

Early Intervention Verification Tool **# 4 CHILD RECORD REVIEW**

Reviewer _____ Child ID# _____ Date of Record Review _____

Program Being Reviewed _____ Child's Initials _____

The Child Record Review form is to be used in reviewing individual child records as a part of the Early Intervention Management Verification process. A separate document should be used for each child's record/file that is reviewed.

All questions must be answered Yes, No or Does Not Apply (DNA). Reviewers should be sure to mark every question, leaving none of them blank. Each question is marked Infant/Toddler (IT), Preschool (P) or All (A) for guidance. Reviewers should use Does Not Apply (DNA) for questions that are not applicable to the particular program under review, and for items that do not apply to the particular record being reviewed. For example, each record should be marked DNA for either initial evaluation or re-evaluation.

Please note that the term "intervention plan" is used to describe both IFSPs and IEPs. Similarly, "evaluation report" is used to describe the document resulting from the multidisciplinary evaluation or assessment. In case of questions, the reviewer should first consult the Requirements for the Early Intervention Verification Tool for clarification.

#	Indicator in EI Verification Tool	YES	NO	DNA	Comments
1. (A) Pelican	GS-5 General Supervision Is there evidence in the child's file that the family has received the Parents' Rights Agreement (PRA, Infant/Toddler) Or the Procedural Safeguards Notice (Preschool)				
2. (IT)	Infant Toddler: For children enrolled under the ITF Waiver, form 457A is given and SC note or local form is present, documenting that families were informed of the fair hearing appeal process for the ITF waiver				
3. (A) Pelican	GS-7 General Supervision If there is evidence in the child's file of any abuse, neglect or exploitation is there evidence that it has been reported in accordance with Child Protective Services law and Department policy. If there is no evidence of abuse, neglect or exploitation in the current program year, score this DNA.				
4. (IT)	GS-10 General Supervision Infant Toddler: For children eligible for services under the ITF Waiver, Forms 123 and 123-A indicate that a Qualified Professional reviewed the level of care evaluation. For children not eligible for waiver, score this DNA				

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5. (IT) Pelican	Infant Toddler: For children enrolled under the ITF Waiver, evidence exists that the program took action to address any inappropriate level of care determination. If the answer to item # 4 was N, score this item N also. If the level of care evaluation reviewed for # 4 was deemed to be appropriate, score this DNA. Also, for children not enrolled in waiver, score this DNA.				
6. (IT)	GS-11 General Supervision Infant Toddler: For children eligible for services under the ITF Waiver, the choice form 457 is present in the child's record indicating that parents were afforded choice between waiver services and institutional care. This form must be dated prior to waiver services being provided.				
7. (IT)	Infant Toddler: For children eligible for services under the ITF Waiver, is there evidence or service coordination notes documenting that the family was offered a choice of waiver provider(s) from the statewide waiver providers' list.				
8. (IT)	FS-1 Use of Federal Funds Infant/Toddler: For children who appear to meet the eligibility criteria for ITF Waiver, is there documentation that Waiver has been discussed with the family?				
9. (IT) Pelican	QF-1 Quality Early Intervention Framework Is there evidence in the child's initial evaluation report and IFSP that the members of the evaluation team were different from the members of the IFSP service delivery team?				
10. (IT) Pelican	Is there evidence in the child's file that the members of the initial evaluation team do not work for the <u>same agency</u> as the members of the IFSP service delivery team?				

