



*Serving Children with Developmental Delays*

# **Verification Tool**

## ***#2 Verification Requirements***

# Early Intervention Verification Tool

## *Requirements Format*

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## Specific Use of Requirements—Please Read Carefully!

This document describes each item that the Office of Child Development and Early Learning (OCDEL) verifies to determine whether the Early Intervention (EI) program is meeting all of the applicable federal and state laws, regulations and requirements. During the management verification, programs are required to demonstrate how they have met the criteria using the data sources that are suggested. This tool contains six categories of indicators. They are:

**Indicator:** The general classification heading and its description:

- General Supervision (GS—13 items)
- Fiscal Supervision (FS—4 items)
- Public Awareness and Child Find (CF—3 items)
- Quality Early Intervention Framework (QF—8 items)
- Quality Early Intervention Service Delivery (SD—14 items)
- Transition (T—6 items)

For each indicator to be verified, you will find the following components: item, criteria, data sources and process for scoring.

**Item:** The item includes the abbreviation of the indicator and the question to be answered through a review of materials and activities. Example: GS – 2 is the General Supervision indicator and the second question to be answered.

**Criteria:** Criteria are the specific standards that must be met, based on federal and state requirements. If the criteria for the Infant/Toddler EI program are different from the criteria for the Preschool EI program, the criteria section is divided into two columns. When there is only one column under criteria, the criteria applies to both Infant/Toddler and Preschool programs.

**Data Sources:** Data sources are the *suggested* specific types of documentation that should provide the information needed to answer the question. The evidence needed to answer the item may not be in the data source listed and may be in another data source not listed. Credit should be given for evidence presented regardless of data source. If several data sources are required (Statewide Data System and record review), this is clearly described in the scoring.

**Score:** The score section provides guidance on the number of points the program may earn, based on the findings of the review activities. The actual points earned are recorded on the accompanying Scoring Summary.

**Note:** questions designated with an asterisk (\*) next to the Item are ITF Waiver related.

<b>Indicator: General Supervision</b>
<b>Item GS-1:</b> Did the Infant/Toddler or Preschool EI program correct ALL areas of not fully meeting requirements identified on the Improvement Plan from most recent verification review within the specified timelines?
<b>Infant/Toddler and Preschool EI Criteria</b>
<p>Program Improvement must be completed per the timelines specified in the improvement plan, but not to exceed 365 days from the issuance of the verification report.</p> <p>There is clear evidence from OCDEL staff's validation letters/reports and findings during the current verification, that the Infant/Toddler or Preschool EI program corrected ALL areas of non-compliance from the previous verification.</p> <p>Infant/Toddler Requirements §303.700(e)</p> <p>Preschool Requirements §300.600(b)(2) §300.600(d)</p>
<b>Data Sources</b>
<p>Verification Improvement Plan—From previous verification review</p> <p>Appropriate Documentation as per Verification Improvement Plan (TA plan, written policies, letters showing all areas were corrected, records, etc.)</p> <p>Review of the program's Statewide Data System data reports.</p> <p>Use any of the validation methods outlined in the verification requirements.</p>
<b>Score</b>
<p>Maximum points—20 points</p> <p><b>20 points</b> All previous areas of non-compliance from the most recent verification were corrected within 365 days of the issuance of the verification report as verified by OCDEL validation of the Verification Improvement Plan.</p> <p><b>10 points</b> All previous areas of non-compliance from the most recent verification have been corrected, but it took more than 365 days from the date of the issuance of the Verification Report to do so.</p> <p><b>0 points</b> Verification Improvement Plan was not followed and previous areas of non-compliance have not been corrected.</p>

<b>Indicator: General Supervision</b>	
<b>Item GS-2:</b> Does the Infant/Toddler or Preschool EI program implement the process for monitoring themselves and their Early Intervention providers according to programmatic and fiscal requirements?	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<p>SC entities (county/contracted) must be monitored annually:</p> <ul style="list-style-type: none"> <li>• Using the SC monitoring tool</li> <li>• Review service session notes against billings per MA (837 Professional Manual), ITF waiver and Infant/Toddler EI funding requirements</li> <li>• Documentation/evidence that all areas identified as in need of improvement has been resolved per validation of an Improvement Plan.</li> </ul> <p>Providers must be monitored annually:</p> <ul style="list-style-type: none"> <li>• Contract providers are monitored utilizing the Provider Monitoring Tool.</li> <li>• Evidence of the development and implementation of Improvement Plans to address corrections as identified via the Provider Monitoring Tool.</li> <li>• Documentation/evidence that all areas identified as in need of improvement have been resolved per validation of an Improvement Plan.</li> </ul> <p>Note: Does not apply to preschool EI programs/staff.</p> <p>Title 55, PA Code Chapter 4225 &amp; 4226.27 §303.501 §303.700(e) §4226.27 4300 regulations</p> <p>follow guidance in OCDEL EI Announcement – 09 # 05</p>	<p>Providers must be monitored annually:</p> <ul style="list-style-type: none"> <li>• Contract providers are monitored utilizing the Provider Monitoring Tool (including entities providing early childhood education).</li> <li>• Evidence of the development and implementation of Improvement Plans to address corrections as identified via the Provider Monitoring Tool.</li> <li>• Documentation/evidence that all areas identified as in need of improvement has been resolved per validation of an Improvement Plan.</li> </ul> <p>Fiscal Guidelines Rider YY Agreement §300.600(b)(2) §300.600(d)</p> <p>OCDEL EI Announcement – 09 # 05</p>

Data Sources	
Provider Monitoring Tool Service Coordination Monitoring Tool Policy and Procedure Manuals Contracts and Operating agreements Any other type of agreements Self Verification Worksheets 1A & 1B	Improvement plans validation summaries closing IP's
Score	
<p>Maximum Score—15 points</p> <p><b>15 points 95—100%</b> of contracted providers and service coordination entities were monitored and a plan implemented to address &amp; verify/validate correction of all areas of non-compliance with providers who had non-compliance issues.</p> <p><b>10 points 85—94%</b> of contracted providers and service coordination entities were monitored and a plan implemented to address &amp; verify/validate correction of all areas of non-compliance with providers who had non-compliance issues.</p> <p><b>5 points 75-84%</b> of contracted providers and service coordination entities were monitored and a plan implemented to address &amp; verify/validate correction of all areas of non-compliance with providers who had non-compliance issues.</p> <p><b>0 points Less than 75%</b> of contracted providers and service coordination entities were monitored <b>or</b> have little or no verification/validation that non-compliance issues were corrected.</p>	

<b>Indicator: General Supervision</b>	
<b>Item GS-3:</b> Is the Infant/Toddler or Preschool EI program proficient at data management to ensure accurate and timely data, entering data, and/or <u>extracting and analyzing</u> data to plan for, validate, and/or remediate systemic issues?	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<p>There is evidence that the Infant/Toddler EI Program is using the Statewide Data System and local data to monitor their own program.</p> <ul style="list-style-type: none"> <li>The program provides data for self assessment The program is extracting and utilizing data to plan for and manage program implementation via the following reports:</li> <li>(list all pertinent reports within PELICAN and Data Warehouse utilized in replacement of EIRS)</li> <li>Evidence of how above mentioned reports are utilized (e.g. meeting minutes, actions, and subsequent outcomes).</li> <li>System data is accurate and entered in a timely manner.</li> </ul> <p>§4226.32(a)</p>	<p>There is evidence that the Preschool EI Program is using the Statewide Data System and local data to monitor their own program.</p> <ul style="list-style-type: none"> <li>The program provides data for self assessment</li> <li>The program is extracting and utilizing data to plan for and manage program implementation via the following reports:</li> <li>(list all pertinent reports within PELICAN and Data Warehouse utilized in replacement of Penn Data)</li> <li>Evidence of how the above mentioned reports are utilized (e.g. meeting minutes, actions, and subsequent outcomes).</li> <li>Data System is accurate and entered in a timely manner.</li> </ul> <p>§14.158</p>
<b>Data Sources</b>	
<p>Statewide Data System reports                      Self Verification Worksheet 2</p> <p>Statewide Data System error reports</p> <p>Local data system reports</p>	
<b>Score</b>	
<p><b>Maximum score—15 points</b></p> <p>Award <b>3 points per bullet</b> when there is clear evidence that the Infant/Toddler or Preschool EI program meets the item.</p> <ul style="list-style-type: none"> <li>Is there a specific Infant/Toddler or Preschool EI program contact person/s for the Statewide Data System?</li> <li>Is the data manager proficient in using the data system (able to enter data, data is accurate, correct errors and create reports)?</li> <li>Is the EI coordinator/Preschool EI supervisor able to analyze data reports?</li> <li>Is the Infant/Toddler or Preschool EI program able to explain the data reports from the Statewide Data System and local data system?</li> <li>Is there evidence that data (Statewide Data system, local data system) are utilized in the management of the program? (program change, minutes from meetings analysis reports)</li> </ul>	

<b>Indicator: General Supervision</b>	
<b>Item GS-4:</b> Does the Infant/Toddler or Preschool EI program have policies in place for procedural safeguards that meet state and federal requirements including, but not limited to, local resolution processes, dispute resolution, mediation, due process, independent educational evaluation as related to due process proceedings, surrogate parents, and confidentiality?	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>• Agency coordinates services with the Office of Dispute Resolution (ODR)</li> <li>• Policy of conflict resolution meets requirements in §4226.96-103</li> <li>• Written independent evaluation procedures comply with §4226.100(b)(1)</li> <li>• Surrogate parents are provided when needed in accordance with §303.406 and §4226.96</li> <li>• Written policies on confidentiality comply with FERPA. §303.401 – 405 and §303.460 and §4226.94</li> <li>• There are written policies describing the ITF fair hearing and appeal process.</li> <li>• There are written policies that address any requirements in response to new OCDEL announcements and/or regulations</li> </ul>	<ul style="list-style-type: none"> <li>• Agency coordinates services with the Office of Dispute Resolution (ODR)</li> <li>• Written policies/procedures pertaining to Local Conflict Resolution including initial problem solving procedures; IEP Facilitation, Mediation, and Due Process.</li> <li>• There are written independent educational evaluation procedures (IEE) in response to parent request §300.502</li> <li>• Surrogate parents are provided when needed in accordance with §300.519</li> <li>• Written policies on confidentiality comply with FERPA. §300.610-627</li> <li>• There are written policies/procedures that address needed requirements in response to new OCDEL announcements and/or updates to regulations.</li> <li>• Policies and procedures include required regulatory language and references as well as reflecting local entity processes.</li> </ul>
Announcements EI 07#03 and 08#06	Announcements 07#03 and 08#06
<b>Data Sources</b>	
Written policies	
<b>Score</b>	
Maximum Score—10 points	
<p><b>10 points</b> Written policies exist that meet <b>all</b> the specified requirements.</p> <p><b>5 points</b> Written policies exist that meet <b>some</b> of the specified requirements and/or <b>need improvement.</b></p> <p><b>0 points</b> Policies are missing or do not meet all the specified requirements.</p>	

<b>Indicator: General Supervision</b>	
<b>Item GS-5: Does the Infant/Toddler or Preschool EI program inform parents about the procedural safeguards available to them? *</b>	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>• Parents of infants and toddlers are provided with a PRA at the initial visit and at every IFSP meeting in accordance with § 303.401 (a)(1-3) and §4226.92 for parental consent; §303.402 and §4226.94 for examination of records; §303.403 and §4226.95 for prior notice; §303.405 and §4226.93 for accept or decline services</li> <li>• Evidence exists that agency personnel are familiar with the provision of procedural safeguards, and can explain it to families</li> <li>• Evidence exists that the program informs families of informal complaint resolution processes</li> <li>• Evidence exists that the program informs families of the fair hearing and appeal process for the ITF Waiver (457A)</li> </ul>	<ul style="list-style-type: none"> <li>• Parents of Preschoolers are provided with a Procedural Safeguards Notice at the development of the child's first IEP, and ongoing in accordance with § 300.504; §300.300 parental consent; § 300.612-621 examine records; §300.503 prior notice; §300.501(b) participate in meetings; §300.101 FAPE</li> <li>• Evidence exists that agency personnel are familiar with the provision of procedural safeguards, and can explain it to families</li> <li>• Evidence exists that families are aware of who to call when/if they have a concern.</li> <li>• Evidence exists that the program informs families of the informal disagreement resolution processes.</li> <li>• No evidence exists of families filing a complaint against the program, specifically stating that they were not informed of their procedural safeguards.</li> </ul>
<b>Data Sources</b>	
<p>Child record review for evidence that families have received Parents' Rights Agreement (PRA) (I/T) or Procedural Safeguards Notice (PS)—Items 1 &amp; 2</p> <p>-Policies/procedures identifying the process to be utilized by providing staff information for addressing procedural safeguards with families.</p> <p>-Resource guides/packets/materials provided to families either at time of enrollment and/or during conflict resolution actions.</p> <p>Observation of Initial Visit meeting or IFSP/IEP meeting</p> <p>Discussion with or documentation of the discussions with parents</p> <p>Concerns /complaints/formal complaints log</p> <p>ITF Waiver form (457)</p> <p>ITF Waiver Forms and Instructions (457A)</p> <p>Service Coordination Notes reflecting giving 457A</p> <p>Signed and dated Waiver Checklist</p>	

