

Verification Tool

#2 Verification Requirements

Early Intervention Verification Tool

Requirements Format

Table of Contents	Page
Use of Requirements	3
Requirements Components	
General Supervision:	4-17
Overall program management including data system management, policies and supervision of contracted providers	
Fiscal Supervision:	18-24
Appropriate use of funding streams	
Public Awareness and Child Find:	25-27
Quality Framework:	28-36
Structure of EI operations including timelines, use of appropriate forms and appropriate documentation entered onto forms	
Quality Service Delivery:	37-50
Use of appropriate practices, special considerations and team membership	
Transition:	50-55
Transition at 3, out of EI at any age, and to kindergarten	

Specific Use of Requirements—Please Read Carefully!

This document describes each item that the Bureau of Early Intervention Services (BEIS) verifies to determine whether the Early Intervention (EI) program is meeting all of the applicable federal and state laws, regulations and requirements. During the 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—11 items)
- Fiscal Supervision (FS—3 items)
- Public Awareness and Child Find (CF-2 items)
- Quality Framework (QF—7 items)
- Quality Service Delivery (SD—10 items)
- Transition (T—5 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.

Indicator: General Supervision
Item GS-1: Did the Infant/Toddler or Preschool EI program correct ALL areas of not fully meeting requirements and/or non-compliance?
Infant/Toddler and Preschool EI Criteria
<p>Program improvement must be completed per the timelines specified in the verification improvement plan, but not to exceed 365 days from the issuance of the verification report. There is evidence from 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>Program corrected all identified noncompliance issues during the annual data review. There is evidence from subsequent data reviews, the Infant/Toddler or Preschool EI program corrected ALL noncompliance per the timelines specified in the letter of findings but not to exceed 365 days.</p> <p><u>Infant/Toddler Requirements:</u> §303.120 (a)(2)(iv) §303.700(e) Announcement: EI 11 #03</p> <p><u>Preschool Requirements:</u> §300.600(b)(2) §300.600(d) Announcement: EI 11 #03</p>
Data Sources
<p>Verification Improvement Plan—From previous verification review</p> <p>Appropriate documentation as per Verification Improvement Plan (TA plan, written policies, letter; all areas were corrected, record reviews, etc.)</p> <p>Review of the program’s Statewide Data System reports.</p> <p>Use any of the validation methods outlined in the verification requirements.</p>
Score
<p>Maximum points—20 points</p> <p>20 points All previous areas of non-compliance from the most recent verification and annual data review were corrected within 365 days of the issuance of the finding (verification report and letter) as verified by BEIS.</p> <p>10 points All previous areas of non-compliance from the most recent verification and annual data review have been corrected, but it took more than 365 days from the date of the issuance of the finding to do so.</p> <p>0 points Verification Improvement Plan was not followed and previous areas of non-compliance have not been corrected.</p>

Indicator: General Supervision	
Item GS-2: 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?	
Infant/Toddler EI Criteria	Preschool EI Criteria
<p>SC entities (county/contracted) must be monitored annually:</p> <ul style="list-style-type: none"> • SC entities are monitoring utilizing the SC Monitoring Tool • Evidence of the development and implementation of Improvement Plans to address corrections as identified via the SC Monitoring Tool. • Documentation/evidence that all areas identified as in need of improvement has been resolved per validation of an Improvement Plan. <p>Providers must be monitored annually:</p> <ul style="list-style-type: none"> • Contract providers are monitored utilizing the Provider Monitoring Tool. • Evidence of the development and implementation of Improvement Plans to address corrections as identified via the Provider Monitoring Tool. • Documentation/evidence that all areas identified as in need of improvement have been resolved per validation of an Improvement Plan. <p><u>Infant/Toddler Requirements:</u> Title 55, PA Code Chapter 4225 & 4226.27 §303.120 (a)(2)(iv)§303.501 §303.700(e) §4226.27 4300 regulations Announcement: EI 09 #5</p>	<p>Providers must be monitored annually:</p> <ul style="list-style-type: none"> • Contract providers are monitored utilizing the Provider Monitoring Tool • Evidence of the development and implementation of Improvement Plans to address corrections as identified via the Provider Monitoring Tool. • Documentation/evidence that all areas identified as in need of improvement have been resolved per validation of an Improvement Plan. <p><u>Preschool Requirements:</u> Fiscal Guidelines Rider YY Agreement §300.600(b)(2) §300.600(d) Announcement: EI 09 #5</p>
Data Sources	
Provider Monitoring Tool Service Coordination Monitoring Tool Policy and Procedure Manuals Contracts and Operating agreements Any other type of agreements	Improvement plans Validation summaries closing IP's