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11. (A) Pelican	QF-2 Quality Early Intervention Framework Is there evidence in the child's Standardized Evaluation Report that the level of functioning of the child in the developmental domains of cognitive, physical (including vision and hearing), communication, social and emotional, and adaptive have each been addressed? Strengths and needs shall have been identified. <i>(If any one area is missing, mark No).</i>				
12. (A)	Infant/Toddler and Preschool: Did the program appropriately determine the child eligible?				
13. (IT)	Infant/Toddler: If Informed clinical opinion (ICO) was used to determine eligibility, was there clear documentation of the appropriate use of ICO?				
14. (A) Pelican	QF-3 Quality Early Intervention Framework Infant/Toddler: Was the initial evaluation completed in time to allow the IFSP to be developed within 45 days of referral to EI. If exceptional circumstances made it impossible to complete within the time frame, has the IT EI program documented the circumstances in the child's record? Preschool: For children for whom an oral or written request for evaluation was received on or after July 1, 2008, was the permission to evaluate sent to family within 10 calendar days of receiving the oral or written request?				
15. (A) Pelican	Infant/Toddler: Was the written report provided to the family within 30 days of completion of the Evaluation Report? Preschool: Was the evaluation report completed and provided to the family within 60 calendar days of receipt of permission to evaluate?				

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16. (A) Pelican	Infant/Toddler: Was the reevaluation completed within one year of the previous evaluation report? Preschool: Was the re-evaluation issued at least every two years? If the team, including the parent, reviewed progress documentation and agreed that they had enough information to plan appropriately with no additional evaluation, Preschool Re-evaluation form should be completed but no Permission to Evaluate (PTE) would be needed. If additional information was needed, in addition to Preschool Re-evaluation form, PTE must be present, outlining additional information to be collected and Page 1 and at least Sections I, II, VII and VIII of ER must be completed.				
17. (IT)	QF-4 Quality Early Intervention Framework Infant/Toddler: For children who are determined to be potentially eligible for ITF Waiver, does the file show that with parental consent, a level of care process was completed by a Qualified Professional within 45 days of the date that the infant/ toddler was determined likely to require an ICF/MR/ORC level of care?				
18. (IT) Pelican	Infant/Toddler: For children who are determined to be potentially eligible for ITF Waiver, if the parent denied consent to level of care, is appropriate documentation of this present?				
19. (IT) Pelican	Infant/Toddler: For children who have been enrolled in the ITF Waiver for at least one year, does the child's file include ITF waiver level of care form 123A, certified at least annually?				

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20. (A) Pelican	QF-5 Quality Early Intervention Framework Does the child's IFSP/IEP show (a) the required format; (b) that it was developed within the last 12 months; (c) that all the necessary services and supports, as determined in the evaluation are listed, including service type, frequency, duration and cost? (Cost applies only to IT) <i>(If any part is No, then mark No)</i>				
21. (IT) Pelican	Infant/Toddler: Does the child's file show that the IFSP/IEP includes documentation that it was reviewed/revised and updated within the past 6 months and as needed due to changes in the child's or family/s needs?				
22. (P) Pelican	Preschool: Is there documentation that the IEP team reviewed data to determine if the child was in need of services during scheduled breaks in accordance with the current BEC and local policy?				
23. (P) Pelican	Preschool: Was the IEP developed within 30 calendar days of the issuance of the evaluation report? If no re-evaluation was done before the most recent IEP, score DNA.				
24. (A) Pelican	QF-6 Quality Early Intervention Framework Was the IFSP/IEP implemented within 14 calendar days after completion of the IFSP/IEP document?				
25. (A)	If start date was extended due to family request/IEP team decision, weather, or other family related reason, is adequate documentation available?				
26. (A) Pelican	QF-7 Quality Early Intervention Framework Is there documentation that the family chose whether or not to include assistance and services to support the family? If requested, are assistance and services listed?				