Family Survey Data Question # 10 ,36 (statewide average and local %) return rate % by local program
Score
<p>Maximum Score—10 points</p> <p><b>10 points</b> 95-100% of records reviewed contain evidence that families received a copy of the PRA (IT) or Procedural Safeguards Notice (PS) and if appropriate, for families receiving ITF Waiver-funded services, the Fair Hearing and Appeal form and instructions (457A) was also provided. Family survey data validates the record sample review.*</p> <p><b>5 points</b> 85-94% of records provide evidence that families received a copy of the PRA (IT) or Procedural Safeguards Notice (PS) and, if receiving ITF Waiver-funded services , the Fair Hearing and Appeal form and instructions (457A) was also provided. Family survey data validates the record sample review.*</p> <p><b>3 points</b> 75-84% of records provide evidence that families received a copy of the PRA (IT) or Procedural Safeguards Notice (PS) and, if receiving ITF Waiver-funded services, the Fair Hearing and Appeal form and instructions (457A) was also provided. Family survey data validates the record sample review.*</p> <p><b>0 points</b> less than 75% of the records reviewed contain evidence that families received a copy of the PRA (IT) or Procedural Safeguards Notice (PS) and, if receiving ITF Waiver-funded services, the Fair Hearing and Appeal form and instructions (457A) was also provided. Family survey data validates the record sample. *</p> <p><b>Note to Chairperson:</b> If family survey data does not validate the record sample, specific recommendations must be noted on the verification report giving the program direction on how to address this concern.</p> <p>If record review is inconsistent with Statewide Data system information, check extra records to ensure that problem is not due to sample error. If discrepancy is still more than 10% different from the amount reported to statewide data system information, mark 0 points; also reflect this concern in scoring bullet 2 of GS-3.</p>

<b>Indicator: General Supervision</b>	
<b>Item GS-6: Does the Infant/Toddler or Preschool EI program follow all procedural safeguard policies and timelines?</b>	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>• Are all procedural safeguard policies followed as specified in Chapter 4226, IDEA, Federal regulations, or OCDEL Announcements</li> <li>• Are there patterns in the types of conflicts that lead to mediation/due process? (Quality)</li> <li>• Is there a mechanism to track complaints, mediations, and due process requests?</li> <li>• What is the I/T EI program doing to address any patterns identified through tracking of conflicts?</li> </ul> <p>§303.419 and §4226. 98 Mediation  §303.420-423 and §4226. 99-102 Due Process  §303.422 and §4226.100 Hearing Rights  §303.425 and §4226.103 Status During Hearing  OCDEL EI Announcements– 07#03 and 08#06</p>	<ul style="list-style-type: none"> <li>• Are all procedural safeguard policies followed as specified in Chapter 14, IDEA, Federal Regulations, Basic Education Circulars or OCDEL Announcements</li> <li>• Are there patterns in the types of conflicts that lead to mediation/due process? (Quality)</li> <li>• Is there a mechanism to track complaints, mediations, and due process requests?</li> <li>• What is the Preschool EI program doing to address any patterns identified through tracking of conflicts?</li> </ul> <p>§300.503 Mediation  §300.507-508 Due Process  §300.510 Resolution Process  §300.512 Hearing Rights  §300.518 Status During Hearing  OCDEL EI Announcements 08#6</p>
<b>Data Sources</b>	
ODR reports including IFSP/IEP Facilitation; Mediation and Due Process Report of complaints from OCDEL Self Verification Worksheet 3 -Local entity's internal tracking mechanism for parent concerns, complaints, IFSP/IEP Facilitation, Mediation, and Due Process	
<b>Score</b>	
Maximum Score—10 points	

**10 points** 100% of conflict resolution action met timelines and program policies exist that address how procedural safeguards are to be implemented.

**10 points** No conflict resolution actions were required and program policies exist that address how procedural safeguards are to be implemented.

**5 points** One timeline was missed **or** program policies do not address how procedural safeguards are to be implemented.

**0 points** More than one timeline was missed **and the** program does not have policies that specify how procedural safeguards policies and timelines are to be met.

<b>Indicator: General Supervision</b>	
<b>Item GS-7:</b> Were all instances of abuse, neglect and exploitation reported and managed in accordance with Child Protective Services Law and Department policy? *	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<p>All instances of abuse, neglect and exploitation within the past year are reported in accordance with Child Protective Services Law and Department policy</p> <p>23.PA C.S. §6301-6385 Ch 3490 OCDEL Announcement EI - 08#02</p>	<p>All instances of abuse, neglect and exploitation within the past year are reported in accordance with Child Protective Services Law</p> <p>23.PA C.S. §6301-6385 Ch 3490</p>
<b>Data Sources</b>	
Child Record Reviews—Item 3, SC Notes, Possibly classroom or home visit incident reports	
<b>Score</b>	
<b>Maximum Score—5 points</b>	
<p><b>5 points</b> Of the records reviewed that had evidence of abuse, neglect or exploitation, <b>100%</b> were reported in accordance with Child Protective Services Law and Department policy, <b>or</b> no records reviewed contained any evidence of instances of abuse, neglect or exploitation.</p> <p><b>3 points</b> <b>80-99%</b> of the records reviewed include evidence that all instances of abuse, neglect and exploitation were reported in accordance with Child Protective Services Law and Department policy.</p> <p><b>0 points</b> <b>Less than 80%</b> of the records reviewed include evidence that all instances of abuse, neglect and exploitation were reported in accordance with Child Protective Services Law and Department policy.</p>	

<b>Indicator: General Supervision</b>	
<b>Item GS-8:</b> Does the Infant/Toddler or Preschool EI program ensure that all Early Intervention personnel, including contracted personnel, meet necessary qualifications?*	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>• All employees and contracted providers meet state certification requirements or licensure as appropriate for their positions. §303.22 and §4226.5</li> <li>• All employees and contracted providers meet the requirements for their positions as specified in the state Early Intervention regulations and ITF Waiver. §4226.5 and 4226.53</li> <li>• All employees and contracted providers have the required child abuse and criminal history clearances as defined in PA Act 33 and PA Act 151(FBI fingerprinting) §4226.31</li> <li>• Updated licenses and certificates are in personnel records</li> <li>• The Infant/Toddler EI program identified and remediated situations in which the provider did not meet qualification standards.</li> </ul>	<ul style="list-style-type: none"> <li>• All employees and contracted providers meet state certification requirements or emergency certification requirements or certificate of competency requirements or licensure as appropriate for their positions as defined by the PA School Code. This includes requirements for instructional paraprofessionals and personal care aides (§300.18;§14.105) and Preschool EI Program Representatives.(Chapter 14 , 34 CFR 300.344(a)(4))</li> <li>• All employees and contracted providers have the required PA Act 33 or 34 and 151 child abuse and criminal history clearances and Act 114 FBI fingerprinting.</li> <li>• All procedural safeguards policies followed as specified in Chapter 14, IDEA, Federal regulations, OCDEL announcements or PDE BECs</li> <li>• If an Infant/Toddler qualified provider is continuing services after the child's third birthday, he/she remains qualified to continue the service on a temporary basis</li> </ul>
Announcement: EI-09 #17	Announcement: EI-09 #17
<b>Data Sources</b>	
Self Verification Worksheet 4 Personnel record sample that includes 10% (minimum of two) of all staff/contracted (licensed /un licensed) providers and newly hired staff/contracted(licensed/unlicensed) provider since last fiscal year Completion of Provider Monitoring Tool Internal tracking system for staff and contract providers	
<b>Score</b>	

**Maximum Score—20 points**

**20points** 100% of sample have appropriate qualifications and clearances.

**0 points** Less than 100% of sample has appropriate qualifications and clearances.

<b>Indicator: General Supervision</b>	
<b>Item GS-9:</b> Does the Infant/Toddler or Preschool EI program ensure that all Early Intervention personnel, including contracted personnel, meet necessary pre-service and annual in-service training hours? *	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<p>For all employees /contracted personnel who work directly with children and families: Pre service training in the following topics:</p> <ul style="list-style-type: none"> <li>• Orientation to EI , including EI services, child development, and community resources</li> <li>• EI regulations</li> <li>• Duties and responsibilities of their position</li> <li>• Family-centered approaches</li> <li>• Interrelated social, emotional, health, developmental and educational needs of children</li> <li>• Availability and use of local and state resources</li> <li>• Services in natural environments</li> <li>• Fiscal operations and funding sources</li> <li>• Within 120 days of hire: fire safety, emergency evacuation, first aid, and child CPR §4226.29</li> </ul> <p>24 Hours of annual training must include the following topics:</p> <ul style="list-style-type: none"> <li>• Cultural competence</li> <li>• Mediation</li> <li>• Procedural safeguards</li> <li>• Universal health procedures</li> <li>• Mandated reporting</li> <li>• Transition</li> <li>• Fire safety, emergency evacuation, first aid, and child CPR §4226.30</li> </ul> <p>A record of pre service and annual training for all personnel in the Infant/Toddler EI program or provider's personnel files is kept for as long as the individual is employed/under contract and for four years,, or until any audit or litigation is resolved. §4226.30 §303.22</p>	<p>Act 48 requirements for anyone holding PDE certification</p> <p>Certificates of competency (when appropriate) are current</p> <p>Licensure requirements as appropriate</p> <p>Training was applicable to the job the attendee is expected to do for EI</p> <p>Training was provided as required by the Technical Assistance Plan and by other sources requiring training.</p> <p>Annual training requirements for instructional paraprofessionals</p> <p>Annual training requirements for personal care aides</p> <p>§300.18 Chap. 14.105</p>

Data Sources
<p>Training records of employees and contracted providers (Certificates of attendance, Act 48 records, other training data that indicates topic, when and where attended, and how many hours.)</p> <p>Self Verification Worksheet 5</p> <p>Personnel record sample that includes 10% (minimum of two) of all staff/contracted providers and newly hired staff/contracted providers since last fiscal year.</p> <p>Completion of SC and Provider Monitoring Tool</p> <p>Internal tracking system for staff and contract providers</p>
Score
<p><b>Maximum Score—10 points</b></p> <p><b>10 points</b> 95-100% of sample meet pre-service, annual, or Act 48 training requirements. Infant/Toddler EI program maintains the records for the appropriate amount of time.</p> <p><b>5 points</b> 75-94% of sample meet pre-service, annual, or Act 48 training requirements. Infant/Toddler EI program maintains the records for the appropriate amount of time.</p> <p><b>0 points</b> Less than 75% of sample meet training requirements, or efforts are not made to bring staff who do not meet requirements up to standards</p> <p><b>0 points</b> Infant/Toddler EI program does not maintain training records for the appropriate amount of time</p>

<b>Indicator : General Supervision</b>	
<b>Item GS-10:</b> Did the Infant/Toddler EI program review the level of care evaluation or re-evaluation determinations? *	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
A Qualified Professional: reviewed the level of care evaluation or re-evaluation. Announcement EI 08#10	N/A
<b>Data Sources</b>	
Child Record Reviews—Items 4 & 5, Form 123 and 123-A	
<b>Score</b>	
<p><b>Maximum score 10 points</b></p> <p><b>10 points</b> 100% of the records in the Statewide Data System reflects that a Qualified Professional reviewed the level of care evaluation or re-evaluation as documented by the Form 123 and 123-A. Record sample will validate the data.</p> <p><b>5 points</b> 85-99% of the records in the Statewide Data System reflects that a Qualified Professional reviewed the level of care evaluation or re-evaluation as documented by the Form 123 and 123-A. Record sample will validate the data.</p> <p><b>0 points</b> Less than 85% of the records in the Statewide Data System reflects that a Qualified Professional reviewed the level of care evaluation or re-evaluation as documented by the Form 123 and 123-A.</p> <p><b>0 points</b> On-site record review demonstrated in congruency with the Statewide Data System.</p> <p>Note to Chairperson: If record review is inconsistent with Statewide Data system information, check extra records to ensure that problem is not due to sample error. If discrepancy is still more than 10% different from the amount reported to statewide data system information, mark 0 points; also reflect this concern in scoring bullet 2 of GS-3.</p>	

