Surrogate Parent Program

Procedures Manual

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STATUTORY AND REGULATORY AUTHORITY

The Surrogate Parent Program is a federally mandated program (34 Code of Federal Regulations [CFR] § 300.519) that provides educational advocacy services for children and youth under the jurisdiction of the Department of Children and Families (DCF) (foster children) or an unaccompanied minor or homeless youth (34 CFR § 300.519[f]), who need or may need special education.

State statute (Connecticut General Statues [CGS] § 10-94g) currently calls for a surrogate to be appointed when:

1. a child may require special education, or a child who required special education no longer requires such education but requires or may require services under Section 504 of the Rehabilitation Act of 1973, as amended from time to time;
2. the parent or guardian of such child cannot be identified;
3. the whereabouts of the parent cannot be discovered after reasonable efforts to locate the parent have been made;
4. such child is a ward of the state; or
5. such child is an unaccompanied and homeless youth.

Regulations of Connecticut State Agencies (RCSA) §§ 10-94j-1 to 10-94j-9, inclusive, pertain to the appointment and training of surrogate parents.

See Attachment A for Statutory and Regulatory authority.

II. INITIAL SURROGATE PARENT ASSIGNMENT

A. Student Eligibility for Surrogate Parent

A surrogate parent must be appointed by the Connecticut State Department of Education (CSDE) to represent a student whenever the student requires or may require special education and at least one of the following is applicable to the student’s situation:

1. no parent or guardian of the student can be identified or located after reasonable efforts, or is unavailable;
2. the student is committed to the guardianship of the Commissioner of DCF;
3. the Commissioner of DCF is the child’s statutory parent; or
4. the student is an unaccompanied and homeless youth.

In addition, whenever a planning and placement team (PPT) determines that a student who previously required special education no longer requires special education, the student will remain eligible for surrogate parent representation if the child requires or may require services under Section 504 of the Rehabilitation Act of 1973 and at least one of the following remains applicable to the child’s situation:

1. no parent or guardian of the child can be identified or located after reasonable efforts;
2. the child is committed to the guardianship of the Commissioner of DCF;
3. the Commissioner of DCF is the child’s statutory parent; or
4. the child is an unaccompanied and homeless youth.

Once a student reaches the age of majority, 18 years of age, unless the student is determined by a court to be incompetent under state law, a school district must provide all notices required under the Individuals with Disabilities Education Act (IDEA) to both the student and the student’s parent/surrogate parent. All other rights accorded to parents under IDEA, transfer to the student at the age of majority.

Therefore, when a student reaches 18 years of age, the surrogate parent’s role changes and is defined by a contract (Form SP-500) the student or guardian/conservator signs requesting that surrogate parent services continue and defines the scope of service.

As long as the student meets the criteria for surrogate parent eligibility up until his/her 18th birthday, the child remains eligible for a surrogate parent to ensure that the student continues to have access to a free and appropriate public education (FAPE) until one of the following occurs:

1. the student is no longer eligible for special education;
2. the student is no longer eligible for services needed for FAPE under Section 504;
3. the student is determined by a court to be incompetent, under state law, and a guardian is appointed who has the authority to represent the student in educational matters and the guardian does not request the services of a surrogate parent for the student; or
4. the student is determined by a court to be incompetent, under state law, and a conservator is appointed and the conservator does not request the services of a surrogate parent for the student.

B. Surrogate Parent Assignment

The CSDE contracts with individuals, who are available for statewide travel and are available to communicate by e-mail, telephone and mail on a consistent basis, to provide surrogate parent representation to eligible children. **Surrogate parents are independent contractors and are NOT employees of the State Department of Education.** The Surrogate Parent Office ensures that at least one contracted surrogate parent is available to accept new cases in each location in which Connecticut children are placed. Often, more than one surrogate parent has responsibilities in the same town and school. Upon receiving information from DCF that a Connecticut child is eligible for surrogate parent representation, a surrogate parent is assigned within 30 days of receipt of the Form DCF-603. **See Forms Section for a sample DCF-603 form.** Typically, individual assignments are initially based on the town in which the student’s educational placement is located. Thereafter, when a child changes residence or school, the goal of program is to provide as much stability and continuity for children as possible. The need of the Surrogate Parent Program, based on coverage and particular needs of students, are considerations in assignment of surrogate parents.
C. Notification of Assignment

The Surrogate Parent Office enters the assignment information in the Surrogate Parent Office database, issues and forwards a copy of the surrogate parent assignment letter (see attachment B) by e-mail to:

1. the child’s surrogate parent;
2. the child’s responsible school district;
3. the site of the child’s educational services, or if the Surrogate Parent Office does not have that information, the school district which provides educational services to students of the child’s age who reside in the same town as the child;
4. the case worker of the agency which provides “other than educational” services to the child (usually DCF); and
5. the residence of the child, if the child resides in a group home, temporary shelter, hospital, detention center, or residential facility.

See attachment B for sample of the assignment letter.

Occasionally, a surrogate parent will be advised by a school district staff member, facility staff member, agency staff member, or another surrogate parent that the individual is a child’s new surrogate parent. If the surrogate parent has not been so advised in writing (letter or e-mail) by the Surrogate Parent Office, the surrogate parent should contact the Surrogate Parent Office and obtain written confirmation that he/she has been appointed as the surrogate parent for the student in question.

A surrogate parent must not represent a child unless one of the following has occurred:

1. the surrogate parent has received an assignment letter from the Surrogate Parent Office; or
2. the surrogate parent has received an e-mail confirmation of assignment from the Surrogate Parent Office.

D. No Assumption of Assignment

An individual may not provide surrogate parent representation to a child unless that individual has been appointed by the Surrogate Parent Office as the child’s surrogate parent. A surrogate parent must be certain that he or she is authorized by the Surrogate Parent Office to serve as a child’s surrogate parent prior to representing the child. Unauthorized representation may result in the termination of the individual surrogate parent’s contract.

E. No Substitutes

A surrogate parent may not arrange for another individual to represent one or more of the students assigned to that the surrogate parent during a period of time in which the surrogate parent is unavailable. Informally-arranged “substitute surrogate parents” or “stand-in surrogate parents” are not allowed, whether arranged by a child’s surrogate parent or by a school district or a DCF worker.
In the event that a child requires services by a surrogate parent and the child’s surrogate parent is unavailable to represent the child, for whatever reason, the Surrogate Parent Office will appoint another individual as the child’s surrogate parent. Depending upon the situation, the child’s new surrogate may remain as the child’s surrogate parent even after the previous surrogate parent becomes available. In the event the previous surrogate parent wishes to be reappointed as the child’s surrogate parent, approval must be received in writing.

III. ASSIGNMENT OF STUDENTS

A. Duration of Assignment

The individual who has been appointed as a child’s surrogate parent continues to serve as the child’s surrogate parent until one of the following occurs:

1. another individual is appointed by the Surrogate Parent Office to serve as the child’s surrogate parent;
2. it is determined that the child is no longer eligible to receive the services of a Connecticut appointed surrogate parent, and the surrogate parent assignment has been terminated by the Surrogate Parent Office (common reasons are graduation, aging out, guardianship has been returned to parent, child has been adopted);
3. the child is at least 18 years old, has not been found (by a court) to be incompetent, and has declared in writing on the Form SP-500 that he/she no longer wishes to have a surrogate parent. A copy of this form must be submitted to the Surrogate Parent Office (See Form SP-500) and included in the student’s file; or
4. it is determined that a surrogate parent should not have been appointed to represent the child, and the surrogate parent assignment is terminated by the Surrogate Parent Office.

B. “Whereabouts Unknown”

Occasionally, the whereabouts of a child become unknown, usually because the child has run away from a foster home or another type of residence. In such situations, the surrogate parent must attempt for three consecutive months to determine the location of the child by contacting the nexus school district, DCF and any other appropriate agency likely to have knowledge of the child’s whereabouts, in writing (by e-mail when possible). The surrogate parent should maintain a record of the attempts to determine the child’s whereabouts. In the event that the location of the child cannot be discovered, after three months (90 days) of attempts the surrogate parent shall return the file with a Form SP-206 and indicate that the child is now “whereabouts unknown,” also referred to as AWOL. The Surrogate Parent Office will update the child’s status in the database to “closed.” In the event the student’s whereabouts become known, a surrogate will be reappointed.

C. Drop Out

One of the core goals of the Surrogate Parent Office is to have our students graduate. Occasionally, a child who is eligible for surrogate parent representation will choose to refuse educational services despite the encouragement of the surrogate parent and other individuals.
In such situations, the surrogate parent should maintain a record of the efforts made to encourage the student to remain in school and the student’s stated reasons for wanting to drop out. The surrogate parent should specifically inform the student that he/she is eligible to receive the help of a surrogate parent until the end of the school year in which the student turns 21. The surrogate parent shall return the file to the Surrogate Parent Office with a Form SP-206. The Surrogate Parent Office will update the child’s status in the database to “closed” until such time the student requests the re-assignment of a surrogate parent.

