

**PART C**  
**CHILD RECORD AUDIT FORM**  
**13 files reviewed internally and 14 files were reviewed on-site**

<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>		36% compliance Needs Corrective action
<b>3. Documentation of Parents provided with procedural safeguards</b>		86% compliance Needs Corrective Action
<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>	Dates missing	86% compliance Needs corrective action
<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> <ul style="list-style-type: none"> <li>• (B-2) 45 days from the regional site Board's receipt of referral</li> </ul>		75% Compliance Needs corrective Action
<b>9. Development of IFSP with written consent for initial placement</b>		Meets Compliance

<ul style="list-style-type: none"> <li>New IFSP state form as of 9/1/07</li> </ul>		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		20% compliance Needs Corrective Action
<b>CURRENT IFSP Team Notices and Procedures</b>		
10. Parental written notice of IFSP meeting <ul style="list-style-type: none"> <li>State form as of 10/1/07</li> </ul>		64% compliance Needs Corrective Action
For children B-2 attendance should include to determine eligibility: <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>		64% compliance Needs Corrective Action
11. IEU shall provide at least seven days prior notice of each IFSP meeting or have evidence of a waiver		64% compliance needs corrective action
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"> <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>		Needs Corrective action
B-2 transition into Part 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>		Needs Corrective action
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.		73% compliance Needs corrective action
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)		36% compliance Needs Corrective action
16. Prior written notice of implementation of an IEP of a transferring child		N/A

## EVALUATIONS

18. Each SAU shall obtain informed parental		64% compliance
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<p>consent prior:</p> <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> <p>* State Form as of 10/1/07</p>		Needs Corrective action
<p>19. Input from the IEP Team to determine evaluation needs (if any)</p> <p>A. Written notice of reevaluation Determinations (State form)</p>		Meets Compliance standards
<p>20. Use a variety of assessment tools and strategies; not use any single procedure as the sole criterion; use technically sound instruments</p>		Meets Compliance standards
<p>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</p>		63% compliance needs corrective action
<b>IFSP TEAM PROCEDURES</b>		
<p>21. Required members present at the meetings –</p>		Meets Compliance standards
<p>22. If parent not present, the SAU shall maintain a record of its efforts to arrange a mutually agreed upon time and place</p>		Meets Compliance standards
<b>TEAM CONSIDERATIONS IN DEVELOPING AN IFSP</b>		
<p>23. State IFSP form as of 9/1/07</p>		Meets Compliance standards
<p>A. Family Routines and Priorities</p>		80% compliance Needs corrective action
<p>B. Present Abilities, strengths and needs:</p> <ul style="list-style-type: none"> <li>• Summary of relevant Health Status</li> </ul>		80 % compliance Needs corrective action
<ul style="list-style-type: none"> <li>• Using hand and Moving Body ( Gross and Fine motor)</li> </ul>		83% compliance Needs corrective action
<ul style="list-style-type: none"> <li>• Understanding / Communicating (receptive and expressive language)</li> </ul>		86% compliance Needs corrective action
<ul style="list-style-type: none"> <li>• Playing, Thinking, Exploring (Cognitive Skills)</li> </ul>		73% compliance Needs corrective action
<ul style="list-style-type: none"> <li>• Expressing and Responding to Feelings &amp; Interacting with others ( Social and Emotional)</li> </ul>		78% compliance Needs corrective action
<ul style="list-style-type: none"> <li>• Eating, Dressing, and Toileting ( Self –Help or Adaptive Skills)</li> </ul>		83% compliance Needs corrective action
<ul style="list-style-type: none"> <li>• Evaluator (s)' name, credentials, role/ organization, signature and date</li> </ul>		78% compliance needs corrective action
<ul style="list-style-type: none"> <li>• Team Summary chart of five domains</li> </ul>		84% compliance Needs corrective action
<p>C. Eligibility for Maine Part C Services Page with determination of eligibility indicated</p>		87% compliance Needs corrective action

## INDIVIDUAL FAMILY SERVICE PLAN

<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>		86% compliance needs corrective action
<b>24a. Natural Environment Justification and documentation</b>		90% compliance Needs corrective action
<ul style="list-style-type: none"> <li>• The EI services are being provided in the child’s natural environment</li> </ul>		76% compliance Needs corrective action
<b>25. Transition Plan</b> <ul style="list-style-type: none"> <li>• Date of Child’s 3<sup>rd</sup> birthday</li> </ul>		56% compliance 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>		Needs Corrective action
<ul style="list-style-type: none"> <li>• Date Child exited from EI program</li> </ul>		Needs Corrective action
<ul style="list-style-type: none"> <li>• Anticipated Date of Transition</li> </ul>		Needs Corrective action
<ul style="list-style-type: none"> <li>• Priorities and goals for child’s transition</li> </ul>		Needs Corrective action
<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>		Needs Corrective action
<b>26. Transition Conference</b>		Needs Corrective action
<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>		Needs corrective action
<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