<b>Indicator: General Supervision</b>	
<b>Item GS-11:</b> Was the infant or toddler's family afforded choice between <ul style="list-style-type: none"> <li>• waiver services and institutional care and</li> <li>• among waiver services and providers?</li> </ul>	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<p>The choice form, 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.</p> <p>SC note or local form indicates that families were offered a choice of waiver provider(s) from the statewide waiver providers' list.</p> <p>OCDEL Announcement EI 08#10</p>	N/A
<b>Data Sources</b>	
Child Record Review—Items 6 & 7, Form 457, Certification of Choice, family survey data Q.# 3	
<b>Score</b>	
<p><b>Maximum score 20 points</b></p> <p><b>20 points 95-100%</b> of the records reviewed include evidence that:</p> <ul style="list-style-type: none"> <li>• the choice Form 457 is present in the child's record,</li> <li>• the form is dated prior to waiver services being provided, and</li> <li>• families were offered a choice of waiver providers.</li> <li>• Family survey data validates the record sample*</li> </ul> <p><b>10 points 90-94%</b> of the records reviewed include evidence that:</p> <ul style="list-style-type: none"> <li>• the choice Form 457 is present in the child's record,</li> <li>• the form is dated prior to waiver services being provided, and</li> <li>• families were offered a choice of waiver providers.</li> <li>• Family survey data validates the record sample*</li> </ul> <p><b>0 points Less than 90%</b> of the records reviewed include evidence that:</p> <ul style="list-style-type: none"> <li>• the choice Form 457 is present in the child's record,</li> <li>• the form is dated prior to waiver services being provided, and</li> <li>• Families were offered a choice of waiver providers.</li> <li>• Family survey data validates the record sample*</li> </ul> <p><b>*Note to Chairperson:</b> If family survey data is not consistent with the record sample, specific recommendations must be noted on the verification report giving the program direction on how to address this concern.</p>	

<b>Indicator: General Supervision</b>
<b>Item GS-12:</b> Does the Infant/Toddler or Preschool EI program support and participate in Local Interagency Coordinating Council?
<b>Infant/Toddler and Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>• Local Interagency Coordinating Council meets at least four times per year</li> <li>• Early Intervention Program representative attends at least 75% of meetings per year</li> <li>• Local Interagency Agreement specifies how the EI program supports LICC</li> <li>• Local Interagency Agreement has been reviewed/revised within the past 12 months—this can be verified by the date on the LICC agreement or through dated LICC meeting notes that reference revising the plan.</li> </ul>
Act 212 §104 (b)(9)
<b>Data Sources</b>
Local Interagency Agreement LICC meeting minutes Public notices about LICC activities
<b>Score</b>
<b>Maximum score 10 points</b>  <b>10 points</b> Evidence exists that <b>all four</b> of the listed criteria have been met.  <b>5 points</b> Three of the four listed criteria have been met.  <b>0 points</b> Two <b>or fewer</b> of the four listed criteria have been met.

<b>Indicator: General Supervision</b>
<p><b>Item GS-13:</b> For children found eligible for Infant/Toddler or Preschool Early Intervention, and/or who left Early Intervention has the child's level of functioning at entry, exit and annually on the three federal early childhood outcomes been determined and entered into the Child Outcome database in a timely manner.</p> <p>Infant/Toddler §303.701 SPP/APR requirements §4226.32 OCDEL Announcement EI 09-#18</p> <p>Preschool §300.211 §14.156 OCDEL Announcement EI 09-#18</p>
<b>Infant/Toddler and Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>• Is there a policy and/or procedure in place to ensure that children who are found to be eligible for Infant/Toddler or Preschool EI on or within 60 days after the determination of eligibility entrance data must be completed?</li> <li>• As above for children who are anticipated to leave Infant/Toddler or Preschool EI within 60 days before the child's anticipated departure exit data must be completed.</li> <li>• As above for a child who has an annual review of the IFSP/IEP, within 60 days of the IFSP/IEP meeting date annual data must be entered.</li> <li>• Does the program monitor that the policy/procedure is implemented to ensure that all child outcome data must be reported through the WSS/Ounce scale online.</li> </ul>
<b>Data Sources</b>
OCDEL Announcement: EI-09# 18, Program specific policy mirrors announcement language. Monitoring documentation completed by the program.
<b>Score</b>
<p><b>Maximum score 10 points</b></p> <p><b>10 points:</b> All the child outcome data is entered into the child outcome database in a timely manner.</p> <p><b>8 points:</b> 85% of the child outcome data is entered into the child outcome database in a timely manner.</p> <p><b>5 points:</b> 50% of the child outcome data is entered into the child outcome database in a timely manner.</p> <p><b>0 points:</b> None of the child outcome data is entered into the child outcome database in a timely manner.</p>

<b>Indicator: Fiscal Supervision</b>	
<b>Item FS-1: Use of Federal Funds:</b> Are fiscal controls in place to ensure appropriate use of ITF Waiver and federal IDEA 611 Component 1 funds and IDEA 619 funds? *	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<p>There is evidence that the EI system followed federal guidelines for expenditures within this funding stream such as:</p> <ul style="list-style-type: none"> <li>• Documentation of discussions with families about available sources of funding</li> <li>• Billing to the ITF Waiver funding stream is monitored on an ongoing basis by the Infant/Toddler program</li> <li>• Funding for habilitation was used only for in-home services or services in natural environments</li> <li>• Review by OCDEL that providers' billed rates match previously approved contracted rates and that a state approved rate setting methodology was used</li> <li>• The standardized contracts are being utilized.</li> <li>• Error reporting/resolution using claims submission data.</li> </ul> <p>OCDEL Announcement EI 2010 #01 OCDEL Announcement EI 08 - #10</p>	<p>There is evidence that the Preschool program followed federal guidelines for expenditures as per Rider Agreement within this funding source such as:</p> <ul style="list-style-type: none"> <li>• No school age expenditures in Component 1</li> <li>• Only allowable costs as per fiscal guidelines</li> <li>• Staff positions that are not eligible to bill Medical Access</li> <li>• Funds used for private providers are for non-Medical Access billable services</li> <li>• Detailed contracts for <b>all</b> private providers (no funding limit applied) containing appropriate language.</li> <li>• Detailed contract invoices that include names of children served, specific services, hours of service and rate costs per hour.</li> <li>• Leases/rentals of office or classroom space representing fair market value(if not school district space)</li> <li>• All budget expenditure reports for previous fiscal year was submitted by due date.</li> <li>• Audit costs for Non-EI programs are not charged to this budget</li> </ul> <p>Fiscal Guidelines for MAWA Holder – IDEA 611, Component 1 and Section 619,</p>

Infant/Toddler EI Data Sources	Preschool EI Data Sources
<b>ITF Waiver</b> <ul style="list-style-type: none"> <li>• Review of ITF Waiver related interim and year end reports of STATEWIDE DATA SYSTEM data</li> <li>• County and provider contracts (including current provider rates) and Remittance Advices (RA's) for waiver services</li> <li>• Provider rate and budget submission packets for previous and current fiscal year</li> <li>• Summary analysis of all previous fiscal year end providers' audit reports</li> <li>• Observation: Explanation of waiver funding to family</li> <li>• Record Review—Item 8</li> </ul>	<b>Federal IDEA 619 Funds</b> <ul style="list-style-type: none"> <li>• Previous and current year Budget documents, original Budget, quarterly, Interim, final with all revisions.</li> <li>• Copies of all leases/rental agreements – current and previous year</li> <li>• Copies of all contracts for service provision – current and previous</li> <li>• Invoice for Audit costs charged to this budget</li> <li>• One invoice per contract –current and previous year.</li> </ul>
Score	
<b>Maximum Score—20 points</b>  <b>20 points</b> Documentation is available that <b>all criteria are met.</b>  <b>15 points</b> Documentation is available that <b>75-99% of criteria are met.</b>  <b>10 points</b> Documentation is available that <b>50-74% of criteria are met.</b>  <b>5 points</b> Documentation is available that <b>25-49% of criteria are met.</b>  <b>0 points</b> Documentation is available that <b>0-24% of criteria are met</b> or insufficient documentation exists to determine whether criteria are met.	

\*including ARRA funds

<b>Indicator: Fiscal Supervision</b>	
<b>Item FS-2: Use of State and Local Early Intervention Funds</b>	
Are there fiscal controls in place to ensure appropriate use of these funds?	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<p>There is evidence that the EI system followed state guidelines for expenditures within this funding source.</p> <ul style="list-style-type: none"> <li>• Submission of all EI expenditures reports by due dates even if extension granted</li> <li>• Utilization of service funds for service delivery and service coordinator positions only.</li> <li>• Productivity of service coordination positions are monitored to maximize number of children served and to maintain appropriate caseloads</li> <li>• Re budget: timely submission, issues resolved</li> <li>• Documentation of training expenditures does not exceed training allocation</li> <li>• Appropriate use of administration dollars, detail on the staff are assigned to the Admin categorical</li> <li>• Program reviews provider annual audits and makes rate adjustment requests based on audited costs when needed.</li> <li>• Annual Income and Audit reports are reviewed for contracted providers that do not meet audit thresholds</li> <li>• Contracts contain all applicable regulatory requirements</li> </ul> <p>§4226.11  §4226.13  §4226.14  §4226.15  §4600 Regulations  §4300 Regulations  Announcement: EI-2010 #1</p>	<p>There is evidence that the Preschool followed state guidelines as per Rider YY for expenditures within this funding source.</p> <ul style="list-style-type: none"> <li>• Submission of all expenditure reports by designated due date even if extension granted</li> <li>• Appropriate training expenditures, not exceeding the amount of a maximum of 2% or no less than 1% of state allocation</li> <li>• Documentation of training expenditures for current year are appropriate</li> <li>• Internal budget worksheets in agreement with allocation amount</li> <li>• Space costs for classrooms or assessment areas only are in alignment with fair market value of the area</li> <li>• Detailed contracts for private providers, containing appropriate language and corresponding invoices as per contract template</li> <li>• Detailed contract invoices that include names of children served, specific services, hours of service and rate costs per hour.</li> <li>• Teacher/therapist schedules in alignment with CBA/contract, maximizing number of children served as appropriate, not to exceed state caseload regulations</li> <li>• Preschool EI funds are not used to pay for children in Act 30 status.</li> <li>• Aggregate target number of children served for previous fiscal year was met.</li> </ul> <p>OCDEL State Early Intervention  Fiscal/Contract Guidelines</p>

Infant/Toddler EI Data Sources	Preschool EI Data Sources
<p>STATEWIDE DATA SYSTEM data</p> <p>Expenditure reports</p> <p>Current year funding spreadsheet by categorical (local report)</p> <p>Local FTE report displaying staff assigned to the Admin Categorical</p> <p>Carry over reports</p> <p>Payer of last resort policy</p> <p>Allocation and re budget submissions</p> <p>Evidence of county match</p> <p>Program final audit reports—previous year</p> <p>Program Interim audit reports—current year</p> <p>Interim and annual provider reports are available</p> <p>County and provider contracts (including current provider rates) and Payment Files for services</p> <p>Provider rate and budget submission packets for previous and current fiscal year</p> <p>Summary analysis of all previous fiscal year end providers' audit reports or findings</p> <p>Fee Schedules</p>	<p>All Expenditure Reports for current year and previous year</p> <p>Original Budget, with any revisions – current year</p> <p>Final Budget – previous year</p> <p>Training Expense Worksheets – current and previous year</p> <p>Copy of Collective Bargaining Agreement(s)/Employee Contract(s)</p> <p>Copies of leases/rental agreements – current and previous year</p> <p>Copies of contracts for service provision – current year including a minimum of one invoice per contract</p> <p>One week schedule from 5% (minimum of 2, maximum of 10) of Preschool classroom teachers (employee), with caseload documentation attached</p> <p>One week schedule from 5% (minimum of 2, maximum of 10) of Preschool itinerant teachers (employee), with caseload documentation attached</p> <p>One week schedule from 5% (minimum of 2, maximum of 10) of Preschool therapists (employee), with caseload documentation attached</p>
Score	
<p><b>Maximum Score—20 points</b></p> <p><b>20 points</b> Documentation is available that <b>all criteria are met.</b></p> <p><b>15 points</b> Documentation is available that <b>75-99% of criteria are met.</b></p>	

**10 points** Documentation is available that **50-74% of criteria are met.**

**5 points** Documentation is available that **25-49% of criteria are met.**

**0 points** Documentation is available that **0-24% of criteria are met** or insufficient documentation exists to determine whether criteria are met.