D. Adult Education

Occasionally, a student who is eligible for surrogate parent representation will choose to drop out of school, despite the advice of the surrogate parent, and will enroll in adult education. In such situations, the surrogate parent shall return the file to the Surrogate Parent Office with a Form SP-206. The Surrogate Parent Office will update the child’s status in the database to “closed” until such time the student requests the re-assignment of a surrogate parent. However, be aware that if the PPT develops an individualized education program (IEP) that includes participation in a nontraditional educational program, as has occurred on some occasions, the child continues to have active status.

E. Unable to Advocate Adequately

If an individual indicates to the Surrogate Parent Office that he/she is unable to advocate adequately as the surrogate parent for a particular child, either due to a possible conflict of interest or extended unavailability or any other reason, the Surrogate Parent Office will appoint another individual as the child’s surrogate parent.

F. Student No Longer Eligible

The surrogate parent shall indicate to the Surrogate Parent Office by completing Form SP-206 accompanied by the file whenever the surrogate parent believes that a child is no longer eligible for surrogate parent services due to one or more of the situations listed on the Form SP-206.

G. Change of Residence, School Or Nexus

The Surrogate Parent Office strives to provide stability and continuity for the children served by surrogate parents. Statewide travel as well as occasional out-of-state travel is necessary, at times, to meet the needs of the child. If the Surrogate Parent Office receives notification (typically from the surrogate parent, DCF or a school district) that a child has changed the town of residence or school, the surrogate parent will stay assigned to the student.

H. Processing and Notification of Change of Residence, School or Nexus

Changes related to the student’s residence, school placement, etc., should be reported to the Surrogate Parent Office by the surrogate parent on Form SP-205. The changes or updates to
the student’s information in the Surrogate Parent Office database and a letter (see attachment C) is issued to the relevant parties which typically can include changes to:

1. the surrogate parent;
2. the school district responsible for educating the student;
3. the site of the child’s educational services or, if the Surrogate Parent Office does not have that information, the school district which provides educational services to students of the child’s age who reside in the same town as the child;
4. the case worker of the agency (usually DCF) which provides “other than educational” services to the child; and
5. the residence of the child, if the child resides in a group home, temporary shelter, hospital or residential facility.

See attachment C for a sample letter sent to the surrogate parent and other relevant stakeholders about the change in the student’s status resulting from the filing of the SP-205 or a new DCF 603.

I. Out-Of-State Travel

ALL out-of-state travel MUST have prior written approval from the Surrogate Parent Office.

J. Returning Files to the Surrogate Parent Office

Surrogate parents may mail files to our office or drop them off in person.

Mailing Files

Please e-mail us at surrogate.office@ct.gov that you are closing files. Closed files must include completed File Return Verification Form and the SP-206 Closed Case Form. Mail files to the following address:

Regular Mail

Connecticut State Department of Education
Bureau of Special Education
Attn: Surrogate Parent Program, Suite 604
P.O. Box 2219
Hartford, CT 06145-2219

Express Mail (FedEx or UPS)

Connecticut State Department of Education
Bureau of Special Education
Attn: Surrogate Parent Program, Suite 604
450 Columbus Boulevard
Hartford, CT 06103-1841
Dropping off Files in Person:

If the surrogate parent is returning files or other materials for the Surrogate Parent Office, please call 860-713-6910 or e-mail surrogate.office@ct.gov to schedule a file drop-off date and time. Please put “Closing Files” in the subject line. Please email at least 48 hours prior to intended drop-off date.

CSDE staff will contact the surrogate parent to confirm a date and time. Please deliver the files to the following address:

State Office Building
450 Columbus Boulevard
Hartford, CT 06103-1841

When you arrive and enter the State Office Building at the Columbus Street entrance, see the security guard and request that he/she call our office at 860-713-6910 to have a staff member meet you to receive the secure files. DO NOT LEAVE THE FILES WITH THE SECURITY GUARD.

A staff member will meet you inside the building (with a cart if you have a large number of files) and the accounting of returned items will take place in one of the small office areas near the security desk.

Surrogate parents must complete a File Return Verification Form and the SP-206 Closed Case Form, as appropriate, prior to delivering the files to CSDE. On the day of the return, CSDE staff must verify the files indicated on this form.

NOTE: As a requirement under FERPA, confidentiality of student information is based on legal and ethical precepts derived from constitutional law, federal and state mandates related to health and education, and social work ethical standards. All contracted surrogate parents must comply with FERPA regulations making special effort to protect the privacy of student education records.

IV. REQUIRED DUTIES AND RESPONSIBILITIES OF THE SURROGATE PARENT

The Surrogate Parent is required by contract to perform the duties within the guidelines of the Surrogate Parent Program Procedures Manual.

A. The Surrogate Parent shall represent a minimum of 10 cases of assigned foster children in the educational decision-making process.

   1. The maximum agreed upon number of cases that a Surrogate Parent will accept will not be altered by the Surrogate Parent without an amendment to the contract.
   2. The Surrogate Parent shall agree to travel up to 100 miles roundtrip to provide services to an assigned child.
3. The Surrogate Parent will not refuse assignments based on the location of the school in which the child attends (i.e., urban, suburban or rural setting) unless there are extenuating circumstances preapproved by the Surrogate Parent Program.

4. The Surrogate Parent shall notify the office by email to surrogate.office@ct.gov when a file is to be closed and return the file along with SP-206 Closed Case Form, as appropriate, **within one week of closure** of determining that closure is necessary (i.e., DCF no longer guardian, exited from special education and no 504 services required, etc.).

5. Provide monthly documentation (completed SP-300 forms and supportive materials) for services/activities rendered.

B. The Surrogate Parent shall conduct an average minimum of three (3) on-site meetings or visits per year for each of the assigned students.

1. Of the three (3) meetings or visits, one (1) must be a PPT annual review meeting.
2. Two (2) of such visits or meetings must be on-site face-to-face meetings or a visit with the student (such as a student observation). One visit must occur between July and December and the other must occur between January and June.
3. Any additional meetings (i.e., preparation of and attendance at due process hearings) shall be based on the educational plan and needs of the student.

C. On-site meetings or visits may include any one of the following:

1. Attendance at a PPT annual review meeting;
2. Observation of assigned children in education settings (30 minute minimum per session);
3. Participation in 504 team meetings for students who previously were eligible for special education services;
4. Participation in expulsion hearings, if an assigned student is facing expulsion;
5. Participation in a mediation pursuant to the due process proceedings;
6. Participation in due process hearings; and
7. Participation in required training convened or authorized by the CSDE Surrogate Program Manager.

D. In addition, the surrogate parent shall engage in the following routine duties and responsibilities:

1. Maintaining and updating each student’s file folder;
2. Reporting to the Surrogate Parent Office that the surrogate parent shall return to the CSDE at case closing, change in surrogate assignment or upon termination of the contract;
3. Providing semi-annual written updates by direct mail or e-mail of student’s progress to the CSDE Surrogate Program Manager;
4. Participating in other duties and activities as reasonably requested by the CSDE Surrogate Program Manager; and
5. Participation on case review meeting as requested by CSDE Surrogate Program Manager.
V. IMPLEMENTATION OF DUTIES AND RESPONSIBILITIES OF SURROGATE PARENT

A. Communication: Timely communication by e-mail and phone are fundamental parts of the surrogate parent responsibilities.

1. The surrogate parent must be available by e-mail in a timely manner, but should respond no later than 24 hours after receipt of e-mails during the work week (Monday through Friday).
2. The surrogate parent must notify the Surrogate Parent Office in advance of a scheduled vacation, or break for medical reasons.
3. The surrogate parent must be available for meetings both planned and unplanned made on behalf of the student and collaborate with school staff members in arranging for mutually convenient meeting times.
4. The surrogate parent must cooperate in a timely manner with requests of the Surrogate Parent Office, whether by e-mail, phone or mail.

B. Record Keeping: The surrogate parent must keep timely, accurate and reliable written documentation in the student’s file at all times to reflect the efforts (formal or informal) that are being made on behalf of the student.

1. The surrogate parent will keep a detailed log of all phone calls, the log will include date, person called, time of call, length of call and reason/purpose of call.
2. The surrogate parent will keep transcripts or journal summaries of documentation and all e-mail entries written on behalf of the students assigned. If journal summaries are kept, summaries will include date/time sent, individual sent to and summary of e-mail.
3. The surrogate parent will document all site visits using appropriate forms (SP-300).
4. The surrogate parent will keep all documents in the assigned student’s file. When a file is closed or when there is a change of surrogate for any reason, including retirement, illness or surrogate request to transfer case, the entire file, including all forms, notes and e-mails must be returned to the Surrogate Parent Office along with the appropriate/relevant form (see below). In the case of closure, the Form SP-206 must accompany the file. In the case of a file transfer for any reason, the Form SP-600 must accompany the file.

