secondary school	
education in the State involved; and	
(d) Are provided in conformity with an	
individualized education program (IEP)	
that meets the requirements of §§	
300.320 through 300.324.	
34 C.F.R. § 300.17.	
"Placement" refers to a particular level on the	IEP Team meeting
continuum of alternative placements such as	When taking disciplinary action that
instruction in regular classes, special classes,	will result in a change of placement
special schools, home instruction, and	Graduation
instruction in hospitals and institutions. See 34	
C.F.R. § 300.115 Continuum of Alternative	Form: Parental Prior Written Notice
Placements.	

5. Isn't FAPE what we determine in an IEP meeting?

Yes, and for that reason, your IEP Team decisions trigger a duty to provide prior written notice.

Letter to Lieberman, 52 IDELR 18 (OSEP 2008). "Under 34 CFR § 300.17(d), FAPE means, among other things, special education and related services that are provided in conformity with an IEP that meets the requirements of §§ 300.320 through 300.324."

6. So how specific do we have to be regarding IEP Team actions? For example, does "provision" of FAPE refer to the type/amount/location of the services?

Yes, it appears that FAPE encompasses the elements of the IEP. *Letter to Lieberman*, 52 IDELR 18 (OSEP 2008). "[A] proposal to revise a child's IEP, which typically involves a change to the type, amount, or location of the special education and related services being provided to a child, would trigger notice under 34 CFR § 300.503."

7. Do we have to provide notice of procedural safeguards with the prior written notice?

The prior written notice must include: "A statement that the parents of a child with a disability have protection under the procedural safeguards of this part and, if this notice is not an initial referral for evaluation, the means by which a copy of a description of the procedural safeguards can be obtained." 34 C.F.R. § 300.503(b) (4).

Additionally, the procedural safeguards notice must be given to the parent at least once per year and under the following circumstances:

- (1) Upon initial or parent request for evaluation;
- (2) Upon receipt of the first State complaint under §§300.151 through 300.153 and upon receipt of the first due process complaint under §300.507 in a school year;
- (3) In accordance with the discipline procedures in §300.530(h); and
- (4) Upon request by a parent. 34 C.F.R. § 300.504(a).

8. We always send a notice before the IEP meeting, is that the same thing?

There are two types of notices that must be given to the parent in connection with an IEP meeting.

First, there is a notice of the IEP meeting that serves as an invitation to the meeting and is designed to ensure the parent's participation.

Form: Meeting Notice

The notice of the meeting must contain the following elements:

- (A) The notice required under paragraph (a) (1) of this section must—
 - (i) Indicate the purpose, time, and location of the meeting and who will be in attendance; and
 - (ii) Inform the parents of the provisions in §300.321(a) (6) and (c) (relating to the participation of other individuals on the IEP Team who have knowledge or special expertise about the child), and §300.321(f) (relating to the participation of the Part C service coordinator or other representatives of the Part C system at the initial IEP Team meeting for a child previously served under Part C of the Act).
- (B) For a child with a disability beginning not later than the first IEP to be in effect when the child turns 16, or younger if determined appropriate by the IEP Team, the notice also must—
 - (i) Indicate—
 - (1) That a purpose of the meeting will be the consideration of the postsecondary goals and transition services for the child, in accordance with §300.320(b); and
 - (2) That the agency will invite the student; and
 - (ii) Identify any other agency that will be invited to send a representative. 34 C.F.R. §300.322(b).

Second, there is prior written notice of the decisions that are made in the meeting.

The prior written notice is not given to the parent until after the IEP Team has made its decisions. The prior written notice serves to inform the parent of the IEP Team's decisions.

U.S. Dept. of Educ. Discussion of the Federal Regulations, 71 Fed. Reg. 46691 (August 14, 2006). "Providing prior written notice in advance of meetings could suggest, in some circumstances, that the public agency's proposal was improperly arrived at before the meeting and without parent input. Therefore, we are not changing §300.503 to require the prior written notice to be provided prior to an IEP Team meeting."

9. I thought we only have to provide prior written notice when the IEP Team does not reach consensus.

The Office of Special Education Programs, U.S. Department of Education, is clear that prior written notice is not limited to non-consensus IEP meetings.

