

CHILD RECORD AUDIT FORM SUMMARY

Ammended 3/11/08* The Penobscot County Child Development Services letter of findings was amended to reflect OSEP reporting requirements removing a threshold percentage in measuring compliance under the record audit section. The previous report dated September 26, 2007 used 80% accuracy as a measure of meeting compliance standards. We must now use 100%.

PART B FILES (12 FILES REVIEWED)

<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. Prior written notice of initial referral (Must contain all components of prior written notice) <ul style="list-style-type: none"> • actions proposed • explanation of the action • alternative actions considered and or rejected • other relevant factors • description of evaluation procedures, assessment, record, or report used in decision making • sources for assistance of Parental rights and safeguards (3-5) 	<ul style="list-style-type: none"> • either missing in file or not filled out completely 	Needs Corrective Action
3. Documentation of Parents provided with procedural safeguards		Needs Corrective Action
4. Evidence of completion of Screening		Needs Corrective Action
5. Input from the IFSP / IEP team to determine evaluation needs (if any)	<ul style="list-style-type: none"> • CST team needs to include parent input in decision to complete evaluations 	Needs Corrective Action
6. <u>Receipt of consent for initial evaluation</u>		Meets

		Compliance Standards
7. Appropriate referrals for evaluations documented		Meets Compliance Standards
8. Completion of evaluations and ECT meeting held to review to determine eligibility within <ul style="list-style-type: none"> (3-5) 60 days from permission to complete screening and start referral for evaluation process. (B-2) 45 days from the regional site Board's receipt of referral 	<ul style="list-style-type: none"> eight out of the twelve files were found to be out of compliance in meeting the timelines 	Needs Corrective Action
9. Development of IFSP / IEP and written consent for initial placement(including physician approval) (must provide all components of prior written notice)		Meets Compliance Standards
9a. On the initial IFSP/IEP, the signature of the parent, to indicate the informed and voluntary consent to the initial placement (services of the child)		Meets Compliance Standards
<i>CURRENT IFSP / IEP</i>		
10. Parental written notice of IFSP/IEP meeting must include: <ul style="list-style-type: none"> Parent's right to be member of team Procedural safeguards Parent's right to invite other individuals Name of person who convened the meeting Date/ Time/ location of the meeting List of person's titles and methods of participation (if alternate modes of attendance used, reason why) . 		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 		N/A
For children 3-5 include in addition to above: <ul style="list-style-type: none"> The CDS representative who can commit funds and supervise the provision of services The regular education teacher (if the child is or may be participating in a typically developing pre-school private or public school program.) 		Meets Compliance Standards
11. IEU shall provide at least seven days prior notice of each IEP meeting		Meets Compliance Standards
12. For children who will be transitioning from Part C to Part B and to kindergarten...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 		Meets Compliance

<ul style="list-style-type: none"> • B and Local public school system has been invited • Identify any other agency that will be invited to send a representative 		Standards
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 		N/A
Kindergarten eligible children: <ul style="list-style-type: none"> • must be held in the spring of the year eligible for public school in conjunction with the public school 		Needs Corrective Action
13. Documentation that a copy of the evaluation report was provided to the parent a reasonable time prior to the IFSP / IEP meeting at which the evaluation is discussed.	<ul style="list-style-type: none"> • not documented in files 	Needs Corrective Action
14. Copy of IEP Team minutes to parents within 21 days	<ul style="list-style-type: none"> • not documented in files 	Needs Corrective Action
15. Copy of IEP provided to parents within 21 days	<ul style="list-style-type: none"> • not documented in files 	Needs Corrective Action
16. Prior written notice if IEU proposes or refuses to initiate or change identification, evaluation, <u>educational program</u>, placement...		Needs Corrective Action
17. Prior written notice of implementation of an IEP of a transferring child		N/A

EVALUATIONS

18. Each IEU shall obtain informed parental consent prior: <ul style="list-style-type: none"> • for initial screening / evaluation • for each reevaluation and • before initiation of services 		Needs Corrective Action
Informed written consent must: <ul style="list-style-type: none"> • be in native language • include a description of actions being proposed • include list of records to be released and to whom • be voluntary (remind families they can accept some services and refuse others (B-2)) 		Needs Corrective Action
For Re-evaluations: If members of IEP Team determine that no additional data are needed, the IEU shall		N/A