C. Case Flow (PPT Process)

The surrogate parent appointed for a child shall:

1. Send introductory e-mail within seven calendar days of a new assignment to the DCF social worker and district (both nexus district and placement district if they are different) which includes the surrogate’s contact information. (See sample Introductory Letter to District in the Attachment D.)
2. **Obtain copies for the file of all available educational records** pertaining to the student, including:
   - statewide assessments;
   - report cards and progress reports;
   - all evaluations pertaining to the education of the student. The term “evaluation” includes psychological evaluations, psychiatric evaluations, hospital discharge summaries, triennial evaluations, neurological evaluations, and evaluations concerning a child’s need for a related service. **Note:** Some of the student’s information may be subject to Family Educational Rights and Privacy Act (FERPA) and is filed in a separate file than the regular education cumulative file. Surrogate parents are bound by confidentiality laws; and
   - all available disciplinary records pertaining to the student including specific data on all suspensions.

**NOTE:** if the student was previously assigned a surrogate and has a file, the Surrogate Parent Office will mail that file to you. However, if there is a gap between when the file was closed and reopened, the surrogate parent will need to obtain updated assessment and/or evaluation information.

3. **Meet with the student within one month of new assignment and meet with and/or observe** the student in school. At the first meeting, the surrogate parent will provide the student with his/her contact information, which will include a telephone number and e-mail address. **Contacts should be face-to-face in the educational setting and should be of the following type:** One introductory, one progress-monitoring and one exit/closure of case. One additional contact should be reserved for emergency.

4. **Subsequent contacts** with the student should be strategic to answer questions of improvement of educational outcomes. Other monitoring of the student’s progress should be conducted within the scope of the contract. If the child is placed in an out-of-state setting by DCF, prior authorization **must** be obtained from the Surrogate Parent Program Manager **before** traveling out of State.

5. **Contact school district to discuss the need for a PPT within the first month of new assignment.** In many cases the surrogate parent is appointed because the school is referring the student to be evaluated for determination of eligibility for special education services. A surrogate parent is assigned as an advocate to assist and to **give permission for these evaluations.** If the student is determined ineligible for special education, the case will be closed and the file should be returned to the Surrogate Office within 30 days of the finding. **NOTE:** if after discussing the student with a district special education representative, the district does not find there is evidence to support the need to evaluate for special education eligibility determination and the student is performing well academically and behaviorally, then the surrogate parent does not need to insist on a referral or initial evaluation, unless they have evidence of student need that is contrary to that of the school district.
6. **Participate in referral to Special Education** If a decision is made to proceed to a referral to special education, the initial PPT meeting must be requested of the school district responsible in writing by e-mail as soon as possible but in no case more than thirty calendar days after assignment. Before the day of the PPT meeting the surrogate parent shall:

- review the student’s educational records including statewide assessments if any;
- review any disciplinary history, if any exists for the student;
- meet with the child and observe him in his program,
- talk to his primary teacher/s,
- talk with the DCF social worker and
- talk with the foster parent, if available

7. **File paperwork in a timely manner** to enable the student to receive an appropriate education at all times.

8. **Maintain confidentiality of the student’s information and records at all times.**

9. **Ensure the student’s evaluation occurs within time frame** that will allow the eligibility PPT meeting to occur at a date which would allow for implementation of an IEP no later than 45 school days after the referral to PPT meeting by the surrogate was made. **See timeline for referral in Attachment E.**

10. **Document decision not to evaluate by the PPT.** If the PPT decides not to evaluate, and the surrogate agrees, before a case is closed without evaluation the surrogate must include in the student’s file written documentation to support that decision. If the student has participated in any of the Connecticut statewide assessments, copies of those assessments must be in the file before it is referred for closure; as well as documentation of any disciplinary history.

11. **Document disagreement with PPT decision not to evaluate.** If the PPT decides not to evaluate, and the surrogate does not agree, the surrogate must make sure that disagreement is reflected in the PPT meeting minutes under the actions refused section, and must follow up in a timely manner to dispute resolution. Refer to the Complaint Resolution Process packet and Procedural Safeguards.

12. **Ensure the school district implements IEP for the student within 45 school days of referral.** For students who are found eligible for special education after evaluation, the student must have his IEP implemented no later than 45 school days after the date of referral (written request for PPT meeting by the surrogate parent) or whoever made the referral. **See timeline for referral in Appendix E.**
13. **Ensure that the child is receiving appropriate educational services** as described in the IEP. Refer to the Complaint Resolution Process packet and Procedural Safeguards.

14. **Document in the student’s file findings of ineligibility.** For students who are found ineligible for identification after evaluation, if the surrogate agrees, before a case is closed, the surrogate must include in the student’s file written documentation to support the PPT decision. If the student has participated in any of the statewide assessments, copies of those assessments must be in the file before it is referred for closure; and documentation of any disciplinary history, if any exists for the student must also be included in the file.

15. **Represent the child in the educational decision-making 504 processes.** If the student is a student who required special education and the child is determined to no longer require special education but requires or may require services under Section 504 of the Rehabilitation Act of 1973, the surrogate parent will represent the child in the evaluation and planning procedures provided for in Section 504.

16. **Document disagreement with ineligible finding for identification.** If the student is found ineligible for identification after an evaluation, and the surrogate disagrees, the surrogate must ensure the PPT meeting minutes reflect the disagreement under the actions refused section, and must follow up in a timely manner through complaint resolution process. Refer to the Complaint Resolution Process packet and Procedural Safeguards.

17. **Interact in a professional and courteous manner** with district representatives, foster parents, DCF case workers, the CSDE fiscal office representatives and members of the Surrogate Parent Office.

18. **Take formal action to ensure that the child receives appropriate educational services,** when necessary. Prior to filing a complaint, request for mediation or a hearing, the surrogate parent should speak with the:

   - school district director of special education against whom the complaint (or mediation or hearing request) would be filed to ensure the director is aware of the concern/s and has an opportunity to resolve them prior to pursuing dispute resolution; and
   - surrogate parent program manager to discuss the grounds for the complaint.

The options available for dispute resolution are:

   - filing a formal complaint, requesting mediation or a due process hearing; or
   - requesting a school residency or accommodations hearing, a/k/a “10-186” hearing pursuant to C.G.S. 10-186.
19. **Document closure without referral to special education.** If it is determined a surrogate assignment is to be closed prior to referral of PPT meeting, the surrogate parent must document such a decision in the student’s file.

   a. Unless a jurisdictional mistake was made (for example, DCF does not have guardianship) before a case is closed without referral to PPT meeting, the file must contain written documentation to support the decision.
   b. Copies of any student’s Connecticut statewide assessments must be included in the file before it is referred for closure, as well as documentation of any student’s disciplinary history.
   c. The surrogate must meet with the child, observe the child in his/her program; speak to his/her primary teacher/s, foster parent, if any, and DCF social worker; and review necessary educational files before recommending closure without referral to PPT meeting.

D. **Creation and Maintenance of Education-Related Information**

The school district which is responsible for a child is also responsible for maintaining the child’s education records and for providing them to the surrogate parent. The surrogate parent is responsible for getting the child’s education records for the surrogate parent’s file and for obtaining them in a timely manner which is before the first PPT meeting. As any parent would, a child’s surrogate parent creates and maintains notes related to the child’s education and maintains copies of IEPs, evaluations, progress reports, and other education-related documents created by school staff and other individuals authorized to provide services to the child.

Education-related notes and document copies should be maintained by a child’s surrogate parent in accordance with the following standards:

   a. Upon receiving an assignment letter, a manila folder will be labeled with the child’s name and date of birth.
   b. The e-mail address and phone number of the DCF caseworker, child’s attorney, district in which the child is being educated, and, if different, nexus district will be identified and made a permanent part of the file. In addition, the contact information for the foster parent, if any, probation officer, if any and any other service provider will be made a permanent part of the file.
   c. Confidentiality of notes, documents and student information shall be maintained at all times by the surrogate parent.

VI. **AUTHORITY TO GIVE CONSENT**

The types of documents that a surrogate parent has authority to sign consent to are:

   A. consent for evaluation;
   B. consent for initial special education placement;
   C. consent for reevaluation;
   D. consent for out-of-district placement; and
   E. consent for release of educational records.
If the surrogate parent disagrees with the PPT’s decision in any regard, whether it be timeliness of scheduling a PPT meeting, composition of the PPT, evaluations recommended, evaluation instruments, validity of evaluation, skill of evaluator, identification category, refusal to identify, goals, objectives, type of services, intensity of services, implementation of IEP, qualifications of implementers, fidelity of implementation, progress monitoring frequency or substance, need for re-evaluation or additional evaluation, the surrogate parent must take timely steps to address and remedy the situation. This begins with attempting to communicate the concerns to the district Director of Special Education (which can go under the title of Pupil Services Director, or similar). This communication, both attempted and completed must be documented by e-mail. If the Director does not return calls, even after a follow-up e-mail, the surrogate parent must document this in an e-mail to the Director. It must be polite but clear and become part of the surrogate parent’s file on the student.

Other steps a surrogate parent must take when appropriate on behalf of a student include but are not limited to: requesting an independent evaluation, filing a complaint, and filing for mediation, filing for an Advisory Opinion and filing for due process.