Letter to Lieberman, 52 IDELR 18 (OSEP 2008). "Nothing in the statute or regulations indicates that the notice is related to a parent's attitude toward any changes proposed or refused by the public agency."

Letter to Lieberman, 52 IDELR 18 (OSEP 2008). "If, during an IEP meeting, the team, including the parent, agrees to a change in the, child's services, the public agency must provide written notice in accordance with 34 CFR § 300.503. Providing such notice following an IEP Team meeting where such a change is proposed -- or refused -- allows the parent time to fully consider the change and determine if he/she has additional suggestions, concerns, questions, and so forth."

10. Is a prior written notice required regarding a change that is requested by a parent? In the circumstances where a school district is not proposing a change but rather agreeing with a change that has been proposed by a parent, would the school district be required to provide a notice?

Letter to Lieberman, 52 IDELR 18 (OSEP 2008). "Yes. Under 34 CFR § 300.503, public agencies are required to give the parents of a child with a disability written notice, that meets the requirements of 34 CFR § 300.503(b), a reasonable time before the public agency proposes or refuses to initiate or change the identification, evaluation, or educational placement of the child or the provision of a free appropriate public education (FAPE) to the child. The purpose of the written notice requirement is to inform parents of a public agency's final action on a proposal or refusal to initiate or change the identification, evaluation, or educational placement, or the provision of FAPE to a particular child. Regardless of how a change to the above factors is suggested, it is the responsibility of the public agency to make a final decision and actually implement any determined change. Therefore, in the circumstances where a public agency is not proposing a change, but rather agreeing with a change that has been proposed by a parent, the public agency would be required to provide prior written notice to the parent, consistent with 34 CFR § 300.503."

11. What happens if we don't reach consensus in the IEP meeting? Can we proceed forward without the parent's agreement?

The school district makes the final decision and then gives prior written notice. In *K.A. by F.A. and A.A. v. Fulton County Sch. Dist.*, 59 IDELR 248 (N.D. Ga. 2012), the court rejected the notion that the parent had to agree with the changes to an IEP. In this case, what was at issue was a placement change. The court explained:

Other courts have held that 20 U.S.C. § 1414(d)(3)(F) does not require the entire IEP team to agree to the change for the IEP to be validly changed. Parents play a "significant role" in the process, and "the concerns parents have for enhancing the education of their child must be considered by the team." Winkelman ex rel. Winkelman v. Parma City Sch. Dist., 550 U.S. 516, 524 (2007) (internal quotations omitted), citing Schaffer v. Weast,

546 U.S. 49, 53 (2005). But the school is not required to obtain the parents' seal of approval to implement an IEP change. In Rosinsky v. Green Bay Area Sch. Dist., 667 F. Supp. 2d 964 (E.D. Wis. 2009), the plaintiff argued that she did not consent to changes made to her child's IEP at the IEP team meeting, and thus the changes were invalid. The court disagreed, reasoning that "[t]he problem with plaintiff's assertion that she was not part of the consensus arrived by the IEP team is that IEP team consensus does not require parental agreement in order to satisfy the IDEA." Id. at 984, citing Hjortness v. Neenah Joint Sch. Dist., 507 F.3d 1060, 1065-66 (7th Cir. 2007). In B.B. v. State of Hawaii, Dep't of Educ., 483 F. Supp. 2d 1042 (D. Hawaii 2006), the court also agreed with FCSD's interpretation of 20 U.S.C. § 1414(d)(3)(F), holding that "[t]he IDEA does not explicitly vest within parents a power to veto any proposal or determination made by the school district or IEP team regarding a change in the student's placement. Rather, the IDEA requires that parents be afforded an opportunity to participate in the IEP process and requires the IEP team to consider parental suggestions." Id. at 1050-51, citing McGovern v. Howard Cnty. Pub. Sch., No. AMD 01-527, 2001 U.S. Dist. LEXIS 13910 (D. Md. Sept. 6, 2001). The Second Circuit Court of Appeals has held that "[t]here is no requirement in the IDEA that the parties must reach consensus on all aspects of an IEP before it is valid. Rather, the proper recourse for parents who disagree with the contents of their child's IEP is to request a due process hearing, as did the parents here." A.E. v. Westport Bd. of Educ., 251 Fed. Appx. 685, 687 (2d Cir. 2007) (internal citations omitted). The Eighth Circuit Court of Appeals has held that "the IDEA does not require that parental preferences be implemented, so long as the IEP is reasonably calculated to provide some educational benefit." Bradley ex rel. Bradley v. Arkansas Dep't of Educ., 443 F.3d 965, 975 (8th Cir. 2006). This Court finds that K.A.'s parents were not required to consent to the amendment made to K.A.'s placement at the IEP team meetings in September and October 2010.