notify the parents		
19. Input from the IEP Team to determine evaluation needs (if any) A. Prior written notice of reevaluation determinations		Needs Corrective Action
20. Use a variety of assessment tools and strategies; not use any single procedure as the sole criterion; use technically sound instruments		Meets Compliance Standards
20 a. For Part C (B-2): Bailey / Battelle must be utilize to satisfy 303.322(c)(3)ii as part of initial evaluation (3/30/07)		N/A
<i>ITEMS</i>	<i>COMMENTS</i>	
IFSP / IEP TEAM PROCEDURES		
21. Required members present at the meetings –		Meets Compliance Standards
22. If parent not present, the IEU shall maintain a record of its efforts to arrange a mutually agreed upon time and place		Meets Compliance Standards
TEAM CONSIDERATIONS IN DEVELOPING AN IFSP/IEP		
For all children:		
23. A. In developing or revising each child's IFSP / IEP, the Team shall consider the strengths of the child...		Meets Compliance Standards
B. In developing each child's IEP, the Team shall consider the concerns of parents for enhancing the education...		Needs Corrective Action
C. The Team shall consider, as appropriate, the results of the child's performance on any general assessment		N/A
D. The Team shall consider whether the child requires assistive technology devices and services	<ul style="list-style-type: none"> consideration of assistive technology was not found as a consistent consideration on the IEP 	Needs Corrective Action
E. The Team shall consider the results of the initial or most recent evaluation of the child		Meets Compliance Standards
F. The Team shall consider the academic, developmental, and functional needs of the child		Needs Corrective Action

<p>G. The Team shall consider the communication needs of the child, and in the case of a child who is deaf or hard of hearing, consider the child's language and communication needs..</p>		<p>Needs Corrective Action</p>
<p>SPECIAL FACTORS (if appropriate)</p>		
<p>24. A. In the case of a child whose behavior impedes his/her learning, or that of others, the Team shall consider strategies, including positive behavioral interventions, strategies, and supports to address that behavior</p>	<p>The Special factors section was not found on the IEP used at the Penobscot site</p>	<p>Needs Corrective Action</p>
<p>B. In the case of a child who is blind or visually Impaired, the Team shall provide for instruction in Braille...unless the team determines (Braille)...not appropriate</p>		<p>Needs Corrective Action</p>
<p>C. In the case of a child with limited English proficiency, the Team shall consider the language needs of the child as these needs relate to the child's IEP</p>		<p>Needs Corrective Action</p>
<p>INDIVIDUALIZED EDUCATION PROGRAM</p>		
<p>25. Statement of the child's present level of functioning and performance, including how the disability affects the child's participation in appropriate activities</p>	<ul style="list-style-type: none"> There was no section on the IEP for the present level of functioning and performance 	<p>Needs Corrective Action</p>
<p>26. A Statement of measurable, annual goals (outcomes)</p>	<ul style="list-style-type: none"> measurement was not clear on three of the files 	<p>Needs Corrective Action</p>
<p>27. Statement of <u>how</u> the child's progress toward the annual goals will be measured</p>		<p>Needs Corrective Action</p>
<p>28. Measurable short-term instructional objectives or benchmarks</p>		<p>Meets Compliance Standards</p>
<p>29. Statement of how the child's parents will be regularly informed, at least as often as parents of children without disabilities are informed, of their child's progress toward their annual goals...</p>	<ul style="list-style-type: none"> not on the IEP form 	<p>Needs Corrective Action</p>
<p>30. Specific special education services</p>		<p>Meets Compliance Standards</p>
<p>31. Frequency of services to be provided</p>		<p>Meets Compliance Standards</p>

32. Position of person responsible for service delivery	<ul style="list-style-type: none"> need clarification of Qualified Enrolled Provider 	Needs Corrective Action
33. Location of service delivery	<ul style="list-style-type: none"> location codes need to be listed on the bottom of the services page 	Needs Corrective Action
34. Frequency of supportive services to be provided	There is no section on the IEP for Supportive services	N/A
35. Position of person responsible for delivery of supportive services	There is no section on the IEP for Supportive services	N/A
36. Location of delivery of supportive services	There is no section on the IEP for Supportive services	N/A
37. Date of initiation/duration of services (day, month, and year required)		Needs Corrective Action
38. An <u>explanation</u> of the extent, if any, to which the child will not participate with non-disabled children in the regular class and in other non-academic activities	<ul style="list-style-type: none"> attention needs to be made to the extent and the reasons why the child cannot participate with non-disabled peers 	Needs Corrective Action
39. Supplemental aids and services, program modifications or supports for personnel that will be provided to the child—to advance appropriately toward attaining the annual goals—to be involved and progress in the general curriculum...and to participate in other nonacademic activities...	<ul style="list-style-type: none"> not on the IEP form 	Needs Corrective Action
40. Special education transportation		Meets Compliance Standards
41. Accommodations necessary to measure the academic achievement and functional performance of the child on the outcomes assessment		N/A
A. If the IEP Team determines that the child shall take an alternate outcomes assessment, a statement of why the child cannot participate in the regular assessment and the particular alternate assessment that will be given		N/A
42. Statement of the child's eligibility for Extended School Year (ESY) services, as follows: A. review of progress reports, relevant assessments, parent report, observation documentation, etc.;	<ul style="list-style-type: none"> consistent process not found documentation missing IEPs do not reflect consideration and not indicated as a service 	Needs Corrective Action
B. consideration of the significance of the		Needs

child's disability and documented progress toward IEP goals, and		Corrective Action
C. consideration of the documentation illustrating the impact of previous service interruptions, and the probability that the child is unable to recoup skills previously mastered in a reasonable amount of time (see attached chart)		Needs Corrective Action

7/9/07 elt