<b>Indicator: Fiscal Supervision</b>	
<b>Item FS-3: Use of Medical Assistance funds</b>	
Is the EI System appropriately accessing Medical Assistance funding?	
<b>Infant/Toddler and Preschool EI Criteria</b>	
<p>There is evidence:</p> <ul style="list-style-type: none"> <li>• Infant/Toddler or Preschool EI Program is successfully generating the amount of estimated MA revenue as per the OCDEL allocation for the current year.</li> <li>• Infant/Toddler or Preschool EI Program successfully generated the amount of estimated MA revenue as per the OCDEL allocation for the previous year.</li> <li>• Analysis of current status of MA Billing is occurring</li> <li>• Evidence of a process for reviewing MA billing practices and earned revenue through documentation that includes frequency, name of reviewers and outcome/action steps of the review.</li> <li>• Submission of claims for all eligible services provided is occurring</li> <li>• Contract language with providers requires enrollment and the completion of the MA billing process</li> <li>• An effective process for enrolling children in MA exists</li> <li>• An effective process for obtaining permission to bill MA exists</li> <li>• Expenditures of Medical Assistance revenue are used to support core EI program services only.</li> </ul>	
<b>Infant/Toddler EI Data Sources</b>	<b>Preschool EI Data Sources</b>
Allocation including the current MA estimated revenue and the total expenditures billed to MA	Allocation including the current MA estimated revenue and the total expenditures billed to MA
All MA earned revenue as of July 1 through last day of previous month	All MA earned revenue as of July 1 through last day of previous month (5% or minimum of two service provider slips)
Previous year MA revenue projection by OCDEL	Previous year MA revenue projection by OCDEL
Total of all MA earned revenue for previous year (SC and providers)	Total of all MA earned revenue for previous year
Process/procedure to track all MA	Copy of MA budget for current year
SC documentation of funding discussions and IFSPs	Leader Services Annual Management Report for previous year
Copies of current contracts for service providers that contain Chapter 4226 and other applicable regulatory language.	Leader Services Monthly Management reports for past three months
Fee Schedules	Page in contract with private providers

<p>Analysis of child data:</p> <ul style="list-style-type: none"> <li>Aggregate number of children served compared to: <ul style="list-style-type: none"> <li>Number of children enrolled in MA</li> <li>Number of children receiving MA reimbursed services</li> <li>Number of children eligible for MA whose parents denied permission to bill MA</li> </ul> </li> </ul> <p>Written policies and procedures pertaining to enrollment and billing for MA</p> <p>Provider and County Billing records</p> <p>§4226.11-15 Medical Assistance 837 Handbook OCDEL Announcements EI 07#13 and 08 - #10</p>	<p>reflecting language that mandates submission of MA service logs to the Preschool program</p> <p>Analysis of child data:</p> <ul style="list-style-type: none"> <li>Aggregate number of children served compared to: <ul style="list-style-type: none"> <li>Number of children eligible for MA billable services</li> <li>Number of children receiving MA reimbursed services</li> <li>Number of children eligible for MA whose parents denied permission to bill MA</li> </ul> </li> </ul> <p>Written policies and procedures pertaining to enrollment/billing for MA</p> <p>Copy of Leader MA drawdown requests with narrative of expenditures – current and previous year.</p> <p>Revenue from interest Waiver requirement of two draw downs per year</p> <p>OCDEL State Early Intervention Fiscal contract Guidelines School-Based Access Program Manual</p>
Score	
<b>Maximum Score—20 points</b>	
<b>20 points</b> Documentation is available that <b>all criteria are met.</b>	
<b>15 points</b> Documentation is available that <b>75-99% of criteria are met.</b>	
<b>10 points</b> Documentation is available that <b>50-74% of criteria are met.</b>	
<b>5 points</b> Documentation is available that <b>25-49% of criteria are met.</b>	
<b>0 points</b> Documentation is available that <b>0-24% of criteria are met</b> or insufficient documentation exists to determine whether criteria are met.	

<b>Indicator: Public Awareness and Child Find</b>
<b>Item CF-1:</b> Does the Infant/Toddler or Preschool EI program serve an appropriate number of eligible children compared to state data and reflect local area demographics?
<b>Infant/Toddler and Preschool EI Criteria</b>
<p>Evidence exists that data is used to evaluate child find practices. For example, if the program serves an area with lots of agriculture, how does the program reach out to migrant families? If the program's service area has a significant drug problem but none of the infants the program serves have been identified as having been affected by drugs, is the program not reaching that group or simply not documenting it?</p> <ul style="list-style-type: none"> <li>• Percentage of children served by age group compared to average percentage served throughout PA</li> <li>• Percentage of children served by race/ethnicity compared to average percentage served throughout PA</li> <li>• Documentation of outreach to locate and serve children with risk factors <ul style="list-style-type: none"> <li>▪ Migrant families</li> <li>▪ Homeless children and their families</li> <li>▪ Wards of the state</li> <li>▪ Premature infants</li> <li>▪ Infants with other physical risk factors associated with learning or developmental complications</li> <li>▪ Children who have been involved in substantiated case of child abuse or neglect</li> <li>▪ Children who are affected by illegal substance abuse</li> </ul> </li> <li>• Percentage of children eligible under each disability category is proportional to state and regional averages</li> <li>• Evidence of effective interagency agreements that demonstrate collaboration among Infant/Toddler, Preschool and school age programs for the purposes of identifying children as early as possible.</li> <li>• Evidence exists that the program monitors data related to its child find activities to ensure that its efforts are effective</li> </ul> <p>Infant/Toddler Requirements  §303.321  §4226.24</p> <p>Preschool Requirements  §300.11  §14.121 and 14.152(a)</p>
<b>Data Sources</b>
Self-Verification Worksheet 7 Statewide Data System Census for special education incidence data

Department of Health and other sources of demographic statistics for children birth to school age  
LICC Interagency Agreement

**Score**

Maximum Score—20 points

**20 points**—Child find data is used to evaluate effectiveness of child find efforts **and** adjustments are made in child find activities in response to data review when appropriate, or the previous year's aggregate or the monthly average number of children served per primary allocation was met.

**10 points**—Child find data is reviewed **but** there is little or no evidence that child find efforts have been revised when appropriate in response to this data or the previous year's aggregate or the monthly average of children served per primary allocation was met.

**0 points**—There is no evidence that data has been reviewed to evaluate child find efforts and the previous year's aggregate or the monthly average number of children served per primary allocation was not met.

<b>Indicator: Public Awareness and Child Find</b>
<b>Item CF-2:</b> Does the Infant/Toddler or Preschool EI program inform the public about the availability of Early Intervention services?
<b>Infant/Toddler and Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>• A written policy or plan exists either specific to the agency, or preferably, within the LICC interagency agreement that defines how public awareness activities are to be conducted</li> <li>• Public awareness efforts are coordinated with other appropriate groups (EI, Head Start, Child Care, Health, etc) to maximize effectiveness and minimize unnecessary duplication.</li> <li>• Evidence exists that the program monitors data related to its public awareness efforts to ensure that its efforts are effective</li> <li>• Are there individuals and/or groups from which the program would expect referrals to Early Intervention but who do not refer children to them? How is the program reaching out to these referral sources? (Quality)</li> <li>• State and local child find materials are distributed</li> </ul> <p>Infant/Toddler Requirements §303.320 §4226.24</p> <p>Preschool Requirements § 14.152(b-c)</p>
<b>Data Sources</b>
Newspaper and other media releases Local Interagency Agreement Documentation of local public awareness/child find activities Child find plan, policies, and/or procedures
<b>Score</b>
<p>Maximum Score—5 points</p> <p>5 points—Evidence exists that the Infant/Toddler or Preschool EI program has a public awareness plan that is implemented and coordinated with other early childhood organizations, and that they review the outcomes of the public awareness activities to assure that their efforts are effective.</p> <p>3 points—Evidence exists that the Infant/Toddler or Preschool EI program has a public awareness plan and conducts public awareness activities, but these activities are not coordinated with others and/or are not evaluated for effectiveness.</p> <p>0 points—No plan and/or public awareness activities.</p>

<b>Indicator: Quality Early Intervention Framework</b>	
<b>Item QF-1:</b> Do personnel independent of the provision of services conduct the initial evaluation?	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>The initial evaluation is conducted by person(s) or personnel independent of service provision</li> <li>Initial evaluation team members never provide services to the child who is evaluated and the agencies of initial evaluation team members do not receive a referral for children who have been evaluated by the team. Controls are in place for low incidence situations.</li> <li>Waiver that describes the controls for evaluation process is in place.</li> </ul> §4226.61(a)(2)	<b>NA</b>
<b>Data Sources</b>	
Self Verification Worksheet 9—Waiver of regulations if appropriate Record review—Items 9 & 10—Evaluation team members different from service delivery personnel	
<b>Score</b>	
Maximum Score—5 points  <b>5 points</b> —Initial evaluation team members never provide services to the child who is evaluated and the agencies of initial evaluation team members do not receive a referral for children who has been evaluated by the team. Controls are in place for low incidence situations.  <b>3 points</b> —Waiver that describes the controls for evaluation process is in place also displays efforts taken to meet requirement.  <b>0 points</b> —There is no separation of evaluation and service delivery team membership and no waiver of the requirement of this separation.	

<b>Indicator: Quality Early Intervention Framework</b>	
<b>Item QF-2:</b> Is there evidence that children have met the criteria for eligibility and does the evaluation report address the strengths, needs and level of functioning of the child in the developmental domains of cognitive, physical (including vision and hearing), communication, social and emotional, and adaptive?	
<b>Infant/Toddler Criteria</b>	<b>Preschool EI Criteria</b>
<p>The evaluation report must address the level of functioning of the child in the developmental domains of cognitive, physical (including vision and hearing), communication, social and emotional, and adaptive. If there is a record of screening results indicating a need in any area (such as problems noted in newborn hearing screening or ASQ results indicating a concern) but no follow-up evaluation, this standard has not been met.</p> <p>The methods used to determine eligibility follow regulations and requirements.</p> <p>If informed clinical opinion (ICO) is used to find the child eligible, there must be clear justification in the evaluation report as to why the child was found eligible. Informed clinical opinion should be used to determine initial eligibility <u>only</u> when there are no standardized measures or the standardized measures are not appropriate for a child's chronological age or developmental areas.</p> <p>Informed clinical opinion should <u>not</u> be used for determining eligibility after the initial evaluation.</p> <p>Infant/Toddler Requirements §303.322(c )(3)(ii) §4226.61(b)</p>	<p>The evaluation report must address the level of functioning of the child in the developmental domains of cognitive, physical (including vision and hearing), communication, social and emotional, and adaptive.</p> <p>The methods used to determine eligibility follow regulations and requirements.</p> <p>If there is a record of screening results indicating a need in any area (such as problems noted in newborn hearing screening) but no follow-up evaluation, this standard has not been met.</p> <p>Preschool Requirements §300.304(c)(4) Chapter 14 153.(2)</p>
<b>Data Sources</b>	
<p>Child Record Review—Item 11-13 Observation—Evaluation Review of ERs</p>	

Review of number of children in which ICO was used to determine eligibility using local data (past 6 months number of evaluations/number of children found eligible by using ICO)

**Score**

Maximum Score—20 points

**20 points—100%** of the records reviewed, eligibility was appropriately determined/documented and include a statement of strengths, needs, and the child's level of functioning in each of the five domains and if ICO was used, it was documented appropriately and at a low incidence.

**10 points— 85-99%** of the records reviewed, eligibility was appropriately determined/documented and include a statement of strengths, needs, and the child's level of functioning in each of the five domains and if ICO was used, it was documented appropriately and at a medium incidence.

**5 points—71-84%** of the records reviewed, eligibility was appropriately determined/documented and include a statement of strengths, needs, and the child's level of functioning in each of the five domains and if ICO was used frequently and/or not documented appropriately.

**0 points—Less than 70%** of the records reviewed , eligibility was appropriately determined/documented and include a statement of strengths, needs, and the child's level of functioning in each of the five domains and if ICO was used after the initial ER, used frequently and/or not documented appropriately.

<b>Indicator: Quality Early Intervention Framework</b>	
<b>Item QF-3: Does the Infant/Toddler or Preschool EI program ensure that all evaluation activities are completed within the required time frames?</b>	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>• Evaluation conducted at least annually. §303.342 and §4226.61(a)(3)</li> <li>• Initial evaluation report was completed in sufficient time to enable the IFSP to be developed in a 45 calendar day time frame. §303.322(e) and §4226.61(d)(1)</li> <li>• If exceptional circumstances make it impossible to complete the evaluation within the time frame the Infant/Toddler EI program will document the circumstances in the child's record and in the STATEWIDE DATA SYSTEM . §303.322(e)(2) and §4226.61(d)(2)</li> <li>• Written report is provided to the family within 30 days of completion of the evaluation report. §4226.61(a)(4)</li> </ul>	<ul style="list-style-type: none"> <li>• For evaluation requests received on or after July 1, 2008, Permission to Evaluate was provided to the family within 10 calendar days of Preschool program's receipt of parent's oral or written request for evaluation. §14.123(c)</li> <li>• Evaluation Report is completed and provided to the family within 60 calendar days of receipt of written permission to evaluate. §300.301(c)(1)(i)</li> <li>• Current evaluation report form must be used and issued at least every two years. §14.153(4)(iii)</li> </ul>
<b>Infant/Toddler EI Data Sources</b>	<b>Preschool EI Data Sources</b>
Statewide Data System Data Child record review—Items 14-16 Time frame matches requirements. Use the prior ER to verify dates for reevaluations Self Verification Worksheet 10	Statewide Data System Data Child record review—Items 14-16 Time frame matches requirements. Use the prior ER to verify dates. Self Verification Worksheet 10
<b>Score</b>	
<p>Maximum Score—10 points</p> <p><b>10 points—100%</b> of evaluation activities are completed within required timeframes as indicated on the statewide data system report and the record sample validates the data.</p> <p><b>8 points—90%-99%</b> of evaluation activities are completed within required timeframes as indicated on the statewide data system report and the record sample validates the data.</p> <p><b>5 points—80%-89%</b> of evaluation activities are completed within required timeframes as indicated on the statewide data system report and the record sample validates the data.</p> <p>.</p>	

**0 points—Less than 80%** of evaluation activities are completed within required timeframes as indicated on the statewide data system report and the record sample validates the data.