12. Can we use the IEP as the prior written notice?

U.S. Dept. of Educ. Discussion of the Federal Regulations, 71 Fed. Reg. 466691 (August 14, 2006). "There is nothing in the Act or these regulations that would prohibit a public agency from using the IEP as part of the prior written notice so long as the document(s) the parent receives meet all the requirements in §300.503."

Letter to Lieberman, 52 IDELR 18 (OSEP 2008). "Written notice required under 34 CFR § 300.503 must meet the content requirement in 34 CFR § 300.503(b). The Analysis of Comments and Changes to the regulations indicate that nothing in the IDEA or the regulations would prohibit a public agency from using the IEP as part of the prior written notice so long as the document(s) the parent receives meets all the requirements in 34 CFR § 300.503."

13. Can we use our minutes as the prior written notice?

Some states discourage minutes. In states where minutes are an acceptable practice, we think that well-written minutes may provide much of the information required in a prior written notice. However, you must ensure that the document(s) the parent receives meets all the requirements of prior written notice. Therefore, we recommend that instead of drafting minutes during the meeting AND preparing a prior written notice following the meeting, you consider drafting structured minutes that satisfy the elements of prior written notice.

In K.A. by F.A. and A.A. v. Fulton County Sch. Dist., 59 IDELR 248 (N.D. Ga. 2012), the court determined that the school district provided adequate prior written notice. The court observed:

Following the meetings of September 2, 2010 and October 1, 2010, K.A.'s parents received copies of the meeting minutes and additional educational records. (Radford Aff. ¶ 8.) These IEPs and educational record documents received by K.A.'s parents explain the proposed action, provide notes of the discussions that were held in the parents' presence and explain the rationale for the proposed amendment. (Id. at ¶¶ 6, 8, 9; Def.'s Br., at Exs. D & F.) The October 1, 2010 IEP and corresponding meeting minutes describe FCSD's concerns about K.A.'s placement, discuss the team's rationale, the reasons why they believed that the current IEP setting was not appropriate, and the factors that the team considered when FCSD made its recommendation for the IEP amendment. (Id. at ¶¶ 6, 8, 9; Def.'s Br., at Exs. D & F.)

14. Do we have to give a prior written notice when the parent and district agree to amend the IEP without a meeting?

OSERS Questions and Answers on Individualized Education Programs, Evaluations, and Reevaluations, 47 IDELR 166 (January 1, 2007). "The regulations require, at 34 CFR § 300.503(a), that written notice that meets the requirements of 34 CFR § 300.503(b) must be given to the parents of a child with a disability a reasonable time before the public agency -- (1) Proposes to initiate or change the identification, evaluation, or educational placement of the child or the provision of FAPE to the child; or (2) Refuses to initiate or change the identification, evaluation, or educational placement of the child or the provision of FAPE to the child. This provision applies, even if the IEP is revised without convening an IEP Team meeting, pursuant to 34 CFR § 300.324(a)(4)."

From South Dakota IEP Technical Assistance Manual (page 55):

• Example: A parent calls the district and would like to discuss a change to their child's IEP. The district and the parent agree to make a change to the IEP. The district completes a prior notice that states when the parent called, what was discussed and the change that was

agreed upon. The amendment is completed and attached to the prior notice and sent to the parent. The prior notice states that the amendment will go into effect on XXXX date, which is after the 5 days prior notice.

