

PART C
CHILD RECORD AUDIT FORM
8 files reviewed on-site
18 Reviewed internally

<i>ITEMS</i>	<i>COMMENTS</i>	
<i>INITIAL REFERRAL AND EVALUATION</i>		
1. Initial referral form completed and includes the following information: <ul style="list-style-type: none"> • Child's name • Parent's name and contact information • Date of Birth • Areas of concern • Referral Source / Date • Physician's name • Insurance source • Initiation of screening process / date of initial screening 		Meets Compliance Standards
2. Written notice to parent of initial referral <ul style="list-style-type: none"> • State form (as of 9/1/07) • Filled out completely 	75% compliance <ul style="list-style-type: none"> • The date on the notice should match the date of the meeting in which the determinations in the written notice were decided. • Names of participants of the meeting need to be listed on the bottom of the notice 	Needs Corrective Action
3. Documentation of Parents provided with procedural safeguards	75% compliance	Needs Corrective Action
4. Receipt of consent for initial evaluation <ul style="list-style-type: none"> • State form (as of 10/1/07) 	75% compliance	Needs Corrective Action
5. Input from the IFSP team to determine evaluation needs (if any)		Meets Compliance Standards
6. Appropriate referrals for evaluations documented		Meets Compliance Standards
7. Bailey / Battelle must be utilize to satisfy 303.322(c)(3)ii as part of initial evaluation (as of 3/30/07)	85% compliance If a child is identified to receive Part C services due to an established condition, the site has not been consistently ordering the state required evaluations.	Needs Corrective Action
	Up until recently the site has been implementing interim IFSPs during the	Needs

8. Completion of evaluations and IFSP meeting held to review to determine eligibility within <ul style="list-style-type: none"> (B-2) 45 days from the regional site Board's receipt of referral 	child find / evaluation process. The non-compliance rate is due to not meeting the 45 day timeline from referral to when the evaluations are completed and a plan beyond service coordination is in place. Even with Interim plan in place, 70% of the files reviewed met compliance with the completion of the evaluations ordered.	Corrective Action
9. Development of IFSP with written consent for initial placement <ul style="list-style-type: none"> New IFSP state form as of 9/1/07 		Meets Compliance Standards
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)		Meets Compliance Standards
10. Written notice to parent for initial placement		
CURRENT IFSP Team Notices and Procedures		
10. Parental written notice of IFSP meeting <ul style="list-style-type: none"> State form as of 10/1/07 		Meets Compliance Standards
For children B-2 attendance should include to determine eligibility: <ul style="list-style-type: none"> parent case manager physician (encouraged) evaluator service providers (if appropriate) Others as appropriate at site or parent discretion 		Meets Compliance Standards
11. IEU shall provide at least seven days prior notice of each IFSP meeting or have evidence of a waiver		Meets Compliance Standards
12. For children who will be transitioning from Part C to Part B ...the notice must include a statement of: <ul style="list-style-type: none"> The purpose of the meeting is to consider transition Appropriate representatives of Part C and B and Local public school system has been invited Identify any other agency that will be invited to send a representative 	The files that were reviewed as part of the random sampling did not demonstrate the transition process from Part C to Part B. A focused monitoring is currently underway to gather data on the site's performance. The site should establish a goal as part of their corrective action plan to ensure compliance in this area.	Needs Corrective Action
B-2 transition into Part B: <ul style="list-style-type: none"> must be held at least 90 days prior to the child's 3rd birthday with explanation of Part B, and the parents makes informed decision of using IEP of IFSP 		
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.		Meets Compliance Standards
14. Copy of IFSP to parents within 21 days of the meeting	Documentation missing within the files.	Needs Corrective Action

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)	100% found on files	Meets Compliance Standards
	Need to remember the correct dates and names need to be added to the form	Needs Corrective Action
16. Prior written notice of implementation of an IEP of a transferring child		N/A

EVALUATIONS

18. Each SAU shall obtain informed parental consent prior: <ul style="list-style-type: none"> • for initial screening / evaluation • for each reevaluation and • before initiation of services * State Form as of 10/1/07	80% compliance	Needs Corrective Action
19. Input from the IEP Team to determine evaluation needs (if any) <p>A. Written notice of reevaluation Determinations (State form)</p>		Meets Compliance Standards
20. Use a variety of assessment tools and strategies; not use any single procedure as the sole criterion; use technically sound instruments	The site needs to use one of the site required evaluation tools as part of the initial evaluation process on a consistent basis.	Needs Corrective Action
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		Meets Compliance Standards