**\*Note to Chairperson**—If record review is inconsistent with Statewide Data system information, check extra records to ensure that problem is not due to sample error. If discrepancy is still more than 10% different from the amount reported to statewide data system information, mark 0 points; also reflect this concern in scoring bullet 2 of GS-3.

<b>Indicator: Quality Early Intervention Framework</b>	
<b>Item QF-4:</b> Does the Infant/Toddler program ensure that all ITF Waiver evaluation activities are completed within the required time frames? *	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>Families of all children who are eligible for ITF Waiver have been asked to enroll in the Waiver process</li> <li>With parental consent, the level of care evaluation process was completed within 45 days of the date that the infant/ toddler was initially - determined eligible to likely to meet the level of care requirement . If parent denies consent to level of care, documentation of this is present. <b>(Timeline: IFSP Development date to effective date listed on 162 =45 days)</b></li> <li>ITF waiver level of care is certified at least annually. OCDEL Announcement EI 08#10</li> </ul>	<b>NA</b>
<b>Infant/Toddler EI Data Sources</b>	<b>Preschool EI Data Sources</b>
Record Review—Items 17-19 Forms 123 or 123A, 457 and 162 notice for children potentially eligible for ITF Waiver, Statewide Data Report	<b>NA</b>
<b>Score</b>	
<p>Maximum Score—10 points 10 points— <b>95-100%</b> of the level of care determinations were completed for children potentially eligible for the waiver within in the past 12 months as indicated on the statewide data system report and the record sample is consistent with the data and evidences that for some children documentation exists that the parent denied consent to a level of care determination.</p> <p>8 points— <b>80-94%</b> of the level of care determinations were completed for children potentially eligible for the waiver within in the past 12 months as indicated on the statewide data system report and the record sample is consistent with the data and evidences that for some children documentation exists that the parent denied consent to a level of care determination.</p> <p>5 points—<b>50-79%</b> of the level of care determinations were completed for children potentially eligible for the waiver within in the past 12 months as indicated on the statewide data system report and the record sample is consistent with the data and evidences that for some children documentation exists that the parent denied consent to a level of care determination.</p>	

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0 points—**Less than 50%** of the level of care determinations were completed for children potentially eligible for the waiver within in the past 12 months as indicated on the statewide data system report and the record sample is consistent with the data and evidences that for some children documentation exists that the parent denied consent to a level of care determination.

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<b>Indicator: Quality Early Intervention Framework</b>	
<b>Item QF-5:</b> Do all children have a current IFSP/IEP on the required format that documents all EI services and supports within the required timeframes?	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<p>The IFSP was developed within the past 12 months, and reviewed/revised within the past 6 months and as needed due to changes in the child or family's needs. §303.342(b)(1) and 4226.72(b)– 6 month review §303.342(c)-and 4226.72(c) annual review</p> <p>All of the necessary services and supports are listed, including service type, frequency, duration and cost §303.344(d)(1)(i-v) and (e-g) and §4226.74</p> <p>100% of the IFSPs are completed within 45 calendar days or justification for those outside of the 45 days is due to an act of nature or a family issue. §303.321(e)(2)(ii) and §4226.24(g)(2)(ii)</p> <p>OCDEL Announcement EI 08#05</p>	<p>The IEP was developed within the past 12 months and reviewed/revised as needed. §300.324(b)(1)(i)</p> <p>All of the necessary services and supports are listed, including service type, frequency, and duration. There is documentation that the IEP team reviewed data to determine if child was in need of services during scheduled breaks an accordance with the OCDEL announcement and local policy §300.320(a)(1-7) §14.155(c )(2) – scheduled breaks OCDEL Announcement EI 08#3 IEP developed within 30 calendar days of the issuance of the ER. §300.323(c )(1)</p> <p>OCDEL Announcement EI 08#5</p>
<b>Data Sources</b>	
<p>Child record review—Items 20, 21, 22, 23—IFSP/IEP, service notes, progress monitoring records, family conference notes, etc. that document review of IFSP/IEP</p> <ul style="list-style-type: none"> <li>- Statewide Data System reports</li> </ul>	
<b>Score</b>	
<p><b>Maximum Score—15 points</b></p> <p><b>15 points—95-100%</b> of IFSP/IEPs in the statewide data system meet the required timeframes , they were developed, reviewed and revised within timelines with EI services and supports completed correctly and that the record sample is consistent with the data system report on the program*</p> <p>10 points—<b>80-94%</b> of IFSP/IEPs in the statewide data system meet the required timeframes , they were developed, reviewed and revised within timelines with EI services and supports completed correctly and that the record sample is consistent with the data system report on the program*</p> <p>*</p>	

5 points—**60-79%** of IFSP/IEPs in the statewide data system meet the required timeframes , they were developed, reviewed and revised within timelines with EI services and supports completed correctly and that the record sample is consistent with the data system report on the program\*

0 points—**Less than 60%** of IFSP/IEPs in the statewide data system meet the required timeframes , they were developed, reviewed and revised within timelines with EI services and supports completed correctly and that the record sample is consistent with the data system report on the program\*

**Note to Chairperson:** If the record sample is not consistent with the data report, more records will need to be reviewed to check for a sample error. If a 10% variance exists then score 0 points.

<b>Indicator: Quality Early Intervention Framework MANUAL SCORING</b>	
<b>Item QF-6:</b> Does the Infant/Toddler or Preschool EI program ensure that services are delivered no later than 14 days after the completion of the IFSP/IEP?	
<b>Infant/Toddler and Preschool EI Criteria</b>	
<p>IFSP/IEP is implemented within 14 calendar days after completion of IFSP/IEP unless there is <b>adequate documentation</b> that the delivery date is extended due to family request or family/weather related reason. (For instance, a family prefers to start only one service the first month and additional services will be phased in.)</p> <p>If services are provided in an early childhood location that is not open year round (Head Start, Preschool, Mommy and Me, etc.) and therefore services will be provided differently during the period that the program is closed, it is acceptable and recommended to describe how these changes will occur at the time the IEP is written rather than writing a later revision. For example, ½ hour speech therapy two times per week at ABC Preschool from date of IEP to May 28. Weekly one hour language group starts on June 14 and continues to August 14. ½ hour speech therapy two times per week at ABC Preschool starts September 1 and continues for duration of IEP. If the family does not sign the initial NOREP, it is a family reason for delay in service. It is not acceptable to delay the delivery of services due to breaks in Preschool calendar.</p>	
Infant/Toddler Requirements §4226.75(b) – 14 days §303.344(f)(1)	Preschool Requirements §14.154(d)(1) – 14 days §303.323(c )(2)
<b>Infant/Toddler EI Data Sources</b>	<b>Preschool EI Data Sources</b>
Statewide Data System data Child Record Review—Items 24,25 — IFSP, SC Case notes, progress notes, therapist billing records Self Verification Worksheet 11, low performers, determination information Family Survey data Q. # 20	Child Record Review—Items 23, 24—IEP, progress notes, possibly lesson plans, class rosters and/or attendance records, therapist billing records Self Verification Worksheet 11 Statewide Data System reports low performers, determination information Family Survey data Q. # 20
<b>Score</b>	
Maximum Score—20 points <b>20 points— 95-100 %</b> of the children receive services within 14 days of the completion of the IFSP/IEP as reflected on the Statewide Data System report and Family Survey data and the record review are consistent with the statewide data report. (* If there is documentation on the IFSP/IEP that the delay in delivering services is due to a family or act of nature, give full credit.)	

**10 points— 80-94%** of the children receive services within 14 days of the completion of the IFSP/IEP as reflected on the Statewide Data System report and Family Survey data and the record review are consistent with the statewide data report. (\* If there is documentation on the IFSP/IEP that the delay in delivering services is due to a family or act of nature, give full credit.)

**0 points—Less than 80%** of children receive services within 14 days of the completion of the IFSP/IEP and the record review validates that this data is correct.\* If there is documentation on the IFSP/IEP that the delay in delivering services is due to a family or act of nature, give full credit.

**Note to Chairperson:** If the record sample is not consistent with the Statewide data report, more records will need to be reviewed to check for a sample error. If a 10% variance exists then score 0 points. If family survey data is not consistent with the record sample/data report, award the appropriate points, however specific recommendations must be included in the verification report on how to address the concern.

<b>Indicator: Quality Early Intervention Framework</b>
<b>Item QF-7:</b> Does the IFSP/IEP contain family information and does it include the assistance and services provided to support the family?
<b>Infant/Toddler and Preschool EI Criteria</b>
<p>IFSP/IEP reflects family information and services and support to the family or evidence that parents chose not to include family support. This information may be found in the family information section, or in other parts of the IFSP/IEP such as goal pages, methods, etc</p> <p>Infant/Toddler Requirements  §303.344(b) and (d)  §4226.74(2)</p> <p>Preschool Requirements  §300.324(a)(1)(ii)  §300.305(2)</p>
<b>Data Sources</b>
<p>Child Record Review—Item 26—IFSP/IEP</p> <p>Family Survey data : Questions: 2, 3, 8,</p>
<b>Score</b>
<p><b>Maximum Score—10 points</b></p> <p><b>10 points 95-100%</b> of the sample IFSP/IEPs contain family supports or evidence that parents chose not to include family supports. Family Survey data validates the sample*</p> <p><b>8 points 80-94%</b> of the sample IFSP/IEPs contain family supports or evidence that parents chose not to include family supports. Family Survey data validates the sample*</p> <p><b>5 points 50-79%</b> of the sample IFSP/IEPs contain family supports or evidence that parents chose not to include family supports. Family Survey data validates the sample*</p> <p><b>0 points 0-49%</b> of the sample IFSP/IEPs contain family supports or evidence that parents chose not to include family supports. Family survey validates the sample.*</p> <p><b>*Chairperson Note:</b> If family survey data is inconsistent with the record sample, award the appropriate points, however specific recommendations must be included in the verification report on how to address the concern.</p>

<b>Indicator: Quality Early Intervention Service Delivery</b>	
<b>Item SD-1:</b> Is there evidence that service coordination activities are provided as described in state regulations/announcements?	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>• Review of the <u><b>Service Coordination Support Plan with family</b></u> at least every 90 days.</li> <li>• Coordination and summary documentation of the performance of initial and ongoing evaluations and assessments of the child and family.</li> <li>• Referring, screening and tracking at-risk children.</li> <li>• Facilitating and participating in the development, implementation, review and evaluation of Individualized Family Service Plans (IFSP).</li> <li>• 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.</li> <li>• 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.</li> <li>• Locating, coordinating and monitoring the delivery of Early Intervention services.</li> <li>• Contacting/meeting with the child and family/caregiver at least every 90 days.</li> <li>• Review of the IFSP every six months or more frequently if conditions warrant or if the family requests such a review.</li> <li>• Informing the family of their rights and procedural safeguards in EI as well as the availability of advocacy services.</li> <li>• Assisting the family, if needed, in</li> </ul>	NA

<p>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.</p> <ul style="list-style-type: none"> <li>• Offering the family opportunities and support for the infant or toddler with a disability to participate in community activities with other children.</li> <li>• Informing the family of appropriate community resources.</li> <li>• Facilitating the development of a transition plan as part of the IFSP.</li> <li>• Securing and maintaining verification of continued medical necessity as determined by the child's physician.</li> </ul> <p>There should be documentation that most, if not all, of the above tasks have been provided for the family. Any supports that have not been provided are clearly not needed (ex. Tracking services are not needed by a family whose child is receiving EI services).</p> <p>§303.23 §4226.51 , 4226.52 EI Announcement EI-09 #11, 837 Handbook</p>	
Data Sources	
<p>Observation: Any of the activities listed below—Optional Child Record Review—Items 27-41—Evaluation report, IFSP and service coordination notes, First contact packet content and note information given to families. Service Coordination Support Plan <b>Family Survey Data: questions 10,13, 14, 30 and 32</b></p>	
Score	
<p><b>Maximum Score—15 points</b></p> <p><b>15 points</b> 95-100% of records reviewed provided evidence that Service Coordination tasks are being implemented, and are validated by family survey data</p>	

**10 points** 80-94% of the records reviewed provided evidence that Service Coordination tasks are being implemented and are validated by family survey data\*

**5 points** 70-79% of the records reviewed provided evidence that Service Coordination tasks are being implemented and are validated by family survey data\*

**0 points** Less than 70% of the records reviewed provided evidence that Service Coordination tasks are being implemented and are validated by family survey data\*

**\*Note to Chairperson:** If family survey data does not validate the record sample, award the appropriate points, however specific recommendations must be included in the verification report on how to address the concern.

