

**PART C**  
**CHILD RECORD AUDIT FORM**  
 7 files reviewed on site  
 10 files reviewed internally

<i>ITEMS</i>	<i>COMMENTS</i>	
<b><i>INITIAL REFERRAL AND EVALUATION</i></b>		
<b>1. Initial referral form completed and includes the following information:</b> <ul style="list-style-type: none"> <li>• Child's name</li> <li>• Parent's name and contact information</li> <li>• Date of Birth</li> <li>• Areas of concern</li> <li>• Referral Source / Date</li> <li>• Physician's name</li> <li>• Insurance source</li> <li>• Initiation of screening process / date of initial screening</li> </ul>		Meets Compliance Standards
<b>2. Written notice to parent of initial referral</b> <ul style="list-style-type: none"> <li>• State form ( as of 9/1/07)</li> <li>• Filled out completely</li> </ul>		Meets Compliance Standards
<b>3. Documentation of Parents provided with procedural safeguards</b>		Meets Compliance Standards
<b>4. Receipt of consent for initial evaluation</b> <ul style="list-style-type: none"> <li>• State form ( as of 10/1/07)</li> </ul>	100% compliance with having the form on file. Almost all of them were missing dates, addresses and indication of approval of consent. The forms need to be filled out in the entirety.	Needs Corrective Action
<b>5. Input from the IFSP team to determine evaluation needs (if any)</b>		Meets Compliance Standards
<b>6. Appropriate referrals for evaluations documented</b>		Meets Compliance Standards
<b>7. Bailey / Battelle must be utilize to satisfy 303.322(c)(3)ii as part of initial evaluation (as of 3/30/07)</b>	<span style="color: red;">85% compliance</span> The required evaluations were not always utilized by the site to determine eligibility. If the development evaluation was ordered, it was found that the communication portion was not administered and a specific speech and language evaluation was ordered in its	Needs Corrective Action

	place. The State specified development evaluation must be used as the evaluation to determine eligibility for Part C services. Additional evaluations may be ordered as deemed necessary.	
<b>8. Completion of evaluations and IFSP meeting held to review to determine eligibility within</b> <ul style="list-style-type: none"> <li>(B-2) 45 days from the regional site Board's receipt of referral</li> </ul>	70% compliance	Needs Corrective Action
<b>9. Development of IFSP with written consent for initial placement</b> <ul style="list-style-type: none"> <li>New IFSP state form as of 9/1/07</li> </ul>		Meets Compliance Standards
<b>9a. On the initial IFSP the signature of the parent, to indicate the informed and voluntary consent to the initial placement (services of the child)</b>		Meets Compliance Standards
<b>10. Written notice to parent for initial placement</b>	Very well done.	Meets Compliance Standards
<b>CURRENT IFSP Team Notices and Procedures</b>		
<b>10. Parental written notice of IFSP meeting</b> <ul style="list-style-type: none"> <li>State form as of 10/1/07</li> </ul>		Meets Compliance Standards
<b>For children B-2 attendance should include to determine eligibility:</b> <ul style="list-style-type: none"> <li>parent</li> <li>case manager</li> <li>physician (encouraged)</li> <li>evaluator</li> <li>service providers (if appropriate)</li> <li>Others as appropriate at site or parent discretion</li> </ul>		Meets Compliance Standards
<b>11. IEU shall provide at least seven days prior notice of each IFSP meeting or have evidence of a waiver</b>		Meets Compliance Standards
<b>12. For children who will be transitioning from Part C to Part B ...the notice must include a statement of:</b> <ul style="list-style-type: none"> <li>The purpose of the meeting is to consider transition</li> <li>Appropriate representatives of Part C and B and Local public school system has been invited</li> <li>Identify any other agency that will be invited to send a representative</li> </ul>	A focused monitoring in this area will be conducted by June 30, 2008 to measure compliance in this area. A goal should be established for the site to establish a process to ensure all aspects of transition from Part C to Part B meets compliance.	Needs Corrective Action
<b>B-2 transition into Part B:</b> <ul style="list-style-type: none"> <li>must be held at least 90 days prior to the child's 3<sup>rd</sup> birthday with explanation of Part B, and the parents makes informed decision of using IEP of IFSP</li> </ul>	A focused monitoring in this area will be conducted by June 30, 2008 to measure compliance in this area. A goal should be established for the site to establish a process to ensure all aspects of transition from Part C to Part B meets compliance.	Needs Corrective Action
<b>13. Documentation that a copy of the evaluation report was provided to the parent a reasonable time prior to the IFSP meeting at which the evaluation is discussed.</b>		Meets Compliance Standards

<b>14. Copy of IFSP to parents within 21 days of the meeting</b>	Documentation missing	Needs Corrective Action
<b>15. Written Notice to parent if SAU proposes or refuses to initiate or change identification, evaluation, educational program, placement, ... (Appendix 1 34 CRF 300.503)</b>		Meets Compliance Standards
<b>16. Prior written notice of implementation of an IEP of a transferring child</b>		N/A

## EVALUATIONS

<b>18. Each SAU shall obtain informed parental consent prior:</b> <ul style="list-style-type: none"> <li>• for initial screening / evaluation</li> <li>• for each reevaluation and</li> <li>• before initiation of services</li> </ul> * State Form as of 10/1/07	100% compliance with having the form on file. Almost all of them were missing dates, addresses and indication of approval of consent. The forms need to be filled out in the entirety.	Needs Corrective Action
<b>19. Input from the IEP Team to determine evaluation needs (if any)</b> A. Written notice of reevaluation Determinations (State form)		Meets Compliance Standards
<b>20. Use a variety of assessment tools and strategies; not use any single procedure as the sole criterion; use technically sound instruments</b>	<b>85% compliance</b>  The site must use the state determined developmental evaluation for Part C eligibility.	Needs Corrective Action
<b>20a. Child Outcome Summary form ( as of 4/1/07) upon entry into services ( within 30 days of identification) and upon exit from program if the child has been in services for 6 months or longer</b>	<b>33% compliance</b>  Not found on file	Needs Corrective Action