IFSP TEAM PROCEDURES

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

TEAM CONSIDERATIONS IN DEVELOPING AN IFSP

23. State IFSP form as of 9/1/07		Meets Compliance Standards
A. Family Routines and Priorities		Meets Compliance Standards
B. Present Abilities, strengths and needs: <ul style="list-style-type: none"> • Summary of relevant Health Status 	75% compliance in entire first section of the IFSP. The site has a high prevalence of children identified as developmental delayed caused by an established condition. The site was not ordering an entire developmental evaluation as part of the initial evaluation process on a consistent basis so parts of this section were incomplete. At other times this section contained only information from medical documentation and parent input.	Needs Corrective Action
• Using hand and Moving Body (Gross and Fine motor)		
• Understanding / Communicating (receptive and expressive language)		
• Playing, Thinking, Exploring (Cognitive Skills)		

<ul style="list-style-type: none"> Expressing and Responding to Feelings & Interacting with others (Social and Emotional) 		
<ul style="list-style-type: none"> Eating, Dressing, and Toileting (Self –Help or Adaptive Skills) 		
<ul style="list-style-type: none"> Evaluator (s)’ name, credentials, role/ organization, signature and date 		
<ul style="list-style-type: none"> Team Summary chart of five domains 		
C. Eligibility for Maine Part C Services Page with determination of eligibility indicated	<p>This section was 100% compliant in filling out this page of the plan. However, 85% of the children found eligible for services had an established condition and did not undergo a full developmental evaluation to help the team determine appropriate services.</p> <p>The site should establish a goal for improving the initial evaluation process for children in Part C referred with a medically established condition.</p>	Meets Compliance Standards
		Needs Corrective Action

INDIVIDUAL FAMILY SERVICE PLAN

24. Child / Family Outcomes including: <ul style="list-style-type: none"> Outcome statement Short term objectives Strategies Progress 		Meets Compliance Standards
24a. Natural Environment Justification and documentation		Meets Compliance Standards
<ul style="list-style-type: none"> The EI services are being provided in the child’s natural environment 	80% compliance	Needs Corrective Action
25. Transition Plan <ul style="list-style-type: none"> Date of Child’s 3rd birthday 	100% compliance with placing the child’s 3 rd birthday on the transition planning page of the IFSP	Meets Compliance Standards
<ul style="list-style-type: none"> Date for transition conference (at least ninety days before the child’s third birthday) 	The site should establish a goal in their corrective action plan to ensure all aspects of the transition requirements are being met 100% of the time.	Needs Corrective Action
<ul style="list-style-type: none"> Date Child exited from EI program 		
<ul style="list-style-type: none"> Anticipated Date of Transition 		
<ul style="list-style-type: none"> Priorities and goals for child’s transition 		
<ul style="list-style-type: none"> Transition Planning requirements and activities with person(s) responsible, date initiated and date to be completed. 		
26. Transition Conference		
27. Supports and Services needed to achieve Outcomes including: <ul style="list-style-type: none"> Specific supports and services 		Meets Compliance Standards
<ul style="list-style-type: none"> Setting 		Meets Compliance Standards
<ul style="list-style-type: none"> Method 		Meets Compliance Standards
<ul style="list-style-type: none"> Frequency 		Meets

		Compliance Standards
<ul style="list-style-type: none"> • Intensity 		Meets Compliance Standards
<ul style="list-style-type: none"> • Qualified Enrolled Provider 		Meets Compliance Standards
<ul style="list-style-type: none"> • Funding Source 		Meets Compliance Standards
<ul style="list-style-type: none"> • Start and End Dates 		Meets Compliance Standards
<ul style="list-style-type: none"> • Other Services (other services needed by the child but not entitled under part C) 		Meets Compliance Standards
28. IFSP Signature Page with consent from parent for EI services		Meets Compliance Standards
29. Periodic Review of the IFSP documentation		Meets Compliance Standards
30. Financial Resources listed on IFSP		Meets Compliance Standards
31. Primary Health Care Provider Approval		Meets Compliance Standards