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27. (IT) Pelican	SD-1 Quality Early Intervention Service Delivery Infant/Toddler: <u>Does the child's file contain evidence that --</u> (a) Review of the Service Coordination Support Plan with family at least every 90 days.				
28. (IT) Pelican	(b) Coordination and summary documentation of the performance of initial and ongoing evaluations and assessments of the child and family.				
29. (IT) Pelican	(c) Referring, screening and tracking at-risk children.				
30. (IT) Pelican	(d) Facilitating and participating in the development, implementation, review and evaluation of Individualized Family Service Plans (IFSP).				
31. (IT) Pelican	(e) Assisting the family of an infant or toddler with a disability in identifying existing and if needed, gaining access to the Early Intervention services and other supports and services identified on the IFSP.				
32. (IT) Pelican	(f) Facilitating the timely delivery of Early Intervention services. Assisting the family in identifying available service providers and facilitating communication with and between the family and the service provider.				
33. (IT) Pelican	(g) Locating, coordinating and monitoring the delivery of Early Intervention services.				
34. (IT) Pelican	(h) Contacting/meeting with the child and family/caregiver at least every 90 days.				
35. (IT) Pelican	(i) Review by the SC of the IFSP every six months or more frequently if conditions warrant or if the family requests such a review.				
36. (IT) Pelican	(j) Informing the family of their rights and procedural safeguards in EI as well as the availability of advocacy services.				

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37. (IT) Pelican	(k) Assisting the family, if needed, in arranging for the infant or toddler with a disability to receive medical and health services and coordinating the provision of Early Intervention services and other supports and services that the infant or toddler needs or is receiving.				
38. (IT) Pelican	(l) Offering the family opportunities and support for the infant or toddler with a disability to participate in community activities with other children.				
39. (IT) Pelican	(m) Informing the family of appropriate community resources.				
40. (IT) Pelican	(n) Facilitating the development of a transition plan as part of the IFSP.				
41. (IT)	(o) Securing and maintaining verification of continued medical necessity as determined by the child's physician.				
42. (A) Pelican	SD-2 Quality Early Intervention Service Delivery & QEIF-1 Quality EI Framework Do the initial evaluation and re-evaluations include all of the required participants? Each record should be DNA for either question 42 or 43. Initial Evaluation: Infant Toddler: Parent, Service Coordinator, personnel independent of service provision Preschool: Parent and team of Qualified Professionals				
43. (A) Pelican	Annual Evaluation: Infant Toddler: Parent, Service Coordinator, at least one Qualified Professional and anyone the parent wants to invite Re-Evaluation Preschool: IEP Implementation Team Members If re-eval was waived, score DNA				

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44. (IT) Pelican	SD-3 Quality Early Intervention Service Delivery Infant Toddler: For children found eligible for tracking, is there evidence in the child's file that a standardized developmental checklist (ASQ) was used to follow the child's development to determine the need for further tracking?				
45. (IT)	Infant/Toddler: Children are eligible for tracking or county follow up for the following reasons only: <ul style="list-style-type: none"> • NICU stay • Low birth weight • Chemically dependent mothers • Substantiated abuse or neglect • High lead levels • Other identified county follow up categories 				
46. (IT) Pelican	Infant Toddler: Is there evidence in the file that the family has been contacted at least once every three months (unless the family agrees to a different schedule of tracking)?				

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47. (A) Pelican	<p>SD-4 Quality Early Intervention Service Delivery</p> <p>Does the Infant Toddler or Preschool EI program ensure that the required personnel participate in the IFSP/IEP meeting?</p> <p>Infant Toddler: Parent, Service Coordinator, other family members as requested by parents, advocate or person outside the family as requested by parent, person directly involved in conducting the evaluations, person who will be providing services as appropriate. If anyone listed above is unable to attend, is there documentation that arrangements were made for their involvement which may include such things as a telephone conference call, sending a knowledgeable representative, or making pertinent records available. If applicable did the EI program provide a written invitation to the IFSP meeting at least 5 days before the meeting, or fewer days if agreed upon by the entire team?</p> <p>Preschool: Parent, Local Education Agency representative, at least one regular education teacher (§300.324(a)(3)), Chapter 14 154.(b)(1)(2), special education teacher or special education provider, other individuals at the discretion of the parent or agency who have knowledge of child, and an individual who can interpret the instructional implications of the evaluation results. (This can be one of the previous members.) Was the written invitation to participate provided prior to the IEP meeting? No set amount of time before the meeting is required.</p>				