All steps must be taken in a timely manner to advance the educational outcome for the student, minimize any disruption to his/her regular school attendance and keep him/her in school and actively engaged in learning.

VII. TRANSITION FROM BIRTH TO THREE TO SPECIAL EDUCATION

The State of Connecticut operates two systems for the assignment of surrogate parents in order to serve eligible children in accordance with the requirements of IDEA. Eligible children who are younger than three years of age are provided a surrogate parent through the Birth to Three System administered by the Office of Early Childhood (OEC). Eligible children from two through twenty-one years of age, inclusive, are provided a surrogate parent through the CSDE. Therefore during the time period from 24 months of age through 35 months of age, inclusive, a child may have two surrogate parents: a Birth to Three surrogate appointed to represent the child in decisions regarding Birth to Three Services and a CSDE appointed surrogate to represent the child in decisions regarding eligibility for preschool special education and the development of any IEP that needs to be in effect by the child’s third birthday.

The procedure for transitioning an eligible child from the OEC Surrogate Parent Assignment System to the CSDE Surrogate Parent Assignment System is as follows:

A. After the child reaches 24 months of age, the Birth to Three System:
   1. obtains, from the Birth to Three surrogate parent, consent to release information regarding the child to the school district that will have responsibility for the child at age three;
   2. requests, from DCF, a copy of the DCF-603; and
3. makes a referral for special education to the school district and includes relevant information and the DCF-603 form with the referral.

B. Upon receipt of the referral packet and in preparation for the first PPT meeting for the child, the school district contacts CSDE to obtain the assignment of a CSDE surrogate parent. Also, the Birth to Three surrogate parent may request the assignment of a CSDE surrogate parent.

C. Until CSDE appoints a surrogate parent to represent the child, the child’s Birth to Three surrogate parent is authorized to grant consent for evaluations necessary to determine eligibility for preschool special education services.

D. CSDE, upon determination of the child’s eligibility for surrogate parent representation, appoints a surrogate parent.

E. The school district invites the CSDE surrogate parent to a PPT meeting to determine whether the child is eligible for preschool special education services. The Birth to Three surrogate parent may also attend the meeting as an individual who is knowledgeable regarding the child. Note: the PPT meeting that makes a determination regarding eligibility may be held in conjunction with the transition conference convened by the Birth to Three System. If both surrogate parents are duly appointed and attend, the CSDE surrogate parent has the decision making authority.

F. All children who are referred to the Birth to Three System within 45 calendar days of their third birthday will be referred directly on to the responsible school district, and so they will have only a CSDE surrogate.

VIII. REQUIRED DOCUMENTATION OF SERVICES

All forms must be submitted in a timely manner. It is the responsibility of the surrogate parent to keep an accurate list of his/her assigned student cases and indicate on the monthly service form (SP-300) the number of active cases as of the last day of the current month. This should match the number reflected in the caseload student rosters that the Surrogate Parent Office provides to each surrogate following the last day of each month. In the event the caseload report does not match the number of cases that the surrogate parent believes is correct, the surrogate parent must e-mail the Surrogate Office to reconcile the two numbers.

A. Use Form SP-300 (per student) and SP-309 Cover Sheet and Description of Monthly Services (for all students for whom services were provided in a given month) to record PPT meetings, student contacts and observations only. Submit a Form SP-300 for each activity but use one form to document multiple activities you undertook on behalf of the same child on the same day. Give a summary narrative (not a word or phrase) to describe what decisions were taken, especially at the PPT meeting, but also detail the student contacts. Observations of the student for no more than 30 minutes per session.
can be documented in objective observational note-taking (not judgments). Observe younger students in two settings, therefore for one hour of observation.

B. Use the SP-300 forms to create documentation of specific actions you have taken on behalf of the child, not to describe PPT meeting events. Place emphasis on “surrogate-initiated” action, i.e. thing(s) that may not have occurred if you had not been involved in the activity.
   1. “Requested” an item can occur during a discussion of that item (e.g., a particular goal) if you suggest particular wording of that goal;
   2. Suggested = requested;
   3. No need to add discussed re items; assumption that you’ll have joined in PPT discussion;
   4. Assumption that a request made prior to any discussion re that item will be followed by discussion;
   5. No need to add supported re additional items; and
   6. Ensure that testing has been discussed at the PPT, as appropriate.

C. Use Form SP-300A (which is optional) for other activities such as surrogate parent training, DCF Annual Care Review (ACR), and other meetings convened by DCF and meeting with school staff or other stakeholders. If you do not chose to use SP-300A you still need to document other services provided for the student.

D. Use Form SP-309 Cover Sheet and Description of Monthly Services (for all students for whom services were provided in a given month) and submit along with the SP-300.

E. Report changes in data about the student (e.g., district, school, etc..) to the Surrogate Parent Office on Form SP-205. This is to be done by e-mail, (Form will be sent to Surrogate Parent Office electronically) or e-mailing and putting “Form SP-205” in the subject line and the student’s initials.

F. Closing Cases:
   1. Email the Surrogate Parent Program at surrogate.office@ct.gov to notify us that you are closing one or more cases;
   2. Complete Form SP-206 to describe the reason you are closing the case and enclose the form with file when returning it to the Surrogate Parent Office. It is the responsibility of the surrogate parent to return the files to the Surrogate Parent Office either by mail or delivery within a week of closure unless written permission is given to do otherwise.
IX. **CONTRACTUAL PAYMENTS**

Payments are made to each surrogate parent who has a valid contract with the Connecticut State Board of Education and are subject to the terms outlined in the contract and in this procedures manual.

A. Payments

For the fiscal year 2019, the Surrogate Parent payment calculation will be based on a $900.00 per assigned student, which shall be calculated and paid quarterly as described in this section during the contract year from July 1, 2018 through June 30, 2019.

The CSDE shall calculate 25% of $900 times the number of verified active students assigned on the last day of the month prior to the payment date scheduled below. The assigned and active students will be listed on a roster produced and provided by the Surrogate Parent Office to each surrogate parent for review prior to payment.

<table>
<thead>
<tr>
<th>Quarter 1 of Contract Year</th>
<th>Payment Number</th>
<th>Approximate Date for Payment Processing</th>
<th>Active Student Roster Date as Basis for Payment Calculation</th>
<th>Documentation Required</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Payment 1</td>
<td>July 31, 2018</td>
<td>July 1, 2018</td>
<td>Verified roster</td>
</tr>
<tr>
<td>Quarter 2 of Contract Year</td>
<td>Payment 2</td>
<td>November 30, 2018</td>
<td>October 31, 2018</td>
<td>Verified roster, SP-300, and SP-300A</td>
</tr>
<tr>
<td>Quarter 3 of Contract Year</td>
<td>Payment 3</td>
<td>February 28, 2019</td>
<td>January 31, 2019</td>
<td>Verified roster, SP-300, and SP-300A</td>
</tr>
<tr>
<td>Quarter 4 of Contract Year</td>
<td>Payment 4</td>
<td>May 31, 2019</td>
<td>April 30, 2019</td>
<td>Verified roster, SP-300, and SP-300A</td>
</tr>
</tbody>
</table>

**Conditions to Hold Payment or Non-Renew the Contract**

It is the responsibility of each surrogate parent to verify the accuracy of the student caseload rosters, ensure that the required minimum services have been provided and submit sufficient documentation of required services to each student.

If file closure is necessary (e.g., DCF no longer guardian, student exited from special education and no 504 services required, student has aged-out or is over 18 and does not sign the SP-500 contract to continue surrogacy, etc.), it is the responsibility of the Surrogate Parent to notify the office by email to surrogate.office@ct.gov when a file is to be closed and return the file along with SP-206 Closed Case Form, as appropriate, within one week of
notification. Cases returned to the surrogate office will be reviewed to ensure that the case was closed in a timely manner when guardianship or other reasons for closure have occurred. If the surrogate parent failed to close a student file in a timely manner and received payment for such closed file, then any overpayments may be deducted from future payments or the surrogate will be invoiced for overpayment.

Furthermore, the contractual payment will be made only if the required minimum services identified in the contract and in this procedures manual have been successfully completed. Required minimum services and beyond will be documented on such forms as made available by the Surrogate Parent Program including Form SP-300 and SP-309, which must be completed monthly.

If the surrogate parent demonstrates a pattern of failure to provide required services, comply with documentation requirements or close cases in a timely manner, payment may be withheld and the contract may be subject to non-renewal or termination.

Forms SP-300 and SP-309 (see forms section) may be completed/scanned and emailed to surrogate.parent@ct.gov or mailed to the following address:

**Connecticut State Department of Education**
**Bureau of Special Education**
**Attn: Surrogate Parent Program Suite 604**
**P.O. Box 2219**
**Hartford, CT 06145-2219**

Please note that the CSDE intends to develop an on-line method of verifying services and will advise surrogate parents of the new system when it becomes available.
Attachment A

Federal Legislation: 34 CFR Sec. 300.519 Surrogate parents.