## IFSP TEAM PROCEDURES

<b>21. Required members present at the meetings –</b>		Meets Compliance Standards
<b>22. If parent not present, the SAU shall maintain a record of its efforts to arrange a mutually agreed upon time and place</b>		N/A

## TEAM CONSIDERATIONS IN DEVELOPING AN IFSP

<b>23. State IFSP form as of 9/1/07</b>		Meets Compliance Standards
<b>A. Family Routines and Priorities</b>		Meets Compliance Standards
<b>B. Present Abilities, strengths and needs:</b> <ul style="list-style-type: none"> <li>• Summary of relevant Health Status</li> </ul>	<b>85% compliance</b> Documentation is missing on IFSP or notes indicate "see evaluation report"	
<ul style="list-style-type: none"> <li>• Using hand and Moving Body ( Gross and Fine motor)</li> </ul>	<b>85% compliance</b> Documentation is missing on IFSP or notes	

	indicate "see evaluation report"	
<ul style="list-style-type: none"> <li>Understanding / Communicating (receptive and expressive language)</li> </ul>	<p>60% compliance</p> <p>Documentation is missing on IFSP or notes indicate "see evaluation report"</p>	Needs Corrective Action
<ul style="list-style-type: none"> <li>Playing, Thinking, Exploring (Cognitive Skills)</li> </ul>	<p>85% compliance</p> <p>Documentation is missing on IFSP or notes indicate "see evaluation report"</p>	
<ul style="list-style-type: none"> <li>Expressing and Responding to Feelings &amp; Interacting with others ( Social and Emotional)</li> </ul>	<p>85% compliance</p> <p>Documentation is missing on IFSP or notes indicate "see evaluation report"</p>	
<ul style="list-style-type: none"> <li>Eating, Dressing, and Toileting ( Self –Help or Adaptive Skills)</li> </ul>	<p>85% compliance</p> <p>Documentation is missing on IFSP or notes indicate "see evaluation report"</p>	
<ul style="list-style-type: none"> <li>Evaluator (s)' name, credentials, role/ organization, signature and date</li> </ul>	<p>85% compliance</p> <p>Documentation is missing on IFSP or notes indicate "see evaluation report"</p>	
<ul style="list-style-type: none"> <li>Team Summary chart of five domains</li> </ul>	<p>85% compliance</p> <p>Documentation is missing on IFSP or notes indicate "see evaluation report"</p>	
C. Eligibility for Maine Part C Services Page with determination of eligibility indicated	The practice found at the Knox site is to order a speech and language evaluation in place of completing the communication portion of the Bayley or Battelle developmental evaluation. 4 of the 7 files reviewed indicated the determination of eligibility for Part C services using only speech and language evaluations. In 3 of the files reviewed, the IFSP team determined eligibility using Informed Clinical Opinion with standard scores of less than 1.5 standard deviations below the mean in one area.	Needs Corrective Action

## INDIVIDUAL FAMILY SERVICE PLAN

<b>24. Child / Family Outcomes including:</b> <ul style="list-style-type: none"> <li>Outcome statement</li> <li>Short term objectives</li> <li>Strategies</li> <li>Progress</li> </ul>	<p>60% compliance</p> <p>This section of the IFSP was missing documentation of outcomes in place of "see plan of care" as well as objectives, strategies and progress</p>	Needs Corrective Action
<b>24a. Natural Environment Justification and documentation</b>	<p>70% compliance</p> <p>Documentation is missing on IFSP</p>	Needs Corrective Action
<ul style="list-style-type: none"> <li>The EI services are being provided in the child's natural environment</li> </ul>	<p>70% compliance</p> <p>Documentation missing or statement included " therapist not available"</p>	Needs Corrective Action
<b>25. Transition Plan</b> <ul style="list-style-type: none"> <li>Date of Child's 3<sup>rd</sup> birthday</li> <li>Date for transition conference (at least ninety days before the child's third birthday)</li> <li>Date Child exited from EI program</li> <li>Anticipated Date of Transition</li> <li>Priorities and goals for child's transition</li> <li>Transition Planning requirements and activities with person(s) responsible, date initiated and date to be completed.</li> </ul>	<p>The site should establish a process to ensure that all aspects of transition meet compliance. Documentation needs to be included on the IFSP to include required dates, activities and meetings.</p>	Needs Corrective Action
<b>26. Transition Conference</b>		
<b>27. Supports and Services needed to achieve Outcomes including:</b> <ul style="list-style-type: none"> <li>Specific supports and services</li> </ul>		Meets Compliance Standards
<ul style="list-style-type: none"> <li>Setting</li> </ul>		Meets

		Compliance Standards
• Method		Meets Compliance Standards
• Frequency		Meets Compliance Standards
• Intensity		Meets Compliance Standards
• Qualified Enrolled Provider	The site is listing specific providers on the services page. They should be listed by area of specialty	Needs Corrective Action
• Funding Source		Meets Compliance Standards
• Start and End Dates	85% compliance  One day less rule	Needs Corrective Action
• Other Services ( other services needed by the child but not entitled under part C)	85% compliance  Left blank	Needs Corrective Action
<b>28. IFSP Signature Page with consent from parent for EI services</b>		Meets Compliance Standards
<b>29. Periodic Review of the IFSP documentation</b>		Meets Compliance Standards
<b>30. Financial Resources listed on IFSP</b>		Meets Compliance Standards
<b>31. Primary Health Care Provider Approval</b>		Meets Compliance Standards