

PART C
CHILD RECORD AUDIT FORM
 17 files reviewed during the on-site monitoring visit

<i>ITEMS</i>		
<i>INITIAL REFERRAL AND EVALUATION</i>	<i>Comments</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
2. Written notice to parent of initial referral <ul style="list-style-type: none"> • State form (as of 9/1/07) • Filled out completely 	The site demonstrated the use of the required state forms. Dates and required documentation of team membership was missing on forms in the files.	Needs Corrective Action
3. Documentation of Parents provided with procedural safeguards		Meets Compliance
4. Receipt of consent for initial evaluation <ul style="list-style-type: none"> • State form (as of 10/1/07) 	The site demonstrated the use of the required state forms. Dates and required documentation of team membership was missing on forms in the files.	Needs Corrective Action
5. Input from the IFSP team to determine evaluation needs (if any)		Meets Compliance
6. Appropriate referrals for evaluations documented		Meets Compliance
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
8. Completion of evaluations and IFSP meeting held to review to determine eligibility within <ul style="list-style-type: none"> • (B-2) 45 days from the regional site Board's receipt of referral 	12 of the 17 files reviewed met compliance 70% compliance	Needs Corrective Action

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
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
10. Written notice to parent for initial placement		Needs Corrective Action
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
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
11. IEU shall provide at least seven days prior notice of each IFSP meeting or have evidence of a waiver		Meets Compliance
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 	During the review of the files, there were no files in which the Transition Requirements met compliance.	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 	The applicable files in which Transition Conferences were required, the site did not meet compliance in holding the meeting within the 90 day timeframe for any of the children. 0% compliance	Needs Corrective Action
13. Copy of IFSP to parents within 21 days of the meeting		Meets Compliance
14. Written Notice to parent if SAU proposes or refuses to initiate or change identification, evaluation, educational program, placement, ...(Appendix 1 34 CRF 300.503)		Needs Corrective Action
15. Prior written notice of implementation of an IEP of a transferring child		Not Applicable

EVALUATIONS

18. Each SAU shall obtain informed parental consent prior: <ul style="list-style-type: none"> for initial screening / evaluation for each reevaluation and 	The site has implemented the required state form. However dates and documentation of input from the team members was missing on the forms.	Needs Corrective Action
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<ul style="list-style-type: none"> before initiation of services 		
* State Form as of 10/1/07		
19. Input from the IEP Team to determine evaluation needs (if any) A. Written notice of reevaluation Determinations (State form)		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
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 COSF forms were inconsistently found in the files.	Needs Corrective Action
IFSP TEAM PROCEDURES		
21. Required members present at the meetings –		Meets Compliance
22. If parent not present, the SAU shall maintain a record of its efforts to arrange a mutually agreed upon time and place		Not Applicable
TEAM CONSIDERATIONS IN DEVELOPING AN IFSP		
23. State IFSP form as of 9/1/07		Meets Compliance
A. Family Routines and Priorities		Meets Compliance
B. Present Abilities, strengths and needs:		Meets Compliance
<ul style="list-style-type: none"> Summary of relevant Health Status 		Meets Compliance
<ul style="list-style-type: none"> Using hand and Moving Body (Gross and Fine motor) 		Meets Compliance
<ul style="list-style-type: none"> Understanding / Communicating (receptive and expressive language) 		Meets Compliance
<ul style="list-style-type: none"> Playing, Thinking, Exploring (Cognitive Skills) 		Meets Compliance
<ul style="list-style-type: none"> Expressing and Responding to Feelings & Interacting with others (Social and Emotional) 		Meets Compliance
<ul style="list-style-type: none"> Eating, Dressing, and Toileting (Self –Help or Adaptive Skills) 		Meets Compliance
<ul style="list-style-type: none"> Evaluator (s)' name, credentials, role/ organization, signature and date 	Signatures were inconsistently found on the IFSP form	Needs Corrective Action
<ul style="list-style-type: none"> Team Summary chart of five domains 		Meets Compliance
C. Eligibility for Maine Part C Services Page with determination of eligibility indicated		Meets Compliance
INDIVIDUAL FAMILY SERVICE PLAN		
24. Child / Family Outcomes including:		Meets Compliance
<ul style="list-style-type: none"> Outcome statement Short term objectives Strategies Progress 		Meets Compliance

24a. Natural Environment Justification and documentation		Meets Compliance
<ul style="list-style-type: none"> The EI services are being provided in the child's natural environment 		Meets Compliance
25. Transition Plan	All aspects of the Transition from Part C to Part B needs corrective action.	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
<ul style="list-style-type: none"> Specific supports and services 		Meets Compliance
<ul style="list-style-type: none"> Setting 		Meets Compliance
<ul style="list-style-type: none"> Method 		Meets Compliance
<ul style="list-style-type: none"> Frequency 		Meets Compliance
<ul style="list-style-type: none"> Intensity 		Meets Compliance
<ul style="list-style-type: none"> Qualified Enrolled Provider 		Meets Compliance
<ul style="list-style-type: none"> Funding Source 		Meets Compliance
<ul style="list-style-type: none"> Start and End Dates 		Meets Compliance
<ul style="list-style-type: none"> Other Services (other services needed by the child but not entitled under part C) 		Meets Compliance
28. IFSP Signature Page with consent from parent for EI services		Meets Compliance
29. Periodic Review of the IFSP documentation		Meets Compliance
30. Financial Resources listed on IFSP		Meets Compliance
31. Primary Health Care Provider Approval		Meets Compliance