

**PART C**  
**CHILD RECORD AUDIT FORM**  
**4 files reviewed on-site**  
**9 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>	80 % compliance	Needs Corrective Action
<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>		Meets Compliance Standards
<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>		Meets Compliance Standards
<b>8. Completion of evaluations and IFSP meeting held to review to determine eligibility within</b>		Meets Compliance Standards

<ul style="list-style-type: none"> <li>(B-2) 45 days from the regional site Board's receipt of referral</li> </ul>		
<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>		
<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>	Consistent use of the state form is required	Needs Corrective Action
<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>	<p>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.</p> <p>The site should establish a goal as part of their corrective action plan to ensure compliance in this area.</p>	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>		
<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>	Lack of documentation in files	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>	80 % compliance	Needs Corrective Action
<b>16. Prior written notice of implementation of an</b>		N/A

IEP of a transferring child		
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## EVALUATIONS

18. Each SAU shall obtain informed parental consent prior: <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	90 % compliance	Needs Corrective Action
19. Input from the IEP Team to determine evaluation needs (if any) A. Written notice of reevaluation Determinations (State form)		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		Meets Compliance Standards
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"> <li>• Summary of relevant Health Status</li> </ul>		Meets Compliance Standards
• Using hand and Moving Body ( Gross and Fine motor)		Meets Compliance Standards
• Understanding / Communicating (receptive and expressive language)		Meets Compliance Standards
• Playing, Thinking, Exploring (Cognitive Skills)		Meets Compliance Standards
• Expressing and Responding to Feelings & Interacting with others ( Social and Emotional)		Meets Compliance Standards
• Eating, Dressing, and Toileting ( Self –Help or Adaptive Skills)		Meets Compliance Standards
• Evaluator (s)' name, credentials, role/ organization, signature and date		Meets Compliance Standards

<ul style="list-style-type: none"> <li>• Team Summary chart of five domains</li> </ul>		Meets Compliance Standards
C. Eligibility for Maine Part C Services Page with determination of eligibility indicated		Meets Compliance Standards
<b>INDIVIDUAL FAMILY SERVICE PLAN</b>		
<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>		Meets Compliance Standards
<b>24a. Natural Environment Justification and documentation</b>		Meets Compliance Standards
<ul style="list-style-type: none"> <li>• The EI services are being provided in the child’s natural environment</li> </ul>		Meets Compliance Standards
<b>25. Transition Plan</b> <ul style="list-style-type: none"> <li>• Date of Child’s 3<sup>rd</sup> birthday</li> </ul>	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"> <li>• Date for transition conference (at least ninety days before the child’s third birthday)</li> </ul>		
<ul style="list-style-type: none"> <li>• Date Child exited from EI program</li> </ul>		
<ul style="list-style-type: none"> <li>• Anticipated Date of Transition</li> </ul>		
<ul style="list-style-type: none"> <li>• Priorities and goals for child’s transition</li> </ul>		
<ul style="list-style-type: none"> <li>• Transition Planning requirements and activities with person(s) responsible, date initiated and date to be completed.</li> </ul>		
<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
<ul style="list-style-type: none"> <li>• Method</li> </ul>		Meets Compliance Standards
<ul style="list-style-type: none"> <li>• Frequency</li> </ul>		Meets Compliance Standards
<ul style="list-style-type: none"> <li>• Intensity</li> </ul>		Meets Compliance Standards
<ul style="list-style-type: none"> <li>• Qualified Enrolled Provider</li> </ul>		Meets Compliance Standards
<ul style="list-style-type: none"> <li>• Funding Source</li> </ul>		Meets Compliance Standards
<ul style="list-style-type: none"> <li>• Start and End Dates</li> </ul>		Meets Compliance Standards
<ul style="list-style-type: none"> <li>• Other Services ( other services needed by the child but not entitled under part C)</li> </ul>		Meets Compliance Standards

<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