<b>Indicator: Quality Early Intervention Service Delivery</b>	
<b>Item SD-2:</b> Do the initial evaluation and re-evaluations include all of the required participants?	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>Initial ER: Parent, Service Coordinator, personnel independent of service provision §303.322</li> <li>Annual ER: Parent, Service Coordinator, at least one Qualified Professional and anyone the parent wants to invite §4226.61(b)(2)</li> </ul>	<ul style="list-style-type: none"> <li>Initial ER: Parent and team of Qualified Professionals Chapter 14 153.(3)</li> <li>Re-Evaluation: IEP Team Members §300.306(a)(1)</li> </ul>
<b>Data Sources</b>	
Child Record Review—Items 42&43—Evaluation report should list all required personnel	
Observation—Evaluation Documentation of excused members and their input	
<b>Score</b>	
Maximum Score—5 points	
5 points— <b>95-100%</b> of records reviewed included all required participants.	
3 points— <b>80-94%</b> of records reviewed included all required participants.	
0 points— <b>Less than 80%</b> of records reviewed included all required participants.	

<b>Indicator: Quality Early Intervention Service Delivery</b>	
<b>Item SD-3:</b> Is there a system in place to ensure that all at-risk infants and toddlers are identified , evaluated and receive racking services and the development of infants and toddlers eligible for tracking documented and updated using an approved tool and reviewed at least every three months?	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<p>Children are eligible for tracking for the following reasons:</p> <ul style="list-style-type: none"> <li>• NICU stay</li> <li>• Low birth weight</li> <li>• Chemically dependent mothers</li> <li>• Substantiated abuse or neglect</li> <li>• High lead levels</li> <li>• Other identified categories</li> </ul> <p>§4226.25</p> <ul style="list-style-type: none"> <li>• LICC agreement ; Child find plan describes how EI program is collaborating with other programs that identify and serve children in at-risk categories</li> <li>• Once identified as eligible for tracking, there is evidence that families are contacted at least every three months (phone, writing, or face to face) unless the family agrees to a different schedule of tracking. §4226.26(b)(1)</li> <li>• A standardized developmental checklist (Ages and Stages Questionnaire {ASQ}) was used to track children's development to determine the need for continued tracking and/or need for further evaluation §4266.26(b)(2)</li> </ul>	<b>NA</b>
<b>Data Sources</b>	
<p>Child record review—Items 44,45, 46—Tracking information, Statewide Data System  Children in tracking  Child Find Plan includes tracking criteria , policies and procedures for tracking system  Self Verification Worksheet 8</p>	
<b>Score</b>	
<p>Maximum Score—5 points</p> <p><b>5 points</b>—Child find plan includes information about tracking procedures. Statewide Data System data shows at-risk children identified at a rate that is substantially</p>	

equivalent to statewide data. Systems exist that connect the EI program with other agencies that serve children in at-risk categories and **95-100%** the records reviewed of children eligible for tracking contains documentation that the ASQ was used to track development and the family was contacted at least every 3 months unless they agreed to a different schedule of tracking.

**3 points**—Statewide Data System data shows at-risk children identified at a rate that is significantly less/higher than statewide data with little explanation of why and there is little effort at connecting with other agencies involved with at-risk children and 50-94% of the records reviewed of children eligible for tracking contains documentation that the ASQ was used to track development and the family was contacted at least every 3 months unless they agreed to a different schedule of tracking.

0 points—Statewide Data System data shows no identification of at-risk children and inadequate explanation of why there is no identification of at-risk children. There is little connection with other agencies involved with at-risk children, and **Less than 50% of** the records reviewed of children eligible for tracking contain documentation that the ASQ was used to track development and the family was contacted at least every 3 months unless they agreed to a different schedule of tracking.

<b>Indicator: Quality Early Intervention Service Delivery</b>	
<b>Item SD-4:</b> Does the Infant/Toddler or Preschool EI program ensure that the required personnel participate in the IFSP/IEP meeting?	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<p>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 §303.343(a)(1)(i-v) and §4226.73(a)(1-6), if anyone listed above is unable to attend, arrangements for their involvement may include:</p> <ul style="list-style-type: none"> <li>• Telephone conference call</li> <li>• Send knowledgeable representative</li> <li>• Making pertinent records available. §303.343(a)(2)(i-iii) and §4226.73(b)(1-3)</li> </ul> <p>When applicable the Infant/Toddler EI program provided a written invitation at least 5 days before the meeting, or fewer days if agreed upon by the team. Or documentation exists that the family was notified and attended the meeting</p> <p>§303.342 (d) (2) and §4226.72</p>	<ul style="list-style-type: none"> <li>• Preschool EI program must provide a written invitation prior to the meeting. There is no requirement for any number of days prior to the meeting.</li> <li>• Parent, EI Program 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)</li> <li>• At the request of the parent of a child who is transitioning from B-3 services, the infant/toddler service coordinator will be invited to the meeting §300.321(a)(1-6)</li> <li>• 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)</li> <li>• If the parent and agency excuse the team member because his/her expertise is determined not to be necessary it must be documented on the appropriate form. §300.321(e)</li> <li>• Parent and agency may excuse a team member if they agree in</li> </ul>

	<p>writing that written input will provide adequate information for the team. Written information must be submitted prior to the IEP meeting. §300.321(e)</p> <ul style="list-style-type: none"> <li>• If parent chooses not to attend the IEP meeting, the rest of the team may meet. Parent must sign the NOREP before initial services begin and before any change of placement §300.322(d)</li> </ul>
<b>Data Sources</b>	
Child Record Review—Items 47-52—written IFSP/IEP Invitation, IFSP/IEP, Attendance Sheet, documentation from excused members and evidence of input, or SC note	
<b>Score</b>	
<p>Maximum Score—5 points</p> <p>5 points—<b>95-100%</b> of records reviewed contained evidence that all required participants were present, provided input, and/or were excused.</p> <p>3 points— <b>80-94%</b> of records reviewed contained evidence that all required participants were present, provided input, and/or were excused.</p> <p>0 points— <b>Less than 80%</b> of records reviewed contained evidence that all required participants were present, provided input, and/or were excused.</p>	

<b>Indicator: Quality Early Intervention Service Delivery</b>
<b>Item SD-5:</b> Does the IFSP/IEP address how the needs identified under Special Considerations will be addressed?
<b>Infant/Toddler and Preschool EI Criteria</b>
<p>The IFSP/IEP must address these special considerations:</p> <ul style="list-style-type: none"> <li>• Blind/visual impairment</li> <li>• Deafness or hard of hearing</li> <li>• Behavior that impedes learning—If this item is checked, a Functional Behavior Assessment must be conducted and either goals and/or specially designed instruction address the needs <b>or</b> a positive behavior support plan is attached</li> <li>• Limited English Proficiency</li> <li>• Communication needs</li> <li>• Assistive technology needs</li> <li>• Transition: <ul style="list-style-type: none"> <li>○ If the toddler is between 2 yrs 3 months and 2 yrs 9 months the IFSP/IEP must include outcomes that address child and family needs related to transition to Preschool EI part B or the community</li> <li>○ Transition from Early Intervention program because of changes in the life of the family or child such as attainment of all goals, new family situations, etc.</li> <li>○ Preschool EI child is within one year of transition to K</li> </ul> </li> </ul> <p>Infant/Toddler requirements §303.344(a) and (c)</p> <p>Announcement EI-08#05 Preschool Requirements</p> <p>§300.324(a)(2)(i-v)</p>
<b>Data Sources</b>
Child Record Review—Items -53-56—Special considerations page of IFSP/IEP plus any or all of the following: outcomes/goals, teaching strategies, services and supports, assistance provided to the family, behavior support plan
<b>Score</b>
<p>Maximum Score—10 points</p> <p>10 points—<b>95-100%</b> of the IFSP/IEPs reviewed contained evidence that the special considerations were checked as being needed were addressed through goals, teaching strategies or a behavior plan based on a functional behavior assessment.</p> <p>8 points—<b>80-94%</b> of the IFSP/IEPs reviewed contained evidence that the special considerations checked as being needed were addressed through goals, teaching strategies or a behavior plan based on a functional behavior assessment.</p>

5 points—**65-79%** of the IFSP/IEPs reviewed contained evidence that the special considerations checked as being needed were addressed through goals, teaching strategies or a behavior plan based on a functional behavior assessment.

3 points—**50-64%** of the IFSP/IEPs reviewed contained evidence that the special considerations checked as being needed were addressed through goals, teaching strategies or a behavior plan based on a functional behavior assessment.

0 points—**Less than 50%** of the IFSP/IEPs reviewed contained evidence that the special considerations checked as being needed were addressed through goals, teaching strategies or a behavior plan based on a functional behavior assessment.

Note to Chairperson: if during the record review team members are finding the special considerations boxes checked inappropriately (i.e. nothing was needed or not applicable or a box or boxes were blank or not checked when necessary that record should be scored a “NO”).

<b>Indicator: Quality Early Intervention Service Delivery</b>	
<b>Item SD-6: Does the EI program have and implement a behavior support policy that meets federal and state requirements?</b>	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<p>Behavior support policy for children whose behavior impedes his/her or other children's learning that includes:</p> <ul style="list-style-type: none"> <li>• A requirement that for children for whom the need to address behavior was checked under special considerations, a functional behavior assessment and one or more of the following will be developed: <ul style="list-style-type: none"> <li>• Written behavior plan that employs positive behavior support strategies</li> <li>• IFSP/IEP outcomes/goals that address behavior needs</li> <li>• Specially designed instruction specifying behavioral strategies</li> </ul> </li> <li>• Positive rather than negative support strategies</li> <li>• Variety of techniques that support children to manage their own behaviors</li> <li>• Least intrusive behavior support strategies necessary</li> </ul> <p>Infant/Toddler Requirements §303.344(c ) OCDEL Announcement EI 09#02</p>	<p>Behavior support policy for children whose behavior impedes his/her or other children's learning that includes:§300.324(a)(2)(1)</p> <ul style="list-style-type: none"> <li>• A requirement that for children for whom the need to address behavior was checked under special considerations, a functional behavior assessment and one or more of the following will be developed: §14.133 <ul style="list-style-type: none"> <li>• Written behavior plan that employs positive behavior support strategies</li> <li>• IFSP/IEP outcomes/goals that address behavior needs</li> <li>• Specially designed instruction specifying behavioral strategies</li> </ul> </li> <li>• Positive rather than negative support strategies</li> <li>• Variety of techniques that support children to manage their own behaviors</li> <li>• Least intrusive behavior support strategies necessary</li> <li>• Written policy describes general behavior planning expectations</li> <li>• strategies that may be employed only in case of danger to child or others</li> <li>• process for obtaining parental consent prior to the use of restraints or intrusive procedures</li> <li>• requirement that if restraints are used, IEP team must meet within 10 calendar days to create or revise behavior goals or plan</li> <li>• If program has chosen to use review by a human rights committee before use of restrictive or intrusive procedures or restraints, procedures for doing so must be</li> </ul>

	evidenced.
Data Sources	
<p>Child record review—Items 57-58—Evidence that the IEP meeting was held within 10 days following use of restraints.</p> <p>Local Policy</p> <p>For children for whom the need to address behavior was checked under special considerations, a functional behavior assessment and one or more of the following:</p> <ul style="list-style-type: none"> <li>○ Written behavior plan that employs positive behavior support strategies</li> <li>○ IEP outcomes/goals that address behavior needs</li> <li>○ Specially designed instruction specifying behavioral strategies</li> </ul>	
Score	
<p>Maximum Score—15 points</p> <p>15 points—An appropriate behavior policy exists <b>and</b> of the records reviewed for which behavior was checked as a concern on the special considerations page, <b>95-100%</b> had a report of the functional behavior assessment and appropriate goals, instructional strategies, supports and services <b>and/or</b> assistance to the family indicated. (There must be an FBA, and of the other suggested components, they do not have to have all of these, but what they have should be logically appropriate for the concerns listed.)</p> <p>10 points— An appropriate behavior policy exists <b>and</b> of the records reviewed for which behavior was checked as a concern on the special considerations page, <b>80-94%</b> had a report of the functional behavior assessment, appropriate goals, instructional strategies, supports and services <b>and/or</b> assistance to the family indicated. (There must be an FBA, and of the other suggested components, they do not have to have all of these, but what they have should be logically appropriate for the concerns listed.)</p> <p>5 points—An appropriate behavior policy exists <b>and</b> of the records reviewed for which behavior was checked as a concern on the special considerations page, <b>0-79%</b> had a report of the functional behavior assessment appropriate goals, instructional strategies, supports and services <b>and/or</b> assistance to the family indicated. (There must be an FBA, and of the other suggested components, they do not have to have all of these, but what they have should be logically appropriate for the concerns listed.)</p> <p>0 points—A behavior policy does not exist or does not meet requirements</p>	