• Example: A parent is visiting the school and the district and the parent are discussing a change to the child's IEP. The parent and the district agree to a change. While the parent is at the school, the district completes the amendment and has the parent sign. The district also completes the prior notice which states what they just agreed to. The district explains that the change will go into effect after the 5 days prior notice unless the parent wishes to waive the 5 days prior notice waiting period. The parent signs the waiver right away and the change can go into effect immediately.

See also attached sample adapted from U.S. Department of Education Model form.

15. Tell us more about Prior Written Notice within the identification context.

The prior written notice should be clear including with respect to label. *Letter to Atkins-Lieberman*, 56 IDELR 141 (OSEP 2010). "In the case of a proposal to identify a child as having a disability under 34 CFR § 300.8 (eligibility for special education and related services []), OSEP would expect that the prior written notice, in order to fully explain the actions being proposed would include the proposed category of disability, if applicable (some States have no categorical identification), along with the proposal to initiate services or placement in special education. Additionally, if the parent requests a change in identification (category of disability or from a child with a disability to a child without a disability) and the public agency refuses the parent's request."

In Regional Sch. Unit No. 51 v. Doe, 113 LRP 4293 (D. Me. 2012), the district court held:

[I]n offering section 504 supports in lieu of special education, the District was required to provide the Parents prior written notice of a change in SM's identification as IDEA-eligible. See 20 U.S.C. §§ 1415(b)(3) (school district must provide written notice of proposed change in child's identification), 1415(c)(1) (foregoing notice must apprise parents, inter alia, of procedural safeguards). This written notice would have apprised the Parents that they were eligible to access due process rights with respect to the action at issue.

16. What if we can't agree on identification?

U.S. Dept. of Educ. Discussion of the Federal Regulations, 71 Fed. Reg. 46661 (August 14, 2006). "The eligibility group should work toward consensus, but under § 300.306, the public agency has the ultimate responsibility to determine whether the child is a child with a disability. Parents and school personnel are encouraged to work together in making the eligibility determination. If the parent disagrees with the public agency's determination, under § 300.503, the public agency must provide the parent with prior written notice and the parent's right to seek resolution of any disagreement through an impartial due process hearing, consistent with the requirements in § 300.503 and section 615(b)(3) of the Act."

17. How does prior written notice work within the evaluation context?

When proposing to evaluate, the Prior Written Notice must include the following additional information:

The public agency must provide notice to the parents of a child with a disability, in accordance with § 300.503, that describes any evaluation procedures the agency proposes to conduct. 34 C.F.R. § 300.304(a).

School districts are not obligated to grant every parental request for an evaluation. However, a refusal to evaluate triggers prior written notice. We think a "not now" response to a request for an initial evaluation is a refusal. RTI efforts should be part of the "explanation of why" in the Prior Written Notice of refusal to conduct an initial evaluation. RTI data should be included in the "description of each evaluation procedure, assessment, record, or report the agency used as a basis" for the refusal to conduct an initial evaluation.

OSERS Questions and Answers on Response to Intervention and Early Intervening Services, 47 IDELR 196 (January 1, 2007). "If an LEA declines the parent's request for an evaluation, the LEA must issue a prior written notice as required under 34 CFR § 300.503(a)(2) which states, written notice that meets the requirements of paragraph (b) of this section must be given to the parents of a child with a disability a reasonable time before the public agency refuses to initiate or change the identification, evaluation, or educational placement of the child or the provision of FAPE to the child. The parent can challenge this decision by requesting a due process hearing to resolve the dispute regarding the child's need for an evaluation."

U.S. Dept. of Educ. Discussion of the Federal Regulations, 71 Fed. Reg. 46640 (August 14, 2006). "[W]e believe the regulations are clear that the public agency must provide the parents with written notice of the agency's refusal to conduct a reevaluation, consistent with § 300.503 and section 615(c)(1) of the Act."

18. What about disciplinary changes of placement?

Prior written notice is required a reasonable time before the district proposes to initiate a disciplinary change of placement. A disciplinary change of placement occurs if:

- (1) The removal is for more than 10 consecutive school days; or
- (2) The child has been subjected to a series of removals that constitute a pattern—
 - (i) Because the series of removals total more than 10 school days in a school year;
 - (ii) Because the child's behavior is substantially similar to the child's behavior in previous incidents that resulted in the series of removals; and
 - (iii) Because of such additional factors as the length of each removal, the total amount of time the child has been removed, and the proximity of the removals to one another. 34 C.F.R. § 300.536.