(a) General. Each public agency must ensure that the rights of a child are protected when—
   (1) No parent (as defined in Sec. 300.30) can be identified;
   (2) The public agency, after reasonable efforts, cannot locate a parent;
   (3) The child is a ward of the State under the laws of that State; or
   (4) The child is an unaccompanied homeless youth as defined in section 725(6) of the McKinney-Vento
       Homeless Assistance Act (42 U.S.C. 11434a(6)).

(b) Duties of public agency. The duties of a public agency under paragraph (a) of this section include the assignment
    of an individual to act as a surrogate for the parents. This must include a method—
    (1) For determining whether a child needs a surrogate parent; and
    (2) For assigning a surrogate parent to the child.

(c) Wards of the State. In the case of a child who is a ward of the State, the surrogate parent alternatively may be
    appointed by the judge overseeing the child’s case, provided that the surrogate meets the requirements in paragraphs
    (d)(2)(i) and I of this section.

(d) Criteria for selection of surrogate parents.
   (1) The public agency may select a surrogate parent in any way permitted under State law.
   (2) Public agencies must ensure that a person selected as a surrogate parent—
       (i) Is not an employee of the SEA, the LEA, or any other agency that is involved in the education or
           care of the child;
       (ii) Has no personal or professional interest that conflicts with the interest of the child the surrogate
           parent represents; and
       (iii) Has knowledge and skills that ensure adequate representation of the child.

(e) Non-employee requirement; compensation. A person otherwise qualified to be a surrogate parent under paragraph
    (d) of this section is not an employee of the agency solely because he or she is paid by the agency to serve as a
    surrogate parent.

(f) Unaccompanied homeless youth. In the case of a child who is an unaccompanied homeless youth, appropriate staff
    of emergency shelters, transitional shelters, independent living programs, and street outreach programs may be
    appointed as temporary surrogate parents without regard to paragraph (d) (2) (i) of this section, until a surrogate parent
    can be appointed that meets all of the requirements of paragraph (d) of this section.

(g) Surrogate parent responsibilities. The surrogate parent may represent the child in all matters relating to—
    (1) The identification, evaluation, and educational placement of the child; and
    (2) The provision of FAPE to the child.

(h) SEA responsibility. The SEA must make reasonable efforts to ensure the assignment of a surrogate parent not more
    than 30 days after a public agency determines that the child needs a surrogate parent.
(Authority: 20 U.S.C. 1415(b) (2))
Sec. 10-94f. Definitions. As used in sections 10-94f to 10-94l, inclusive:

(1) “Surrogate parent” means the person appointed by the Commissioner of Education as a child's advocate in the educational decision-making process in place of the child's parents or guardian and such person shall be deemed to be an “other employee” for purposes of section 10-235;

(2) “The educational decision-making process” includes the identification, evaluation, placement, hearing, mediation and appeal procedures provided for in this chapter and the evaluation and planning procedures provided for in Section 504 of the Rehabilitation Act of 1973, as amended from time to time, which may be available to a child subsequent to the receipt of special education and related services pursuant to this chapter.

Sec. 10-94g. Commissioner of Education to appoint surrogate parent. Procedure for objection to or extension of said appointment. (a)(1) When in the opinion of the Commissioner of Education or a designee of said commissioner, (A) a child may require special education, or a child who required special education no longer requires such education but requires or may require services under Section 504 of the Rehabilitation Act of 1973, as amended from time to time, and (B) the parent or guardian of such child cannot be identified, the whereabouts of the parent cannot be discovered after reasonable efforts to locate the parent have been made, such child is a ward of the state or such child is an unaccompanied and homeless youth, both as defined in 42 USC 11434a, as amended from time to time, the commissioner or a designee of said commissioner shall appoint a surrogate parent who shall represent such child in the educational decision-making process. (2) A surrogate parent may also be appointed for a child who is under the supervision of the Department of Children and Families and receiving education services from Unified School District #2, provided the parent or guardian: (A) Is notified by certified mail that the child is or may be eligible to receive special education and related services; (B) agrees or fails to object to the appointment of a surrogate parent; (C) receives identical notices as the surrogate parent; and (D) may revoke the appointment of a surrogate parent at any time.

(b) A parent or guardian of a child for whom a surrogate parent has been appointed in accordance with the provisions of this section, or the Commissioner of Children and Families or a designee of the commissioner on behalf of any such child in the custody of the commissioner, or a pupil for whom a surrogate parent has been appointed in accordance with the provisions of said section if such pupil is an emancipated minor or at least eighteen years of age who objects to the appointment or extension of the appointment of a surrogate parent, shall notify the commissioner in writing of such objection or request. The commissioner or his designee shall schedule a conference relating to such objection or request within ten days of the receipt of such notice. Upon failure of the commissioner to schedule such conference or upon the inability of the parties to resolve the issues within thirty days of the receipt of the notice, such parent, guardian, commissioner or a pupil shall be provided a hearing within thirty days following a written request directed to the commissioner in accordance with the provisions of chapter 54, provided that a final decision on such hearing shall be rendered within fifteen days following the close of evidence.

Sec. 10-94h. Duration of appointment as surrogate parent. Appointment of successor surrogate parent. Appointment of a surrogate parent shall be effective until the child reaches eighteen years of age, provided the Commissioner of Education, not less than thirty days prior to the child's eighteenth birthday, may extend such appointment until the child graduates from high school or reaches the age of twenty-one years, whichever occurs first. If the surrogate parent resigns or dies or for any other reason is unable to continue as surrogate parent for the child, the Commissioner of Education shall, if said commissioner deems the appointment of a successor surrogate necessary, appoint a successor surrogate parent.

Sec. 10-94i. Rights and liabilities of surrogate parents. The surrogate parent of any child appointed pursuant to section 10-94h shall have the same right of access as the natural parents or guardian to all records concerning the child, including, but not limited to, educational, medical, psychological and welfare records. No surrogate parent
appointed pursuant to the provisions of said section 10-94h shall be liable to the child entrusted to such surrogate parent or the parents or guardian of such child for any civil damages which result from acts or omissions of such surrogate parent which constitute ordinary negligence. This immunity shall not apply to acts or omissions constituting gross, wilful or wanton negligence.

**Sec. 10-94j. Regulations re appointment of surrogate parents.** The Commissioner of Education shall promulgate regulations establishing procedures to: (1) Determine whether a child is in need of a surrogate parent; (2) report to the commissioner when a child may require a surrogate parent; (3) appoint, and revoke the appointment of, a surrogate parent; (4) establish qualifications and training procedures necessary for any surrogate parent appointed pursuant to section 10-94g; and (5) monitor the effectiveness of a surrogate parent.

**Sec. 10-94k. Funding of surrogate parent program.** All costs incurred by the state pursuant to sections 10-94f to 10-94k, inclusive, shall be paid from funds available under P. L. 93-380, entitled “An Act to Extend and Amend the Elementary and Secondary Education Act of 1965 and for Other Purposes”, as may from time to time be amended and provided that under no circumstances will any funds of the state be expended to implement the purposes of said sections.

**Sec. 10-94l. Surrogate parent program.** (a) The Commissioner of Education shall administer, within available appropriations and in consultation with the Commissioner of Children and Families, a surrogate parent program. The Commissioner of Children and Families shall select any foster child, as defined in section 17a-110, who resides in the area identified as Region 3 by the Department of Children and Families for participation in the program, and the Commissioner of Education shall appoint a surrogate parent for such child. The surrogate parent shall represent the foster child in the educational decision-making process, provided the parent or guardian of the foster child: (1) Agrees or fails to object to the appointment of a surrogate parent; (2) receives identical notices as the surrogate parent; and (3) may revoke the appointment of a surrogate parent at any time.

(b) Not later than January 1, 2016, and annually thereafter, the Commissioners of Education and Children and Families shall jointly submit a report, in accordance with section 11-4a, to the joint standing committees of the General Assembly having cognizance of matters relating to children and education on the surrogate parent program.
Attachment A

Regulations of Connecticut State Agencies

TITLE 10. Education and Culture

Agency
State Board of Education

Subject
Appointment of Surrogate Parents

Inclusive Sections
§§ 10-94j-1—10-94j-8

CONTENTS

Sec. 10-94j-1. Authority
Sec. 10-94j-2. Appointment
Sec. 10-94j-3. Qualifications
Sec. 10-94j-4. Training procedures
Sec. 10-94j-5. Determination of a child’s need for a surrogate parent
Sec. 10-94j-6. Reports of a child’s need for a surrogate parent
Sec. 10-94j-7. Appointment of a surrogate parent
Sec. 10-94j-8. Revocation of the appointment of a surrogate parent

Revised: 2015-3-6

R.C.S.A. §§ 10-94j-1—10-94j-8
Attachment A

Regulations of Connecticut State Agencies

TITLE 10. Education and Culture

State Board of Education §10-94j-4

Appointment of Surrogate Parents

Sec. 10-94j-1. Authority

These regulations are authorized by Section 10-94j of the General Statutes, as amended by Public Act 81-247, concerning the appointment of surrogate parents.