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48. (P) Pelican	Preschool: At the request of the parent of a child who is transitioning from B-3 services, is the infant/toddler service coordinator invited to the meeting? §300.321(a)(1-6)				
49. (P) Pelican	Preschool: Are the personnel who attend the IEP meeting are the same people who were listed as expected to attend on the IEP meeting invitation? If one member is unable to attend, it is acceptable for a replacement with the same expertise to attend (ex. another speech therapist attends for the speech therapist who was originally scheduled)				
50. (P) Pelican	Preschool: If the parent and agency excuse the team member because their expertise is determined not to be necessary, is this documented? §300.321(e)				

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51. (P) Pelican	Preschool: Parent and agency may excuse an IEP team member if they agree that written input will provide adequate information for the team. Was the written information submitted prior to the IEP meeting?				
52. (P) Pelican	Preschool: Has the parent signed the NOREP before initial services began or before any change of placement? (if parent does not respond and signature is not obtained, then program will proceed with services proposed after 10 calendar days)				
53. (A) Pelican	SD-5 Quality Early Intervention Service Delivery Are all Special Considerations marked?				
54. (A) Pelican	Does the IFSP/IEP address how the needs identified under Special Considerations will be addressed?				
55. (A) Pelican	Transition: Infant/Toddler If the toddler is between 2 years 3 months and 2 years nine months, did the IFSP/IEP include activities on the transition page to meet the child and family needs related to transition to Preschool EI Part B or the community? Transition: Preschool If the preschool child is within one year of eligibility for transition to kindergarten, did the IFSP/IEP include activities on the transition page to meet the child and family needs related to transition to kindergarten				
56. (A) Pelican	Transition: If the child is moving from an early intervention program because of changes in the life of the family or child such as attainment of all goals, new family situations, is the appropriate transition planning shown (may be in IFSP/IEP or in other notes in file.)				

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57. (P) Pelican	SD-6 Quality Early Intervention Service Delivery For the preschool child whose behavior impedes his/her or other children's learning, if restraints were used, does the file show evidence that an IEP meeting was held within 10 days following use of restraints? <i>(If no restraints were used, mark NA).</i>				
58. (A) Pelican	For IFSPs/IEPs developed on or after July 1, 2008, if behavior is checked as a special consideration, a Functional Behavior Assessment (FBA) must be conducted and the child's behavioral needs must be addressed either with goals and/or specially designed instruction in the IEP or a Positive Behavior Intervention Plan as an additional document				
59. (A) Pelican	SD-7 Quality Early Intervention Service Delivery Does the IFSP/IEP include outcomes/goals that are related to the recommendations from the evaluation report?				
60. (A) Pelican	Are all outcomes/goals on the IFSP/IEP measurable and specific enough that the team and/or reviewer can tell what is to be accomplished and the outcome/goal can be used to determine that progress is being made? <i>(If some are measurable and some are not, look for patterns. If most are good but a few need a little work, mark yes but add comments. If most are weak, mark no and add comments, even if a few are measurable.)</i>				
61. (A) Pelican	SD-8 Quality Early Intervention Service Delivery Does the file show evidence that family resources, concerns and priorities are current and included on the evaluation report? Concerns may be related to the developmental needs of their child and other areas of family concerns. For preschool, if the ER is more than a year old, check the IEP to make sure that the family information has been updated there.				

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62. (A) Pelican	Does the intervention plan include outcomes/goals, strategies, and/or modifications, that reflect the family's priorities and, as appropriate, enhance their ability to support their child?				
63. (A)	SD-9 Quality Early Intervention Service Delivery Infant/Toddler: Does the file contain evidence that services are being delivered within the context of the family's routines? Preschool: Does the file contain evidence that supports and services are being delivered in a functional context for the child?				
64. (IT) Pelican	Infant/Toddler: Does the file contain evidence that EI services positively impact the caregiver's ability to successfully support their child's participation in daily activities?				
65. (IT) Pelican	Infant/Toddler: Does the file contain evidence that services are provided in a manner that recognizes and supports the family's cultural preferences?				
66. (IT)	SD-11 Quality Early Intervention Service Delivery Infant/Toddler: If a service or services is/are not in a natural environment, does the file contain (a) a justification of the extent to which each service will not be provided in a natural environment, and (b) the location in which it will be provided? <i>(If any part is missing, mark No).</i>				
67. (P) Pelican	Preschool: If services are not in a setting that includes children who are typically developing, does the file contain (a) a justification of the extent to which each service will not be provided in a setting with typically developing children; and (b) the location in which it will be provided? <i>(If any part is missing, mark No).</i>				