<b>Indicator: Quality Early Intervention Service Delivery</b>
<b>Item SD-7:</b> Does the IFSP/IEP include outcomes/goals that are measurable and related to the recommendations from the evaluation report?
<b>Infant/Toddler and Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>• The outcomes/goals are measurable and are related to the recommendations from the evaluation report.</li> <li>• All outcomes/goals on the IFSP/IEP are specific enough that the team and/or family/reviewer can tell what is to be accomplished and the outcome/goal can be used to determine that progress is being made.</li> </ul> <p>Infant/Toddler Requirements §303.344(c) §4226.74(3)</p> <p>Preschool Requirements §300.324(a)(1)(iv)</p>
<b>Data Sources</b>
<p>Child Record Review—Items 59 &amp; 60  Infant/toddler Quarterly Progress Summaries  Preschool EI Progress Summaries  Session data  Progress summary/ analysis  Observation—IFSP/IEP, Service Delivery  Family Survey data: Questions 6 and 7</p>
<b>Score</b>
<p>Maximum Score—20 points</p> <p>20 points—<b>90-100%</b> of the records reviewed have outcomes/goals that are measurable and related to the recommendations from the evaluation report and are validated by family survey data*</p> <p>15 points—<b>80-89%</b> of the records reviewed have outcomes/goals that are measurable and related to the recommendations from the evaluation report and are validated by family survey data*</p> <p>10 points— <b>70-79%</b> of the records reviewed have outcomes/goals that are measurable and related to the recommendations from the evaluation report and are validated by family survey data*</p> <p>5 points—<b>60-69%</b> of the records reviewed have outcomes/goals that are measurable and related to the recommendations from the evaluation report and are validated by family survey data*</p> <p>0 points—<b>Less than 60%</b> of the records reviewed have outcomes/goals that are</p>

measurable and related to the recommendations from the evaluation report and are validated by family survey data\*

**\*Note to Chairperson:** If family survey data is inconsistent with the record sample, award the appropriate points, however specific recommendations must be included in the verification report on how to address the concern.

<b>Indicator: Quality Early Intervention Service Delivery</b>	
<b>Item SD-8:</b> Is there documentation that family information about the child's individual strengths and needs has been gathered and utilized throughout the evaluation and planning process?	
<b>Infant/Toddler and Preschool EI Criteria</b>	
<ul style="list-style-type: none"> <li>There is evidence that family resources, concerns and priorities are included in the evaluation report. Concerns may be related to the developmental needs of their child and other areas of family concerns. The family information also needs to be included in the IFSP/IEP on the child and family information section.</li> <li>The intervention plan includes outcomes/goals, strategies, modifications, etc. that reflect the family's priorities and, as appropriate, enhance their ability to support their child.</li> </ul>	
Infant/Toddler Requirements §303.322(d) §4226.61(c)	Preschool Requirements §300.324(a)(ii) §300.305(a) §300.324(a)(i)
<b>Data Sources</b>	
Child record review—Items 61 & 62 —Initial contact notes, evaluation report, IFSP/IEP, correspondence with family Observation— Initial Visit, Evaluation, IFSP/IEP, Service Delivery Family survey data question: 5	
<b>Score</b>	
Maximum Score—20 points  20 points— <b>95-100 %</b> of the records reviewed show a clear link from first contact through service delivery showing that the family's information about the child's individual strengths and needs was considered to plan service delivery and are validated by family survey data.*  15 points— <b>85-94 %</b> of the records reviewed show a clear link from first contact through service delivery showing that family's information was considered to plan service delivery and are validated by family survey data.*  10 points— <b>75-84 %</b> of the records reviewed show clear evidence that the family's information about the child's individual strengths and needs was considered to plan service delivery and are validated by family survey data.*  0 points— <b>Less than 75%</b> of the records reviewed show clear evidence that the family's information about the child's individual strengths and needs was considered and are validated by family survey data.*  <b>*Note to Chairperson:</b> If family survey data does not validate the record sample, award the appropriate points, however specific recommendations must be included in the verification report on how to address the concern.	

<b>Indicator: Quality Early Intervention Service Delivery</b>	
<b>Item SD-9:</b> Is there documentation that individualized Early Intervention supports and services are being provided within naturally occurring everyday activities, routines and settings to actively engage the family members and/or early education programs as they help the child develop, learn and grow?	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>• Evidence exists that services are being delivered within the context of the family and child's routines/activities.</li> <li>• Evidence exists that EI services positively impact the caregiver's ability to successfully support their child's participation in daily activities.</li> <li>• Services are provided in a manner that recognizes and supports the family's cultural preferences.</li> </ul> <p>§303.12(b) and §303.344(d)(1)(ii) and §4226.74(4)(i)(B) and §4226.75(a)</p>	<p>Evidence exists that supports and services are being delivered in a functional context for the child, such as working on child making requests in context of play, goals are monitored in real life situations rather than only one on one with teacher or therapist, etc §300.114</p>
<b>Data Sources</b>	
<p>Observation: Initial Visit, Evaluation, IFSP/IEP, Service delivery  Child record review—Items 63-65—IEP/IFSP, service support plans, progress monitoring records, session data, lesson plans, family survey data: Question 11</p>	
<b>Score</b>	
<p>Maximum Score—20 points</p> <p>20 points—<b>95-100%</b> of the records reviewed provide evidence that supports and services are being delivered within the context of family or educational setting/activities . Record sample validates program data report and by family survey data*.</p> <p>15 points—<b>80-94%</b> of the records reviewed provide evidence that supports and services are being delivered within the context of family or educational setting/activities. Record sample validates program data report and by family survey data.*</p> <p>10 points—<b>70-79%</b> of the records reviewed provide evidence that supports and services are being delivered within the context of family or educational setting/activities. Record sample validates program data report and by family survey data.*</p> <p>5 points—<b>60-69%</b> of the records reviewed provide evidence that supports and services are being delivered within the context of family or educational setting/activities. Record sample validates program data report and by family survey data.*</p>	

0 points—**Less than 60%** of the records reviewed provide evidence that supports and services are being delivered within the context of family or educational setting/activities  
Record sample validates program data report and by family survey data\*

**\*Note to Chairperson:** If family survey data does not validate the record sample, award the appropriate points, however specific recommendations must be included in the verification report on how to address the concern.

<b>Indicator: Quality Early Intervention Service Delivery</b>	
<b>Item: SD-10:</b> How does the EI program's current percentage of children being served in community settings in addition to the home as established in the Part C State Performance Plan or least restrictive environment (LRE) compare to the most recently completed fiscal year and corresponding pre-established targets?	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
Statewide target Services are being provided in community settings in addition to the home as established in the Part C State Performance Plan §303.12(b)	LRE target as established in the special education plan §300.114(a)(2)(i) §300.211 §14.156
<b>Data Sources</b>	
STATEWIDE DATA SYSTEM Penn Data/PELICAN	Special Education Plan Self Verification Worksheet 12
<b>Score</b>	
Maximum Score—20 points	
<p>20 — <b>Statewide target for the percentage of children</b> being served in community settings in addition to the home <u>OR</u> <b>LRE target was met</b> for the previous fiscal year, and the most recent data report demonstrates that the program has increased the level of performance evident at the conclusion of the previous fiscal year.</p> <p>15 points <b>Statewide target for the percentage of children</b> being served in community settings in addition to the home <u>OR</u> <b>LRE target was met</b> for the previous fiscal year, and the most recent data report demonstrates that the program is maintaining the level of performance evident at the conclusion of the previous fiscal year.</p> <p>10 points <b>Statewide target for the percentage of children</b> being served in community settings in addition to the home <u>OR</u> <b>LRE target was not met</b> for the previous fiscal year, but the most recent data report demonstrates that the program has increased the level of performance evident at the conclusion of the previous fiscal year.</p> <p>5 points <b>Statewide target for the percentage of children</b> being served in community settings in addition to the home <u>OR</u> <b>LRE target was met</b> for the previous fiscal year, but the most recent data report demonstrates that the program is not maintaining the level of performance evident at the conclusion of the previous fiscal year.</p> <p>0 points— <b>Statewide target for the percentage of children</b> being served in community settings in addition to the home <u>OR</u> <b>LRE target was not met, and</b> the most recent data report demonstrates that the program has not increased the level of performance evident at the conclusion of the previous fiscal year.</p>	

<b>Indicator: Quality Early Intervention Service Delivery</b>
<b>Item SD-11:</b> For those children who do not receive services in a natural environment or in a setting that includes children who are typically developing, does the IFSP/IEP explain why and to what extent the child will not be served in a natural environment or participate with typically developing peers in appropriate Preschool EI activities?
<b>Infant/Toddler and Preschool EI Criteria</b>
<p>If a service is not in a natural environment or in a setting that includes children who are typically developing, a justification of the extent to which each service will not be provided in a natural environment or with typically developing children and the location in which it will be provided must be present. If a child attends a child care or other group setting but receives EI services in a segregated setting, justification should explain why it is not possible to provide the services in the inclusive setting, and how the child will be supported to transfer skills learned in EI into other settings.</p> <p>Infant/Toddler Requirements  §303.344(d)(1)(ii)  §4226.74(4)(i)(B)  OCDEL Announcement EI 06#4 Natural Environments</p> <p>Preschool Requirement  §300.114(a)(2)(ii)</p>
<b>Data Sources</b>
Child Record Review—Items 66-67—IFSP/IEP, NOREP, Service Notes Statewide Data System data?
<b>Score</b>
<p>Maximum Score—5 points</p> <p>5 points—<b>95-100%</b> of the records reviewed provided a substantiated explanation based on the child's needs for service delivery option or did not need one because services were all provided in natural environment or in environments that service typically developing children.</p> <p>3 points—<b>75 to 94%</b> of the records reviewed provided a substantiated explanation based on the child's needs for service delivery option or did not need one because services were all provided in natural environment or in environments that service typically developing children.</p> <p>0 points—<b>0-74%</b> of the records reviewed provided a substantiated explanation based on the child's needs for service delivery option or did not need one because services were all provided in natural environment or in environments that service typically developing children.</p>

<b>Indicator: Quality Early Intervention Service Delivery</b>
<b>Item SD-12:</b> Is there evidence that children have received all of the supports and services specified on their IFSP/IEP and are these services delivered.
<b>Infant/Toddler and Preschool EI Criteria</b>
<p>The number of hours of services being delivered matches the number of hours of services listed on the IFSP/IEP.</p> <p>Services are being provided in the environments listed on the IFSP/IEP document.</p> <p>The IFSP/IEP is accessible to all service providers responsible for implementation.</p> <p>Appropriate adaptations have been made to environments or materials to support the child/family.</p> <p>Outcomes/goals on IFSP/IEP are being addressed by the services provided</p> <p>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.</p> <p>Infant/Toddler Requirements §303.344(f)(i) §4226.75(b)</p> <p>Preschool Requirements §300.323(c )(2)</p> <p>Announcement EI-2010 #3</p>
<b>Data Sources</b>
<p>Child record review—Items 68-74—Service delivery documentation such as session notes, Service Coordination notes, progress monitoring data, PRA, NOREP, service support plans, class roster, class attendance records, possibly lesson plans for individualization of strategies or adaptations of materials or environments</p> <p>Fiscal review—Billing for services as specified</p> <p>Observation—IFSP/IEP, Service Delivery in a variety of settings family survey data Q# 19</p>
<b>Score</b>
<p>Maximum Score—20 points</p> <p>Observe two service delivery sessions and compare them to the children's records.</p> <p>20 points—<b>95-100%</b> of the records reviewed contain evidence in service delivery notes that all supports and services in IFSP/IEP are being provided as described in the IFSP/IEP <b>and</b> the observations/family survey data provide verification that services are being delivered as specified.</p> <p>10 points—<b>85-94%</b> of the records reviewed contain evidence in service delivery notes that all supports and services in IFSP/IEP are being provided as described in the IFSP/IEP <b>and</b> the observations /family survey data provide verification that services are being delivered as specified.</p> <p>5 points—<b>75-84%</b> of the records reviewed contain evidence in service delivery notes that all supports and services in IFSP/IEP are being provided as described in the IFSP/IEP <b>and</b> the observations /family survey data provide verification that services are being delivered as specified.</p> <p>0 points—<b>Less than 75%</b> of the records reviewed contain evidence in service delivery</p>

notes that all supports and services in IFSP/IEP are being provided as described in the IFSP/IEP **and** the observations/family survey data provide verification that services are being delivered as specified.

**Note to Chairperson:** If observations do not match record review have discussion in closing meeting about reasons for this. Improvement activities may be needed, If family survey data is inconsistent with the record sample, award the appropriate points, however specific recommendations must be included in the verification report on how to address the concern.