Additionally, IDEA requires that notice of procedural safeguards be given "on the date on which the decision is made to make a removal that constitutes a change of placement." 34 C.F.R. § 300.530(h).

19. What about when a student graduates?

"Graduation from high school with a regular high school diploma constitutes a change in placement, requiring written prior notice in accordance with § 300.503." 34 C.F.R. § 300.102(a)(3)(iii).

20. What defenses may a district assert when it fails to provide prior written notice and a parent sues?

Communication with parents is the key.

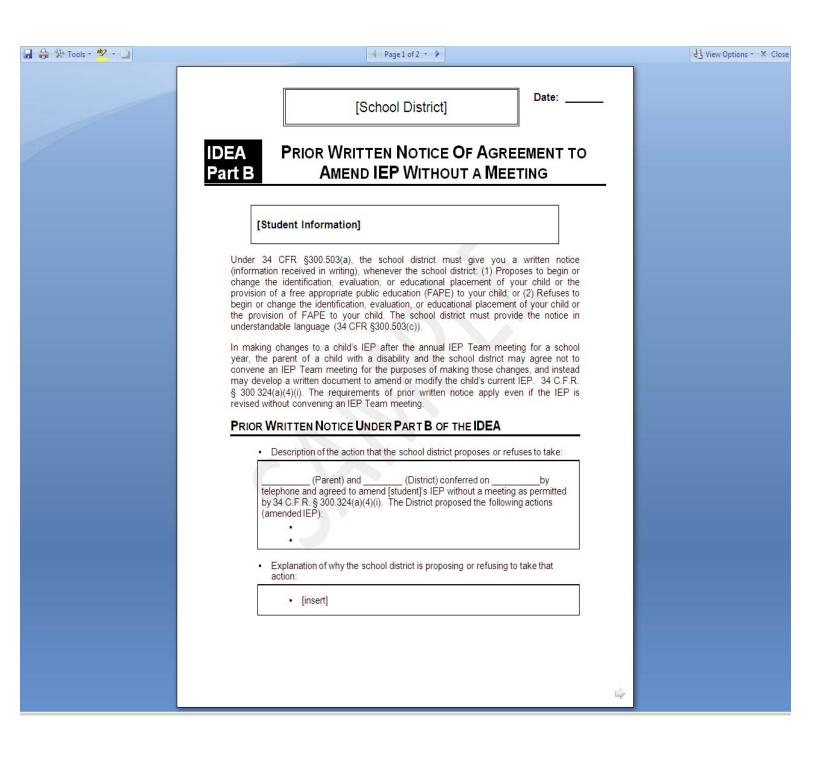
Manuel P. v. Anchorage Sch. Dist., 265 P.3d 308; 58 IDELR 17 (Alaska 2011). When the student's writing instruction was changed from a regular to special education setting without prior written notice, the court concluded: "We echo the hearing officer's and superior court's concerns that immediate implementation of IEP amendments before issuance of a prior written notice seems to negate the 'prior' in prior written notice." However, the court concluded that because the parents "were not deprived of the opportunity to participate in Manuel's education planning as a result of the untimely prior written notice. First, Madeline knew amending Manuel's IEP to reflect the new writing instruction location would be discussed because Schofield listed it on an agenda that was sent nine days prior to the meeting. Second, Madeline attended the January 19 meeting when the IEP was amended and participated in the discussion."