(Effective December 1, 1982)

Sec. 10-94j-2. Appointment

A surrogate parent, duly appointed pursuant to the provisions of sections 10-94f to 10-94k, inclusive, of the General Statutes, as amended by Public Act 81-247, shall serve as a child’s representative in the educational decision-making process in place of the child’s parents or guardian. Such child shall be a child as defined in Section 10-76a (e) (1) of the General Statutes who requires special education or a child who may require special education.

(Effective December 1, 1982)

Sec. 10-94j-3. Qualifications

In order to be eligible for appointment as a surrogate parent, an individual shall meet the following requirements:

(a) The individual shall be an adult;
(b) The individual shall not be an employee of the public agency or the local board of education responsible for the education or care of that child; provided, however, that an individual shall not be deemed such an employee solely because he or she is paid to serve as a surrogate parent;
(c) The individual shall have no other interest that may conflict with the best interests of the child;
(d) The individual shall be knowledgeable about the educational system, special education laws, and the legal rights of the child in relation to the educational system; and
(e) The individual shall be reasonably well acquainted with the cultural and language background of the child.

(Effective June 7, 1979)

Sec. 10-94j-4. Training procedures

Training procedures established by the Commissioner of Education shall include, but not be limited to, training in the following areas:

(a) The nature and needs of different types of exceptionalities;
(b) The availability of programs and programming options with respect to such exceptionalities;
(c) The responsibilities and limitations of the role of the surrogate parent, including the following skills to ensure effective representation of the child:
   (1) Becoming thoroughly acquainted with the child’s history and other information

Revised: 2015-3-6  R.C.S.A. §§ 10-94j-1—10-94j-8

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Attachment A

Regulations of Connecticut State Agencies

TITLE 10. Education and Culture

§10-94j-5

State Board of Education

contained in school and other reports relating to the child’s educational needs;

(2) Complying with state and federal laws and regulations as to the confidentiality of all records and information pertaining to the child, to which he or she is privy;

(3) Using discretion in the necessary sharing of information with appropriate people for the purpose of furthering the interest of the child;

(4) Becoming familiar with the educational prescription for the child and, where appropriate, giving his or her approval;

(5) Reviewing and evaluating special education programs pertaining to the child as well as such other programs as may be available; and

(6) Initiating the mediation, hearing and/or appeal procedures and seeking qualified legal assistance when such assistance is in the best interest of the child;

(d) The sources and types of assistance available to the surrogate parent; and

(e) The legal rights of the child in all areas relating to the child’s education.

(Effective June 7, 1979)

Sec. 10-94j-5. Determination of a child’s need for a surrogate parent

In order to determine whether a child is in need of a surrogate parent, the commissioner of education shall undertake such investigation as may be necessary to determine that:

(A) The child is, by virtue of his or her age, entitled to receive special education;

(B) The child requires, or may require, special education; and

(C) The parent or guardian of the child is unknown or unavailable or the child is a ward of the state.

(Effective December 1, 1982)

Sec. 10-94j-6. Reports of a child’s need for a surrogate parent

The commissioner of education shall disseminate such information as may be necessary to ensure that local and regional boards of education, and other agencies as appropriate, are informed of the surrogate parent program.

(a) Such information shall include a description of the requirements for eligibility for appointment of a surrogate parent.

(b) Such information shall include a statement of the responsibility to report to the commissioner the name of any child who may require a surrogate parent.

(c) Such information shall include a description of the type of data to be included in a report to the commissioner of a child who may require a surrogate parent. Such data shall include, but not be limited to, the following:

(1) The child’s name, age and current address;

(2) If the child requires special education, a statement of the nature and severity of the child’s handicapping condition as well as a copy of the child’s current individualized education program;

(3) If the child may require special education, a copy of the referral form which was forwarded to the child’s planning and placement team;

R.C.S.A. §§ 10-94j-1—10-94j-8 Revised: 2015-3-6
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Regulations of Connecticut State Agencies

TITLE 10. Education and Culture

State Board of Education §10-94j-8

(4) Such information as may be available concerning the whereabouts of the child’s parents or guardian and, where appropriate, certification from the responsible agency that the child is a ward of the state; and

(5) The name and address of the agency making the report and, if different, the name and address of the agency responsible for educating the child.

(Effective December 1, 1982)

Sec. 10-94j-7. Appointment of a surrogate parent

Upon a determination that a child is in need of a surrogate parent, the commissioner of education shall appoint a surrogate parent in accordance with the following requirements:

(a) The individual appointed as surrogate parent shall meet such qualifications as are set forth in section 10-94j-3;

(b) The individual appointed as surrogate parent shall have successfully completed training as set forth in section 10-94j-4;

(c) Appointments shall take into consideration the places of residence of the child and surrogate parent as well as the particular expertise of the surrogate parent related to the handicapping condition, educational needs, age or other relevant factors;

(d) Written notice of the appointment shall be mailed to the child, to the surrogate parent, to the agency responsible for educating the child, and to the agency responsible for the care of the child; and

(e) The commissioner shall advise the child, the agency responsible for educating the child and the agency responsible for the care of the child that the commissioner may, not less than thirty (30) days prior to the child’s eighteenth birthday, extend the appointment of a surrogate parent until such child graduates from high school or reaches age twenty-one years, whichever occurs first.

(Effective December 1, 1982)

Sec. 10-94j-8. Revocation of the appointment of a surrogate parent

The commissioner of education shall annually review the conduct and performance of each individual appointed as a surrogate parent. If it is found that in the performance of his or her duties the surrogate parent is not representing the best educational interest of the child, the commissioner shall:

(a) Send the individual written notice of revocation of his or her appointment as surrogate parent. Such notice shall include the following:

(1) The reason(s) for the revocation;

(2) The effective date of the revocation; and

(3) A statement informing the individual that if he or she objects to the revocation, written reasons for the objection shall be submitted to the commissioner within ten (10) calendar days of the date of the notice of revocation.

(b) Within twenty (20) days of the date of the notice of revocation and following consideration of any duly filed objections, send the individual:
Attachment A

Regulations of Connecticut State Agencies
TITLE 10. Education and Culture

§10-94j-8

(1) Written notice that his or her appointment as surrogate parent remains in effect; or
(2) a final written notice of revocation.
(c) If revocation is upheld, appoint a successor surrogate parent for the child.
(d) In the event of revocation, written notice shall be given to the child, to the agency responsible for the education of the child and to the agency responsible for the care of the child.

(Effective December 1, 1982)
Attachment B

SP Name
SP Address
SP City, State, Zip

Dear SP:

This is to confirm your appointment as surrogate parent for the following student:

- Name of Student: XXXXX
- Case Number: 123456
- Date of Birth: 01/01/2001
- Town of Residence: Bloomfield
- Residence: Foster Home
- Nexus Town: No-Nexus
- Agency Responsible for Education: Bloomfield Public Schools
- Education Site: Bloomfield High School
- Case Worker: Jane Doe
- Office Location: DCF/New Britain (860) 832-5223
- Former Surrogate Parent: N/A or Surrogate One Name

Your appointment as surrogate parent for this student will remain in effect until this student no longer requires a Connecticut-appointed surrogate parent or until you are notified that a new surrogate parent has been appointed for this student.

If you have any questions concerning this assignment, please contact the Surrogate Parent Office at surrogate.office@ct.gov.

Sincerely,

Georgette Nemr, Education Consultant
Surrogate Parent Office

cc: Bloomfield Public Schools
    Bloomfield High School
    Surrogate Parent
    DCF Social Worker
Attachment C

SP Name
SP Address
SP City, State, Zip

Dear SP:

This is to notify you that there has been a change in this student’s status as indicated in one or more of the following fields:

Name of Student: XXXXX
Case Number: 123456
Date of Birth: 01/01/2001
Town of Residence: Bloomfield
Residence: Foster Home
Nexus Town: No-Nexus
Agency Responsible for Education: Bloomfield Public Schools
Education Site: Bloomfield High School
Case Worker: Jane Doe
Office Location: DCF/New Britain (860) 832-5223
Former Surrogate Parent: N/A or Surrogate One Name

Your appointment as surrogate parent for this student will remain in effect until this student no longer requires a Connecticut-appointed surrogate parent or until you are notified that a new surrogate parent has been appointed for this student.

If you have any questions concerning this assignment, please contact the Surrogate Parent Office at surrogate.office@ct.gov.

Sincerely,

Georgette Nemr, Education Consultant
Surrogate Parent Office

cc: Bloomfield Public Schools
Bloomfield High School
Surrogate Parent
DCF Social Worker

P.O. BOX 2219 | HARTFORD, CONNECTICUT 06145
An Equal Opportunity Employer
Sample Introductory Letter to District and Other Relevant Stakeholders

Dear District Special Education Director:

I am the surrogate parent for John Doe, d.o.b. 1/1/00. I would appreciate you e-mailing me his SASID number. Also, within the next two weeks (no later than one month) I would like to observe him at his school and meet with him and members of his school-based team, review and obtain copies of his records and SASID.