<b>Indicator: Quality Early Intervention Service Delivery</b>
<b>Item SD-13:</b> Does a child who moves into the area served by the EI program (from within or outside of PA) with a current IFSP/IEP receive services comparable to those on the existing document until the EI program adopts the IFSP/IEP, develops a new IFSP/IEP, or determines that the child is not in need of services?
<b>Infant/Toddler and Preschool EI Criteria</b>
<p>Services begin in a timely manner (14 days) after the parent presents the current IFSP/IEP. For a child who moves from another state, if further evaluation is desired to determine if child meets PA criteria for eligibility, services must be provided until such an evaluation can be completed</p> <p>Infant/Toddler Requirements §303.344(h)</p> <p>Preschool Requirements §300.323(e) §300.305(f) §14.154(g)</p>
<b>Data Sources</b>
<p>Self Verification Part 1—Written policy Child record review—Item 75—IFSP/IEP, Service documentation such as therapy notes, billing records, attendance records, etc.</p>
<b>Score</b>
<p>Maximum Score—5 points</p> <p>5 points—Evidence exists that any child that moves into the EI program's area with a current IFSP/IEP is provided with timely (14days) supports and services comparable to those on the existing plan in a timely manner following the parent presenting the IFSP/IEP and services are continued until the EI program evaluates the child, if necessary, and adopts the current document, creates a new IFSP/IEP, or determines that the child is no longer eligible for EI.</p> <p>5 points—If no children move into the EI program with a current IFSP/IEP, award the points as long as a written policy describing the procedure that would be used exists.</p> <p>0 points—EI program does not honor current IFSP/IEP provided by a parent of a child that moves into the EI programs area and/or the program does not have a written policy.</p> <p>.</p>

<b>Indicator: Quality Early Intervention Service Delivery</b>
<b>Item SD-14:</b> Does the IFSP/IEP include procedures for measuring progress and the schedule for reporting progress to parents? During periodic IFSP/IEP review, is progress monitoring information used by the Early Intervention provider to determine the effectiveness of interventions being used with the child and/or family, and to revise interventions appropriately?
<b>Infant/Toddler and Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>• The IFSP/IEP team documents how to measure progress on each goal.</li> <li>• The IFSP/IEP team documents the degree to which progress is being made – This may be written on the IFSP/IEP or noted in progress monitoring records</li> <li>• The IFSP/IEP team revises the strategies as needed to maintain or increase the rate of attainment or level of skills—may be found as IFSP/IEP revisions or as service notes or lesson plans</li> <li>• The IFSP/IEP team documents revisions or modifications to the outcomes as necessary</li> <li>• When revising the IFSP/IEP the team addresses any lack of expected progress toward the goals</li> </ul> <p>A written (words, graphs, other visual representation) report of progress on outcomes/goals is provided to parents on the schedule agreed upon in the IFSP/IEP</p> <p>Infant/Toddler Requirements  §303.342(b)(1)(i-ii)  §4226.71(b)(1)  OCDEL Announcement EI 09 #11 Infant/Toddler EI Service Coordination</p> <p>Preschool Requirements  §300.324(b)(ii)(A-B)</p>
<b>Data Sources</b>
Child Record Review—Items 76-81—Progress monitoring data and analysis, session notes, service support plans, lesson plans Progress reports to Service Coordinator/parent
<b>Score</b>
<p>Maximum Score—20 points</p> <p>20 points—Of the records reviewed, <b>90-100%</b> provide evidence that progress is being monitored regularly, <b>and</b> that the data collected is used to make decisions about intervention strategies.</p> <p>15 points—Of the records reviewed, <b>80-89%</b> provide evidence that progress is being monitored regularly, <b>and</b> that the data collected is used to make decisions about intervention strategies.</p> <p>10 points—Of the records reviewed, <b>70-79%</b> provide evidence that progress is being monitored regularly, <b>and</b> that the data collected is used to make decisions about</p>

intervention strategies.

5 points—Of the records reviewed, **60-69%** provide evidence that progress is being monitored regularly **and** that the data collected is used to make decisions about intervention strategies.

0 points—Of the records reviewed, **less than 60%** provide evidence that progress is being monitored regularly **and** that the data collected is used to make decisions about intervention strategies.

Note to Chairperson: If they are collecting data but not using it to guide intervention strategies, they do not receive points.

<b>Indicator: Transition</b>
<b>Item T-1:</b> Is there a written transition agreement and is there evidence that it was reviewed within the past year?
<b>Infant/Toddler and Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>• The LICC agreement is required to address transition.</li> <li>• The agreement includes timelines for activities and identifies who is responsible for initiation, participation in and/or completion of those activities</li> <li>• Agreement was reviewed and updated as necessary within the past 12 months.</li> </ul> <p>Act 212 §104 (b)(9) OCDEL Announcement: EI 09-#10</p>
<b>Data Sources</b>
<p>Self Verification Part 1 LICC agreement Other supplementary written agreements</p>
<b>Score</b>
<p>Maximum Score—10 points</p> <p>10 points—A written transition agreement that meets the requirements exists between the appropriate Part C and Part B agencies <b>and</b> it has been reviewed within the past 12 months.</p> <p>5 points—A written transition agreement exists between the appropriate Part C and Part B agencies <b>but</b> it has <b>not</b> been reviewed within the past 12 months.</p> <p>0 points—A written transition agreement does not exist, or it does not include timelines and people responsible for activities.</p>

<b>Indicator: Transition</b>
<b>Item T-2:</b> Is a letter of invitation sent to the family and the Preschool EI program in time to be received 30 days prior to the transition conference?
<b>Infant/Toddler and Preschool EI Criteria</b>
<p>As described in OCDEL letter issued 6/30/05 the invitation letter must be received at least 30 days prior to the transition meeting.</p> <p>Invitation letters must be used. There are two letters, one for transition to Preschool EI and one to transition to other services because the toddler is not eligible for Early Intervention services.</p> <p>§303.148(b)(1)</p> <p>§4226.77(b)(1)</p> <p>OCDEL Announcement EI 09#10</p>
<b>Data Sources</b>
<p>Statewide Data System data</p> <p>Child record review—Item 82—Invitation</p>
<b>Score</b>
<p>Maximum Score—20 points for Infant/Toddler programs only. <b>Review this for Preschool programs but do not score.</b></p> <p>20 points—<b>95-100%</b> of all notifications 30 days prior to transition conferences as denoted in the statewide data system report. record sample validates program data report</p> <p>15 points—In <b>85-94%</b> of all notifications 30 days prior to transition conferences as denoted in the statewide data system report. Record sample validates program data report</p> <p>10 points— In <b>75-84%</b> of all notifications 30 days prior to transition conferences as denoted in the statewide data system report. Record sample validates program data report</p> <p>0 points— In less than <b>75%</b> of all notifications 30 days prior to transition conferences as denoted in the statewide data system report. Record sample validates program data report</p>

Note to Chairperson: If the family agrees to a meeting sooner than 30 days, i.e. scheduling for later in the year, but an opening occurs and the family wants to meet with the preschool EI program documentation would be accepted and no need for a letter. Also if the child comes in late to I/T, i.e. 94 days before 3<sup>rd</sup> birthday, not enough time to schedule and give 30 day notice and get 90 day meeting done, documentation that supports this is acceptable.

<b>Indicator: Transition</b>
<b>Item T-3:</b> 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?
<b>Infant/Toddler and Preschool EI Criteria</b>
<ul style="list-style-type: none"> <li>With approval from the family, a transition conference must be held with parent, Infant/Toddler EI program and Preschool EI program representatives, not less than 90 days and not more than 9 months prior to the child's third birthday.</li> <li>The Infant/Toddler EI program convenes the meeting at mutual convenience of the participants.</li> </ul> <p>Infant/Toddler Requirements  §303.148(b)(2)(i)  §4226.77(b)(2)  OCDEL Announcement EI 09 #10  Preschool Requirements  §300.124(c)</p>
<b>Data Sources</b>
Statewide Data System data Child Record Review—Item 83—Transition meeting invitation, transition meeting notes
<b>Score</b>
<p>Maximum Score—20 points For Preschool, if transition meetings were late or Preschool staff did not attend, check when invitation was received. If invitation was late, do not penalize the Preschool program. See scoring summary for additional guidance.</p> <p>20 points— <b>95-100%</b> of all children who have transitioned had their transition meetings within the appropriate timelines and with appropriate members attending, as denoted on the statewide data system report. The record sample validates program data report</p> <p>15 points—<b>85-94%</b> of all children who have transitioned had their transition meetings within the appropriate timelines and with appropriate members attending, as denoted on the statewide data system report. The record sample validates program data report</p> <p>10 points—<b>80-84%</b> of all children who have transitioned had their transition meetings within the appropriate timelines and with appropriate members attending, as denoted on the statewide data system report. The record sample validates program data report</p> <p>0 points—Less than <b>80%</b> of all children who have transitioned had their transition meetings within the appropriate timelines and with appropriate members attending, as denoted on the statewide data system report. The record sample validates program data report</p>

<b>Indicator: Transition</b>	
<b>Item T-4:</b> Does the IFSP include 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?	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
IFSP/IEP developed closest to the child's second birthday must include outcomes that address child and family needs related to transition to Preschool EI program or community. §303.344(h) §4226.74(8) §4226.77(b)(5) OCDEL Announcement EI 09#10	<b>NA</b>
<b>Data Sources</b>	
Child Record Review—Item 84—Transition information in the IFSP Observation—IFSP/IEP Self Verification Worksheet 13	
<b>Score</b>	
<p>Maximum Score—20 points</p> <p>20 points—Of the records reviewed, <b>95-100%</b> of the records of children over the age of two contain evidence of individualized steps to support transition to Preschool EI or other community services.</p> <p>10 points—Of the records reviewed, <b>80-94%</b> of the records of children over the age of two contain evidence of individualized steps to support transition to Preschool EI or other community services</p> <p>5 points—Of the records reviewed, <b>50-79%</b> of the records of children over the age of two contain evidence of individualized steps to support transition to Preschool EI or other community services.</p> <p>0 points—Of the records reviewed, <b>less than 50%</b> of the records of children over the age of two contain evidence of individualized steps to support transition to Preschool EI or other community services.</p>	

Note to Chairperson: If there is a quality issue, if a transition plan is there, but not individualized, still score record yes, however recommendations for an Improvement plan activity to address this concern must be conveyed.

<b>Indicator: Transition</b>	
<b>Item T-5:</b> For an eligible child transitioning from Infant/Toddler Early Intervention, is the IEP developed and implemented by child's third birthday?	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
N/A	For children transitioning from the Infant/Toddler Early Intervention program the IEP must be in place by the child's third birthday unless a delay is due to family reason or act of nature. Although Preschool programs may adopt a child's IFSP when the child turns 3, this practice should be on a limited basis §300.124(b) OCDEL Announcement EI-09#03
<b>Data Sources</b>	
Statewide Data System Child Record Reviews—Item 85—IEP—Date of start of services. Attendance records, therapy notes, other evidence of service delivery Determinations or Low Performer information	
<b>Score</b>	
Maximum Score—20 points	
20 points— <b>95-100%</b> of the IEPs were developed by the child's third birthday, as denoted on the statewide data report. The record sample validates program data report.	
10 points— <b>85-94%</b> of the IEPs were developed by the child's third birthday, as denoted on the statewide data report. The record sample validates program data report.	
0 points—less <b>than 85%</b> of the IEPs were developed by the child's third birthday, as denoted on the statewide data report. The record sample validates program data report.	

<b>Indicator: Transition</b>	
<b>Item T-6:</b> Are processes in place that meet the requirements of the Announcement/BEC to ensure a smooth transition to Kindergarten or First Grade?	
<b>Infant/Toddler EI Criteria</b>	<b>Preschool EI Criteria</b>
N/A	<ul style="list-style-type: none"> <li>• By February 1, the Preschool EI program must identify all children in their program who are approaching the age for K or first grade in their district of residence.</li> <li>• By February 1, the Preschool EI program must send a letter to all parents of children meeting the criteria above, 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.</li> <li>• Transition meeting must be convened by the end of February for all children approaching the age of kindergarten or 1<sup>st</sup> grade. The school district of residence must participate.</li> <li>• The 'Notice of Options' form was reviewed with parents.</li> </ul> <p>Announcement/BEC EI- 9 #19</p>
<b>Data Sources</b>	
Self Verification Part 1—Policy Review Local entity policies/procedures, local data system report, child record review, intent to register form, Notice of options form. Record documentation Child record review items 86-88	
<b>Score</b>	
Maximum Score—20 points  <b>20 points—95-100%</b> -of the listed criteria are met for all children transitioning to school age  <b>10 points- 89-94%</b> — of the listed criteria is met for all children transitioning to school age  <b>0 points — Less than 89%</b> of the listed criteria is met for all children transitioning to school age.	