

## CHILD RECORD AUDIT FORM

*Names*

### PART C FILES

<i>ITEMS</i>	<i>COMMENTS</i>			
<b><i>INITIAL REFERRAL AND EVALUATION</i></b>				
<p><b>1. Initial referral form completed and includes the following information:</b></p> <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>	<p>Document not found on file or areas not filled out completely</p>			Needs Corrective Action
<p><b>2. Prior written notice of initial referral (Must contain all components of prior written notice)</b></p> <ul style="list-style-type: none"> <li>• actions proposed</li> <li>• explanation of the action</li> <li>• alternative actions considered and or rejected</li> <li>• other relevant factors</li> <li>• description of evaluation procedures, assessment, record, or report used in decision making</li> <li>• sources for assistance of Parental rights and safeguards (3-5)</li> </ul>	<p>There was evidence the site was beginning to use the new state forms upon initial referral</p>			Needs Corrective Action
<p><b>3. Documentation of Parents provided with procedural safeguards</b></p>	<p>No documentation in the files or communication logs as to how and when parents received their procedural safeguards</p>			Needs Corrective Action
<p><b>4. Evidence of completion of Screening</b></p>				Needs Corrective Action
<p><b>5. Input from the IFSP / IEP team to determine evaluation needs (if any)</b></p>				Meets Compliance standards
<p><b>6. <u>Receipt of consent for initial evaluation</u></b></p>	<p>The files reflected the use of the same consent form used for screening to move forward with the specific evaluations ordered by IFSP team.</p>			Needs Corrective Action
<p><b>7. Appropriate referrals for evaluations documented</b></p>				Needs Corrective Action

<p><b>8. Completion of evaluations and ECT meeting held to review to determine eligibility within</b></p> <ul style="list-style-type: none"> <li>• (3-5) 60 days from permission to complete screening and start referral for evaluation process.</li> <li>• (B-2) 45 days from the regional site Board's receipt of referral</li> </ul>		<p>Needs Corrective Action</p>
<p><b>9. Development of IFSP / IEP and written consent for initial placement( including physician approval) (must provide all components of prior written notice)</b></p>		<p>Meets Compliance Standards</p>
<p><b>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)</b></p>		<p>Meets Compliance Standards</p>
<p><b><i>CURRENT IFSP / IEP</i></b></p>		
<p><b>10. Parental written notice of IFSP/IEP meeting must include:</b></p> <ul style="list-style-type: none"> <li>• Parent's right to be member of team</li> <li>• Procedural safeguards</li> <li>• Parent's right to invite other individuals</li> <li>• Name of person who convened the meeting</li> <li>• Date/ Time/ location of the meeting</li> <li>• List of person's titles and methods of participation (if alternate modes of attendance used, reason why)</li> <li>•</li> </ul>		<p>Meets Compliance Standards</p>
<p><b>For children B-2 attendance should include to determine eligibility:</b></p> <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>		<p>Meets Compliance Standards</p>
<p><b>11. IEU shall provide at least seven days prior notice of each IEP meeting</b></p>		<p>Needs Corrective Action</p>
<p><b>12. For children who will be transitioning from Part C to Part B and to kindergarten...the notice must include a statement of:</b></p> <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>All aspects of transition need to be addressed in Corrective Action Plan</p> <ul style="list-style-type: none"> <li>• notice with purpose and attendees</li> <li>• timelines for Part C to Part B</li> </ul>	<p>Needs Corrective Action</p>
<p><b>B-2 transition into Part B:</b></p> <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>		<p>Needs Corrective Action</p>

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.		Meets Compliance Standards
14. Copy of IEP Team minutes to parents within 21 days	Documentation not found on file	Needs Corrective Action
15. Copy of IEP provided to parents within 21 days	Documentation not found on file	Needs Corrective Action
16. Prior written notice if IEU proposes or refuses to initiate or change identification, evaluation, <u>educational program, placement...</u>		Meets Compliance Standards
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"> <li>• for initial screening / evaluation</li> <li>• for each reevaluation and</li> <li>• before initiation of services</li> </ul>	Consent forms not found on file Need to adopt new state form	Needs Corrective Action
Informed written consent must: <ul style="list-style-type: none"> <li>• be in native language</li> <li>• include a description of actions being proposed</li> <li>• include list of records to be released and to whom</li> <li>• be voluntary (remind families they can accept some services and refuse others (B-2)</li> </ul>		Meets Compliance Standards
19. Input from the IEP Team to determine evaluation needs (if any) A. Prior written notice of reevaluation determinations		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
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)	The evaluations of Part C children need to follow the required evaluation tools set forth by the Department of Education in Administrative Letter #1. Please see the final summary for a description of compliance in this area.	Needs Corrective Action
<b>ITEMS</b>	<b>COMMENTS</b>	

### IFSP / IEP TEAM PROCEDURES

21. Required members present at the meetings –		Meets Compliance Standards
22. If parent not present, (Part B) the IEU shall maintain a		Meets

record of its efforts to arrange a mutually agreed upon time and place		Compliance Standards
<b>TEAM CONSIDERATIONS IN DEVELOPING AN IFSP/IEP</b>		
<b>For all children:</b>		
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...		Meets Compliance Standards
C. The Team shall consider, as appropriate, the results of the child's performance on any general assessment		Meets Compliance Standards
D. The Team shall consider whether the child requires assistive technology devices and services	Old IFSP did not address this area	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		Meets Compliance Standards
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..		Meets Compliance Standards

### INDIVIDUALIZED FAMILY SERVICE PLAN (B-2)

Each IFSP must include:		Meets Compliance Standards
A. Statement of present levels of development [cognitive, physical (including vision, hearing, and health status) communication, social emotional, adaptive] based on objective criteria and how disability affects participation in appropriate activities;		Meets Compliance Standards
B. Statement of family's resources, priorities, and concerns (voluntary – document if declined);	Areas left blank on the IFSP	Needs Corrective Action
C. Statement of major outcomes to be achieved for the child and family (include criteria, procedures, and timelines to determine progress);	The outcomes were not found on the IFSP but were found on the plans of care from providers	Needs Corrective Action
D. Statement of the early intervention services necessary to meet the unique needs of the child / family: <ul style="list-style-type: none"> <li>• -Frequency, intensity, method of delivery</li> <li>• Natural environment and justification of extent not in</li> </ul>		Meets

<ul style="list-style-type: none"> <li>• Location [actual place(s)]</li> <li>• Payment arrangements</li> </ul>		Compliance Standards
<p><b>Medical and other services not required under Part C, and funding sources of steps to secure services from public or private sources.</b></p>		Needs Corrective Action
<p><b>Projected dates for initiation of services(s) and anticipated duration.</b></p>		Meets Compliance Standards
<p><b>Steps to be taken to support transition to Part B (if eligible or school) or other services that may be available.</b></p>	<p>There was evidence of standard transition statements on all IFSPs that were not individualized to the child.</p>	Needs Corrective Action