As we move through the year together, I am requesting that you provide me with report cards, progress reports, statewide assessment results, any disciplinary notices or any other areas of concern regarding John, just as you would a typical parent. This will help me discharge my duties as a surrogate parent in a proper and timely manner. It would be most helpful if you could do as much of this, as is possible, by e-mail as this helps with the record-keeping, but any timely method you chose will be fine.

Below is my contact information and I would appreciate it if you would provide me with the contact information for his school. I look forward to working with you this year. Thank you for your assistance.

Sincerely,

xxxxxxxxxxxxx
Surrogate Parent
Address
Phone Number
Email: Name@aol.com

cc: Sam Smith, DCF Social Worker
TIMELINES FOR SPECIAL EDUCATION REFERRAL/INITIAL EVALUATION PROCESS

- Receipt of Referral
  - Notice of Meeting (Planning and Placement Team (PPT) invitation) (Minimum 5 days before meeting)
  - PPT Meeting #1 to Review Referral
  - Parent is Given Consent for Initial Evaluation Form (ED 625) – TIMELINE PAUSES FOR UP TO 10 DAYS FROM PARENTAL RECEIPT OF FORM

- District Receives Signed Consent Form – TIMELINE RESTARTS

- Evaluation is Conducted
  - Notice of Meeting (PPT Invitation) (Minimum 5 days before meeting)
  - Parents provided with Initial Evaluation Reports (if requested) (3 days before meeting)
  - PPT Meeting #2 to Review Evaluations and Determine Eligibility
  - Parent is Given Consent for Provision of Special Education Form (ED 626) if student is found eligible – TIMELINE PAUSES FOR UP TO 10 DAYS FROM PARENTAL RECEIPT OF FORM

- District Receives Signed Consent Form – TIMELINE RESTARTS

- IEP is Implemented (Student begins to receive special education and related services if found eligible)

NOTE: If a district fails to meet the Federal 60 calendar day timeline but is still within the State 45 school day timeline, the evaluation is considered on time.
Forms
To: Office of the Superintendent  [District Name]  Date
(School district with financial responsibility)

Please be advised that:  [Student Name]  [Date of Birth]

Has been placed

Date of Placement  [Date]

By the Department of Children and Families in a

(Check one box below)

☐ Foster Home  ☐ Parent/Guardian Home
☐ Group Home  ☐ Shelter
☐ Residential Facility
☐ Other (specify)
☐ The child requires special education and related services or has been referred to determine special education eligibility
☐ To the best of DCF’s knowledge, Nexus exists with
  Nexus School District:  [Nexus District inserted here]

Basis of Nexus:  (include name and address of the individual listed below who lives in town listed on the line above)

☐ Mother  ☐ Father  ☐ Guardian

Address:  Address:  Address:

Telephone:  Telephone:  Telephone:

☐ No Nexus Exists

Parent  Basis for Nexus

☐ Mother  [e.g., Parental Rights have been Terminated, etc.]
☐ Father  [e.g., Deceased, etc.]

NOTE: Based upon information available to DCF this Nexus/No Nexus status has existed since (date):  [Date]
DCF-603
Department of Children and Families
DCF Notification to the Local Education Agency

Legal Status:
☐ The Commissioner of the Department of Children and Families has custody but not guardianship
☐ The Commissioner of the Department of Children and Families is the legal guardian of the child
☐ The Commissioner of the Department of Children and Families is the statutory parent of this child
☐ DCF guardianship ended on: [INSERT Date]

Records:
☐ The child previously attended school in: [District]

C.G.S. § 17a-16a School Placement Decision
☐ It is in the best interests of the child to remain in school of origin
☐ It is in the best interests of the child to attend the receiving school
☐ The child will remain in the school of origin until a best interest determination is made
☐ School placement decision is not applicable

DCF Social Worker/Juvenile Justice Social Worker
[Insert Name] [Direct Telephone #] [Date]

DCF Area Office/Facility
[Insert DCF Regional Office/Facility] [Insert Address]

Copies Sent to:
☐ Surrogate Parent Program email: surrogate.office@ct.gov FAX: 860-713-7052
☐ School district where child is attending school: [INSERT District]
☐ School district that child left: [INSERT former district]
☐ Child's Attorney and GAL (name(s)): [INSERT Name]
☐ Other: [e.g., INSERT the following
• DCF regional consultant name and email
• Surrogate parent name and email
• Special education director name and email
• Superintendent name and email where student is attending if different from nexus
• School name and town
• Siblings, if any, (we try to assign siblings to same surrogate)
• Note if reunified or adopted and date
• Etc.]
Student: ___________________________ DOB: __________

A. RESIDENCE:
Address of student’s new residence: _____________________________ (street & town)

☐ 1. Foster home
☐ 2. Relative’s residence
☐ 3. With parent
☐ 4. Residential facility
☐ 5. Group home
☐ 6. Hospital
☐ 7. Temporary shelter
☐ 8. Safe home
☐ 9. Detention center
☐ 10. CT Juvenile Training School
☐ 11. Correction facility
☐ 12. Supported living
☐ 13. Other personal residence
☐ 14. AWOL
☐ 15. Other:

B. EDUCATIONAL SITE:
Name of new school: _____________________________
Address of new school: _____________________________ (street & town)

C. CASE WORKER:
Office: _____________________________ Phone #: (____) ____________
(town)

D. 504 STATUS:
☐ Determined by PPT to no longer require special education; however, student requires or may require services under Section 504. You must attach a copy of 504 scheduling notice.

Completed by: _____________________________ Date: ______________
Notify the Surrogate Parent Office by email to surrogate.office@ct.gov that you are closing a case and complete this form and enclose it with the file returned. Refer to instructions for returning the file. It is the responsibility of the surrogate parent to return the files to the surrogate parent office either by mail or hand delivery within one week of notifying the office of file closure unless written permission is given to do otherwise.

SASID #: __________________________

Student Name: ___________________________ DOB: __________________________

Smarter Balance and Benchmark scores attached: ☐ YES ☐ NO
Scores must be stapled to this form if closing for reason # 8, #9 or # 10 below.

CASE CLOSED REASONS (see asterisk notes below):

☐ 1. Graduated *
☐ 2. Adopted
☐ 3. DCF no longer guardian
☐ 4.Exited and no 504 services required
☐ 5. At least 18 and indicated a written refusal of surrogate services. Submit signed Form SP-500 with file.
☐ 6. At least 18 years old and no longer in school
☐ 7. Aged out – End of school year in which they turn 21
☐ 8. Ineligible for special education by PPT without evaluation; include written basis for decision
☐ 9. Ineligible for special education by PPT after evaluation; include copies of evaluations
☐ 10. I have determined there’s no need to refer to a PPT for evaluation; include written basis for decision ****
☐ 11. Guardian appointed (DDS client)
☐ 12. Conservator appointed (DMHAS client)
☐ 13. Deceased
☐ 14. Mistake
☐ 15. Other – specify

Surrogate Parent Name: ___________________________ Date: __________________________

* The child has received a regular education diploma, per the exit criterion determined by a PPT, and no one has requested a due process hearing to challenge the end of the child’s eligibility for special education.

** The individual/child has reached eighteen years of age, and a Probate Court has determined that the individual is “incapable of caring for oneself” and has issued a decree appointing a Conservator of the Person, pursuant to CGS 45a-644 through 45a-667, whose duties include consenting to professional care, treatment or services.

*** The individual/child has reached eighteen years of age and has an intellectual disability, and a Probate Court has determined that the individual is not legally competent to make informed decisions and has issued a decree appointing a guardian, pursuant to CGS 45a-669 through 45a-684, whose duties include consenting to specifically designed educational programs.

**** Any file being closed without evaluation must include copies of the statewide assessment results if the student participated in these assessments at any point in their education Upon receipt of the completed form SP Form-206, the Surrogate Parent Office will review the information and either terminate the surrogate parent assignment, continue the surrogate parent assignment after discussion with the surrogate or assign the student to a different surrogate parent.

NOTE 1: An eligible student who withdraws from school remains eligible for a surrogate parent; therefore, the case should not be closed for reason of withdrawal from school.

NOTE 2: The fact that DCF has returned a child to live with her or his parent is not an absolute indicator that the child is no longer eligible for a surrogate parent. Many children who remain under DCF guardianship are placed home on a trial basis as reunification is attempted. These children continue to be eligible for surrogate parent representation until DCF’s guardianship ends.
Surrogate Parent File Return Verification Form to Be Used when Returning Files to CSDE

Surrogate parent should fill in the areas under columns with an asterisk (*) prior to returning files to the Bureau of Special Education (BSE) staff. The return date must reflect the actual day each file is returned. On the day of the return, BSE staff must verify the files indicated on this form.

