

**PART C
CHILD RECORD AUDIT FORM**

6 files reviewed by DOE
4 files 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 		Meets Compliance Standards
3. Documentation of Parents provided with procedural safeguards		Meets Compliance Standards
4. Receipt of consent for initial evaluation <ul style="list-style-type: none"> • State form (as of 10/1/07) 		Meets Compliance Standards
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)		Meets Compliance Standards
8. Completion of evaluations and IFSP meeting held to review to determine eligibility within	Of the 6 files reviewed: <ul style="list-style-type: none"> • three of them met within the required timelines 	Meets Compliance Standards

<ul style="list-style-type: none"> (B-2) 45 days from the regional site Board's receipt of referral 	<ul style="list-style-type: none"> three of them met after the required timelines but with clear documentation of family cancellations of the meetings scheduled within the appropriate timeline. 	
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		Meets Compliance Standards
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 	<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-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		Meets Compliance Standards
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)		Meets Compliance Standards

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		Meets Compliance Standards
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	Demonstration of the use of the required speech and language forms - *** Need to check on observation ***	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	The site has been completing the COSF forms and submitting them to the Department in a timely fashion. They must copy the original and place in the child's file.	Needs Corrective Action

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:		Meets Compliance Standards
• Summary of relevant Health Status		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,		Meets

signature and date		Compliance Standards
<ul style="list-style-type: none"> Team Summary chart of five domains 		Meets Compliance Standards
C. Eligibility for Maine Part C Services Page with determination of eligibility indicated		Meets Compliance Standards
INDIVIDUAL FAMILY SERVICE PLAN		
24. Child / Family Outcomes including: <ul style="list-style-type: none"> Outcome statement Short term objectives Strategies Progress 	The site needs improve documentation of strategies to achieve outcomes as well as how progress will be measured	Needs Corrective Action
24a. Natural Environment Justification and documentation	70 % compliance with documentation as well as provision of services	Needs Corrective Action
<ul style="list-style-type: none"> The EI services are being provided in the child's natural environment 		Needs Corrective Action
25. Transition Plan	<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
<ul style="list-style-type: none"> Date of Child's 3rd birthday 		
<ul style="list-style-type: none"> Date for transition conference (at least ninety days before the child's third birthday) 		
<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:		Meets Compliance Standards
<ul style="list-style-type: none"> Specific supports and services 		
<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 	The site needs to remove specific names of providers from the plan	Needs Corrective Action
<ul style="list-style-type: none"> Funding Source 		Meets Compliance Standards
<ul style="list-style-type: none"> Start and End Dates 	The dates on the plan should not exceed one year. Site has been exceeding by one day.	Needs Corrective Action
<ul style="list-style-type: none"> Other Services (other services needed by the child but not entitled under part C) 	Left blank	Needs Corrective

		Action
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