

CHILD RECORD AUDIT FORM

***Amended 3/11/08 *** The York 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 December 4, 2007 used 95% accuracy as a measure of meeting compliance standards. We must now use 100%.

PART C FILES

<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) 				Needs Corrective Action
3. Documentation of Parents provided with procedural safeguards				Meets Compliance Standards
4. Evidence of completion of Screening				Meets Compliance Standards
5. Input from the IFSP / IEP team to determine evaluation needs (if any)	Lack of clear documentation in files			Needs Corrective Action
6. <u>Receipt of consent for initial evaluation</u>	Forms were found in files but did not specify specific evaluations ordered by the team. The site was using a general consent form for all possible evaluations. New State Form must be adopted			Needs Corrective Action

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 		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) 	The notices were found to be on file but did not include all components required in regulations (180 or 101). New State Form needs to be adopted	Needs Corrective Action
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 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 B and Local public school system has been invited Identify any other agency that will be invited to send a representative 	All aspects of Transition needs to be addressed in Corrective action plan 0% compliance in all transition areas <ul style="list-style-type: none"> notice with purpose and attendees timelines for Part C to part B Kindergarten transition process 	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 		Needs Corrective Action
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.		Meets Compliance Standards
14. Copy of IEP Team minutes to parents within 21 days		Meets Compliance Standards
15. Copy of IEP provided to parents within 21 days		Meets Compliance Standards
16. Prior written notice if IEU proposes or refuses to initiate or change identification, evaluation, <u>educational program</u>, placement...		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"> for initial screening / evaluation for each reevaluation and before initiation of services 	Form issue (noted above in initial evaluation section) New State Form needs to be adopted	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)) 		Meets Compliance Standards
For Re-evaluations: If members of IEP Team determine that no additional data are needed, the IEU shall notify the parents		N/A

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)		Meets Compliance Standards
<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, (Part B) the IEP shall maintain a record of its efforts to arrange a mutually agreed upon time and place		N/A

TEAM CONSIDERATIONS IN DEVELOPING AN IFSP/IEP

In verification review of twelve of the same files reviewed by the YCCDS staff, this auditor found nine out of the 12 children's files without current IFSPs on file. Please see isolated deficiency letter sent to Site Director on November 5, 2007 with specific corrective action required.

Of the remaining files verified and reviewed for part C children, the remaining areas of the IFSP below met compliance based on the YCCDS IFSP except the transition steps needed to determine Part B eligibility.

The required state IFSP Form needs to be adopted.

23. A. In developing or revising each child's IFSP / IEP, the Team shall consider the strengths of the child...		
B. In developing each child's IEP, the Team shall consider the concerns of parents for enhancing the education...		
C. The Team shall consider, as appropriate, the results of the child's performance on any general assessment		
D. The Team shall consider whether the child requires assistive technology devices and services		
E. The Team shall consider the results of the initial or most recent evaluation of the child		
F. The Team shall consider the academic, developmental, and functional needs of the child		
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..		
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INDIVIDUALIZED FAMILY SERVICE PLAN (B-2)

Each IFSP must include:		
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;		
B. Statement of family's resources, priorities, and concerns (voluntary – document if declined);		
C. Statement of major outcomes to be achieved for the child and family (include criteria, procedures, and timelines to determine progress);		
D. Statement of the early intervention services necessary to meet the unique needs of the child / family: <ul style="list-style-type: none"> • -Frequency, intensity, method of delivery • Natural environment and justification of extent not in • Location [actual place(s)] • Payment arrangements 		
Medical and other services not required under Part C, and funding sources of steps to secure services from public or private sources.		
Projected dates for initiation of services(s) and anticipated duration.		
Steps to be taken to support transition to Part B (if eligible or school) or other services that may be available.		Needs Corrective Action