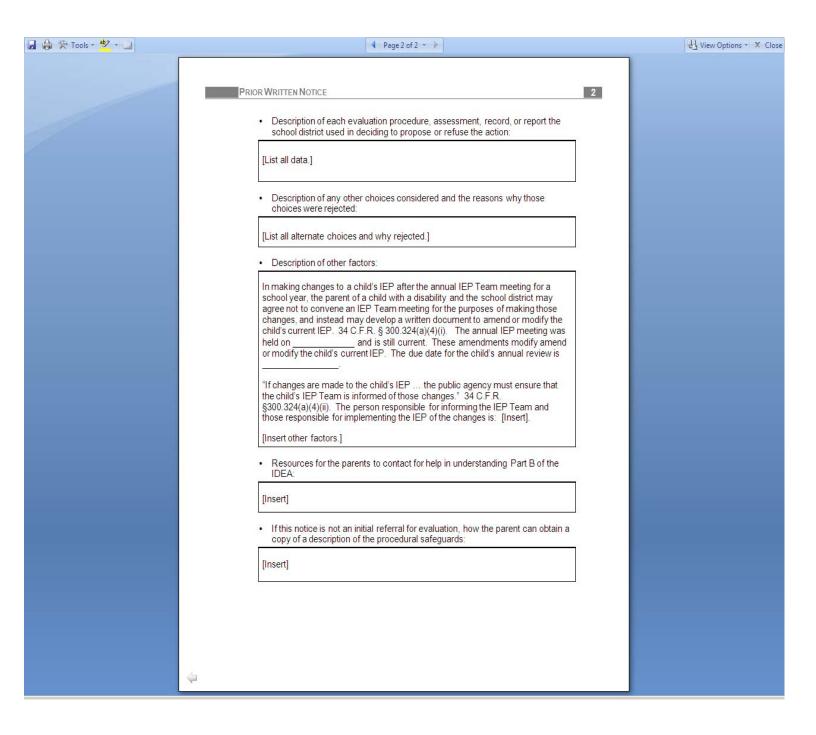
M.B. v. Hamilton Southeastern Schools, 112 LRP 6281 (7th Cir. 2011). This case centered on a dispute over whether the child required full-day (double-session), rather than half-day kindergarten for FAPE. The school failed to provide prior written notice of its refusal of a full-day (double-session) kindergarten. The court concluded that such failure did not deny the student a FAPE since the parents were fully aware of the school's decision. The court reasoned as follows:

Moreover, M.B.'s parents claim that the School's failure to provide them with prior written notice of its decision to deny a double-session kindergarten placement denied them an opportunity meaningfully to participate in crafting M.B.'s IEP. See 20 U.S.C. § 1415(b)(3)(B) (requiring written prior notice to be provided when the school district "refuses to initiate or change"). But the purpose of this requirement is to ensure that parents are aware of the decision so that they may pursue procedural remedies. See, e.g., J.W. ex rel. J.E.W. v. Fresno Unified Sch. Dist., 626 F.3d 431, 459 (9th Cir. 2010) (suggesting that formal notice of a proposed placement "will greatly assist parents in presenting complaints" regarding that placement); A.K. v. Alexandria City Sch. Bd., 484 F.3d 672, 682 (4th Cir. 2007) (noting that the policies served by prior written notice include "creating a clear record of the educational placement" and "assist[ing] parents in presenting complaints"). Here, M.B.'s parents were well aware of the School's refusal to provide double-session kindergarten, as evidenced by their decision to initiate a due process complaint. The lack of prior written notice did not impair the parents' ability to participate in the process, and the hearing officer did not clearly err when he determined that this omission "in no way resulted in harm to the Student." (A.R. at 3415.)

Costello v. Mitchell Pub. Sch. Dist. 79, 266 F.3d 916; 35 IDELR 159 (8th Cir. 2001). In this case, the parent's own conduct negated the procedural error of failing to provide prior written notice. The court explained:

Not all procedural errors result in a loss of educational opportunity. See *J.D. v. Pawlet Sch. Dist.*,224 F.3d 60, 69 (2d Cir. 2000); *Heather S. v. Wisconsin*, 125 F.3d 1045, 1059 (7th Cir. 1997) (quoting W.G. v. Bd. of *Trustees*,960 F.2d 1479, 1483 (9th Cir. 1992)). Despite the failure to provide the notice required by § 1415, Mitchell requested, both orally and in writing, a current medical report. In response to these requests, the plaintiffs provided only outdated diagnoses that did not describe any current health impairment. In light of their failure to provide information that might well have helped Mitchell in its continuing efforts to evaluate Sadonya's condition, the plaintiffs will not now be heard to complain of Mitchell's failure to comply literally with the terms of the relevant statutes. Accordingly, we conclude that the court properly granted summary judgment to the defendants on the IDEA claim.





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