

**PART C**  
**CHILD RECORD AUDIT FORM**  
**7 files reviewed on-site**

<i>ITEMS</i>	<i>COMMENTS</i>	
<b><i>INITIAL REFERRAL AND EVALUATION</i></b>	<b><i>DOB</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>		Meets Compliance Standards
<b>3. Documentation of Parents provided with procedural safeguards</b>		Meets Compliance Standards
<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>		Meets Compliance Standards
<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</b>	80 % compliance	Needs Corrective

<p>held to review to determine eligibility within</p> <ul style="list-style-type: none"> <li>(B-2) 45 days from the regional site Board's receipt of referral</li> </ul>		Action
<p>9. Development of IFSP with written consent for initial placement</p> <ul style="list-style-type: none"> <li>New IFSP state form as of 9/1/07</li> </ul>		Meets Compliance Standards
<p>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)</p>		Meets Compliance Standards
<p>10. Written notice to parent for initial placement</p>		Meets Compliance Standards
<b>CURRENT IFSP Team Notices and Procedures</b>		
<p>10. Parental written notice of IFSP meeting</p> <ul style="list-style-type: none"> <li>State form as of 10/1/07</li> </ul>		Meets Compliance Standards
<p>For children B-2 attendance should include to determine eligibility:</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>		Meets Compliance Standards
<p>11. IEU shall provide at least seven days prior notice of each IFSP meeting or have evidence of a waiver</p>		Meets Compliance Standards
<p>12. For children who will be transitioning from Part C to Part B ...the notice must include a statement of:</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>A focused monitoring in this area will be conducted by June 30, 2008 to measure compliance in this area. A goal should be established for the site to establish a process to ensure all aspects of transition from Part C to Part B meets compliance.</p>	Needs Corrective Action
<p>B-2 transition into Part 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>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.</p>		Meets Compliance Standards
<p>14. Copy of IFSP to parents within 21 days of the meeting</p>	<p>The sites practice has been to wait until the physician's approval has been returned to the sire before sending the IFSP home to the parent. The site has been advised to send the IFSP home within the 21 days and send the physician's approval when received.</p>	Needs Corrective Action
<p>15. Written Notice to parent if SAU proposes or refuses to</p>		Meets

initiate or change identification, evaluation, educational program, placement, ...(Appendix 1 34 CRF 300.503)		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"> <li>• for initial screening / evaluation</li> <li>• for each reevaluation and</li> <li>• before initiation of services</li> </ul> * State Form as of 10/1/07		Meets Compliance Standards
19. Input from the IEP Team to determine evaluation needs (if any) <p>A. Written notice of reevaluation Determinations (State form)</p>		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
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		Meets Compliance Standards

### 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: <ul style="list-style-type: none"> <li>• Summary of relevant Health Status</li> </ul>		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

<ul style="list-style-type: none"> <li>• Evaluator (s)' name, credentials, role/ organization, signature and date</li> </ul>		Meets Compliance Standards
<ul style="list-style-type: none"> <li>• Team Summary chart of five domains</li> </ul>		Meets Compliance Standards
<b>C. Eligibility for Maine Part C Services Page with determination of eligibility indicated</b>		Meets Compliance Standards
<b>INDIVIDUAL FAMILY SERVICE PLAN</b>		
<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>		Meets Compliance Standards
<b>24a. Natural Environment Justification and documentation</b>	The site was leaving this section blank or putting in the setting as "varies"	Needs Corrective Action
<ul style="list-style-type: none"> <li>• The EI services are being provided in the child's natural environment</li> </ul>		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>	A focused monitoring in this area will be conducted by June 30, 2008 to measure compliance in this area. A goal should be established for the site to establish a process to ensure all aspects of transition from Part C to Part B meets 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>		
<ul style="list-style-type: none"> <li>• Date Child exited from EI program</li> </ul>		
<ul style="list-style-type: none"> <li>• Anticipated Date of Transition</li> </ul>		
<ul style="list-style-type: none"> <li>• Priorities and goals for child's transition</li> </ul>		
<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>		
<b>26. Transition Conference</b>		
<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>	The setting must be specific and not listed as "varies"	Needs Corrective Action
<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>		Meets Compliance Standards
<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>• <b>Other Services ( other services needed by the child but not entitled under part C)</b></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