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68. (A)	SD-12 Quality Early Intervention Service Delivery Are records/notes available to show evidence that from the assurance statement the hours of services being delivered match the hours of services listed on the IFSP/IEP? For preschool, this documentation may be attendance records, staff time reports, building sign in records or other program documentation that may not typically be kept in the child's file. Programs should gather this information prior to the verification visit, and verification team members should ask for it if they are not able to determine if services are being delivered as listed from the information made available.				
69. (A)	Are services being provided in the environments listed on the IFSP/IEP document?				
70. (A) Pelican	Is the IFSP/IEP accessible to all service providers responsible for implementation?				
71. (A) Pelican	Have appropriate adaptations been made to environments or materials to support the child/family?				
72. (A) Pelican	Are outcomes/goals on IFSP/IEP being addressed by the services provided?				
73. (A)	Services are delivered with no interruptions or there is documentation that existing gaps were due to family reasons. Preschool breaks are no more than three weeks at a time.				
74. (A) Pelican	Are the supports and services being provided effective in meeting the identified needs of the child and family? If answer is no, IFSP/IEP team must reconvene.				
75. (A) Pelican	SD-13 Quality Early Intervention Service Delivery Did any child who moved into the area served by your agency (from within or outside of PA) with a current IFSP/IEP receive services comparable to those on the existing document until your agency either adopted the IFSP/IEP, developed a new IFSP/IEP, or determined that the child was not in need of services?				

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76. (A) Pelican	SD-14 Quality Early Intervention Service Delivery Did the IFSP/IEP team document how to measure progress on each goal?				
77. (A) Pelican	Did the IFSP/IEP team document how much progress was made?				
78. (A) Pelican	Did the IFSP/IEP team revise the strategies as needed to maintain or increase the rate of attainment or level of skills?				
79. (A)	Did the IFSP/IEP team document revisions or modifications to the outcomes as necessary?				
80. (A) Pelican	When revising the IFSP/IEP, did the team address any lack of expected progress toward the goals?				
81. (A) Pelican	Was a written (words, graphs, other visual representation) report of progress on outcomes/goals provided to parents on the schedule agreed upon in the IFSP/IEP?				
82. (A) Pelican	T-2 Transition For children transitioning out of infant toddler EI, was an invitation letter sent in time to be received at least 30 days prior to the transition meeting, as described in OCDEL letter issued 6/30/05?				
83. (A) Pelican	T-3 Transition Was the transition conference held not less than 90 days (but not more than 9 months) prior to the child's third birthday, at the discretion of all parties? For preschool , if transition meeting was late, check when transition letter was received. If it was also late, score DNA with explanation in the comments.				

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84. (IT) Pelican	T-4 Transition Does the IFSP include individualized steps to support the transition of the child with a disability who is over the age of two into preschool EI services, if eligible, or to other services that may be available, if appropriate? (If there is a quality issue, if a transition plan is there, but not individualized, still score record yes, but in require/make recommendations for an Improvement plan activity to address this concern.)				
85. (P) Pelican	T-5 Transition For an eligible child transitioning from infant toddler early intervention, is the IEP developed by child's third birthday?				
86. (P)	T-6 Transition Did the Preschool EI program send a letter to all parents of children explaining the transition process, stating that a meeting will be held by the end of February, and explain the parents' options including not registering for K and staying in Early Intervention?				
87. (P)	Was the transition meeting convened by the end of February for all children approaching the age of kindergarten or 1 st grade? (Did the school district of residence must participate?)				
88. (P)	Was the 'Notice of Options'' form reviewed with parents?				