<table>
<thead>
<tr>
<th>*Student Name</th>
<th>*Date of Birth</th>
<th>*Number of files</th>
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Total number of files: __________

*Please Note: As a requirement under FERPA, Confidentiality of student information is based on legal and ethical precepts derived from constitutional law, federal and state mandates related to health and education, and social work ethical standards. All Contracted Surrogate Parents must comply with FERPA, making special efforts to protect the privacy of student education records.*

*NOTE: If files are returned by an adult other than the surrogate parent, that individual must sign at the bottom of the page.*
**FORM SP-300**

**Student:** ___________________________  **DOB:** ____________  **Age:** _____  **Grade:** _____  **SASID:** ________________

**Date when Student Assigned to Surrogate:** ________________  **Date introductory letter sent by email to school and DCF sw:** ________________

**Date when first identified with a disability or closed:** ________________  **Primary Disability:** ________________

### Surrogate Parent Activity

**DATE:** ______________  **SITE:** ____________________________

- [ ] Met with Student (in ed. setting)
- [ ] Number of Meetings To Date this Contract Year: ____________
- [ ] Observed Student in Educational Program
- [ ] Participated in PPT meeting which was requested by (SP, DCF, Nexus, etc.)
- [ ] PPT by telephone; location of surrogate: ____________________________
- [ ] Participated in 504 meeting (only for student who was formerly identified as a student eligible for special education services)
- [ ] Participated in a Special Ed. Mediation
- [ ] Participated in a Complaint or Due Process: [ ] complaint  [ ] mediation  [ ] resolution sess  [ ] spec ed hearing  [ ] spec ed advisory opinion  [ ] expulsion hearing  [ ] school acc hrg
- [ ] Other Activity – must attach prior written approval (e.g., DCF Placement Review, School Visits: ____________________________

### Action Taken by Surrogate Parent

**General Actions:**
- [ ] Ensured student admitted to school
- [ ] Ensured student receiving IEP services
- [ ] Obtained information from student re preferences/concerns
- [ ] Supported PPT-proposed program
- [ ] Supported PPT-proposed eval. Plan
- [ ] Requested PPT meeting
- [ ] Requested interpreter
- [ ] Testified on behalf of student

**Evaluation/Testing Requests:**
- [ ] Achievement testing
- [ ] Vision screening  [ ] Hearing screening
- [ ] Speech eval  [ ] Language eval
- [ ] Psychological eval  [ ] psychiatric eval
- [ ] Neurological eval
- [ ] LD eval  [ ] ADHD eval
- [ ] Vocational eval  [ ] Rehab Services eval
- [ ] OT eval  [ ] PT eval
- [ ] Other eval: ____________________________
- [ ] Requested reevaluation
- [ ] Requested independent ed eval
- [ ] Supported participation in SBAC or other acad testing
- [ ] Requested modification to SBAC or other acad testing
- [ ] CTAA

**Behavioral/Social/Emotional Requests:**
- [ ] Functional Behavioral Assessment (FBA)
- [ ] Behavior Intervention Program (BIP)
- [ ] BIP modification
- [ ] Goals/Objectives related to Social/Emotional issues
- [ ] Social work as related service
- [ ] Psychotherapy as related service
- [ ] Counseling as related service
- [ ] Opposed expulsion

**Academic and Other Goal Area Requests:**
- [ ] Goals/Object in Academic/Cognitive Area(s) (e.g., Rdg); Please list:
  - [ ] Goals/Object in Communication Area
  - [ ] Goals/Object in Self-Help
  - [ ] Goals/Object in Gross/Fine Motor Area
  - [ ] Goals/Object in Health
  - [ ] Specialized reading program
  - [ ] Extended School Year
  - [ ] Objected to Homebound Instruction

**Transition Planning Requests:**
- [ ] Requested transition services
- [ ] Requested delay of h.s. diploma until transition goals/obj met
  - [ ] Vocational classes
  - [ ] Vocational program in community
  - [ ] Job coach

**Other Sp. Ed./Related Service Requests:**
- [ ] Speech therapy as related service
- [ ] Language therapy as related service
- [ ] OT and/or PT as related service
- [ ] 1-1 paraprofessional
- [ ] Specialized Transportation as related service

**Accommodations/Modifications Requests:**
- [ ] Schedule modification
- [ ] Curriculum modification
- [ ] Test modification
- [ ] Assignment modification
- [ ] Provision of assistive technology

**Least Restrictive Environment and Placement Requests:**
- [ ] More time in regular classes
- [ ] Resource room  [ ] Self-contained class
- [ ] Out-of-district placement
- [ ] Day treatment placement
- [ ] Extended-day treatment placement
- [ ] Group home placement
- [ ] Residential placement
- [ ] Classes in community setting during residential facility placement
- [ ] Independent review of treatment boundaries regarding residential facility placement

**Agency Requests:**
- [ ] Referral to BRS  [ ] Referral to DDS
- [ ] Referral to DMHAS
- [ ] Referral to other agency:
- [ ] Other agency invitation to PPT:

**Complaint/Due Process Requests:**
- [ ] Complaint filed with CSDE
- [ ] Special Education mediation
- [ ] Resolution Session
- [ ] Special Ed. or Advisory Opinion hearing
- [ ] Expulsion hearing
- [ ] School Accommodations hearing

**Brief summary of student academic/functional progress:**

Signed and Completed by: ____________________________  Date: ______________

SP-300 rev 7/2018
FORM SP-300(A)
CSDE Surrogate Parent Supplemental Required Activities

*** This form should be submitted with your monthly billing. ***

<table>
<thead>
<tr>
<th>Date</th>
<th>Time Period</th>
<th>Activity</th>
<th>Discussions and Outcomes</th>
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FORM SP-309  
Surrogate Parent Cover Sheet and Description of Monthly Services

Surrogate Contractor Name:

Month/Year

Email to: Surrogate.Parent@ct.gov or
Mail to: CSDE/Bureau of Special Education
        Attn: Surrogate Parent Program, Suite 604
        P.O. Box 2219
        Hartford, CT 06145-2219

<table>
<thead>
<tr>
<th>Date of Service</th>
<th>Description of Services (e.g., student’s initials, type of service &amp; location)</th>
<th>Number of Students Served During this Month</th>
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The above information is a true and accurate account of the number of students that I provided services for during the stated period pursuant to my contract with the Connecticut State Department of Education and the Surrogate Parent Program.

Signed:________________________________________  Date:____________________________

FORM SP-309 Rev. 7/2018
FORM SP-500
Surrogate Parent Service
Continuation Option at Age 18

Once a student reaches 18 years of age, rights accorded to parents under IDEA transfer to the student. CFR 300.520(a)(1)(i), CGS 10-76a(13). Students are eligible for surrogate parent services until they graduate high school or until the end of the school year in which they turn 21 (CFR 300.520(a) and (b), RCSA 10-94j-7, RCSA 10-76d-1(a)(7)), whichever comes first, whether or not they are continuing to receive services from DCF.

Student Name: __________________________ Date of Birth: __________________________
Address: ________________________________________________________________
Phone/s: __________________________ E-mail: __________________________
Current Surrogate Parent contact information:
Name: __________________________
Phone: __________________________
E-mail: __________________________

I, ___________________________________ attained the age of 18 on ________________
Print Name of Student Birthdate

I choose to retain the services of a surrogate parent until I graduate or become ineligible. I authorize the surrogate parent to do the following and I understand I may change my mind and withdraw consent at any time (initial all that apply):

- to advise me regarding educational matters;
- to review and obtain educational records on my behalf;
- to advocate for me in all educational matters and forums, including attending PPTs, filing educational complaints, filing for mediation and due process;
- to consent to evaluations on my behalf;

I choose to terminate surrogate parent services as of __________________________ (date).

I understand that if I change my mind before I graduate, I can have a surrogate parent reassigned by contacting the Surrogate Parent Office by phone (860) 713-6910 or by e-mail at surrogate.office@ct.gov.

I have been provided a copy of this completed form, it has been explained to me to my satisfaction by my surrogate parent, and I agree to let my surrogate parent know if my address or other contact information changes for as long as they assist or advise me.

_________________________________________ Signature of Student
_________________________________________ Date
FORM SP-600: Active File Reassignment Form  
For Surrogate Parents Retiring or Resigning  
Surrogate Parent Program

Please complete this form for each student case to be reassigned to assist our office in updating our database and to assist the surrogate parent receiving this new file assignment. Clip this form to each file that needs to be reassigned.

<table>
<thead>
<tr>
<th>Name of Student:</th>
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<tbody>
<tr>
<td>SASID:</td>
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<tr>
<td>Date of Birth:</td>
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<td>Current Grade Level:</td>
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<td>Credits toward graduation:</td>
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<td>Town where the student resides:</td>
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<tr>
<td>Actual placement (FH, GH, Res. Facility, etc.):</td>
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</tbody>
</table>
| Contact person at placement:  
  Name:  
  Phone:  
  Email: |
| Nexus/responsible school district: |
| District/Town of School Child is Attending: |
| School child is attending:  
  Contact person at school:  
    Name:  
    Phone:  
    Email: |
| Last PPT date: |
| Date triennial due: |
| Current DCF social worker:  
  Name:  
  Phone:  
  Email: |
| Summary of Status and Suggestions: |

Print Name of Surrogate completing this form:  

Date:  

FORM SP-600 7/2018