Score
<p>Maximum Score—15 points</p> <p>15 points 95—100% of contracted providers and service coordination entities were monitored and a plan implemented to address & verify/validate correction of all areas of non-compliance with providers who had non-compliance issues.</p> <p>10 points 85—94% of contracted providers and service coordination entities were monitored and a plan implemented to address & verify/validate correction of all areas of non-compliance with providers who had non-compliance issues.</p> <p>5 points 75-84% of contracted providers and service coordination entities were monitored and a plan implemented to address & verify/validate correction of all areas of non-compliance with providers who had non-compliance issues.</p> <p>0 points Less than 75% of contracted providers and service coordination entities were monitored or have little or no verification/validation that non-compliance issues were corrected.</p>

Indicator: General Supervision	
Item GS-3: 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?	
Infant/Toddler EI Criteria	Preschool EI Criteria
<ul style="list-style-type: none"> • There is evidence that the Infant/Toddler EI Program is using the Statewide Data System and local data to monitor their own program. • The program is extracting and utilizing data to plan for and manage program implementation. • Demonstration of what data reports are utilized to address areas of non compliance and to provide for quality management. • Evidence/demonstration of how reports are utilized. • System data is accurate and entered in a timely manner. 	<ul style="list-style-type: none"> • There is evidence that the Preschool EI Program is using the Statewide Data System and local data to monitor their own program. • The program is extracting and utilizing data to plan for and manage program implementation. • Demonstration of what data reports are utilized to address areas of non compliance and to provide for quality management. • Evidence/demonstration of how reports are utilized. • System data is accurate and entered in a timely manner.
<u>Infant/Toddler Requirements:</u> §4226.32(a)	<u>Preschool Requirements:</u> §14.158
Data Sources	
Statewide Data System reports Statewide Data System error reports Local data system reports Program meeting minutes, actions, and subsequent outcomes	
Score	
Maximum score—15 points Award 3 points per bullet when there is clear evidence that the Infant/Toddler or Preschool EI program meets the item. <ul style="list-style-type: none"> • Is the data manager proficient in using the data system (able to enter data, data is accurate, correct errors and create reports)? • Is the EI Coordinator/Preschool EI Supervisor able to analyze data reports? • Is the Infant/Toddler or Preschool EI program able to explain the data reports from the Statewide Data System and local data system? • Is there evidence that data (Statewide Data system, local data system) are utilized in the management of the program? (demonstration/evidence of program change, minutes from meetings analysis reports) • Is the system data accurate and entered in a timely manner? 	

Indicator: General Supervision	
Item GS-4: 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?	
Infant/Toddler EI Criteria	Preschool EI Criteria
<ul style="list-style-type: none"> • Agency coordinates services with the Office of Dispute Resolution (ODR). • Written policies/procedures pertaining to local Conflict Resolution including initial problem solving procedures; IFSP Facilitation and Mediation, and Due Process. • There are written independent educational evaluation procedures (IEE). • Surrogate parents are provided when needed. • Written policies on confidentiality comply with FERPA. • There are written policies/procedures that address requirements /local entity processes in response to new BEIS announcements and/or updates to regulations as related to procedural safeguards. • There are written policies describing the ITF Fair Hearing and Appeal process. 	<ul style="list-style-type: none"> • Agency coordinates services with the Office of Dispute Resolution (ODR). • Written policies/procedures pertaining to local Conflict Resolution including initial problem solving procedures; IEP Facilitation and Mediation, and Due Process. • There are written independent educational evaluation procedures (IEE). • Surrogate parents are provided when needed. • Written policies on confidentiality comply with FERPA. • There are written policies/procedures that address requirements/local entity processes in response to new-BEIS announcements and/or updates to regulations as related to procedural safeguards.
<u>Infant/Toddler Requirements:</u> §4226.96-103§4226.100(b) (1)§303.422 FERPA Part 99 Announcement: EI 12 #5 (related to mediation) and 11 #1 (related to state complaint procedures), 12 #3 (related to confidentiality)	<u>Preschool Requirements:</u> §300.506-508 §300.502 §300.519 FERPA Part 99 and §300.610-627 Announcement: EI 12 #5 (related to mediation) and 11 #1 (related to state complaint procedures)
Data Sources	
Written policies and procedures	
Score	
Maximum Score—10 points	
10 points Written policies exist that meet all the specified requirements.	

5 points Written policies exist that meet **some** of the specified requirements and/or **need improvement**.

0 points Policies are missing or do not meet all the specified requirements.

Indicator: General Supervision

Item GS-5: Does the Infant/Toddler or Preschool EI program inform parents about the procedural safeguards available to them?

Infant/Toddler EI Criteria	Preschool EI Criteria
<ul style="list-style-type: none"> • Parents of infants and toddlers are provided with a Parent's Rights Agreement (PRA) at the initial visit, screening, evaluation, IFSP meeting and/or change in service. • Evidence exist that agency personnel are familiar with the provision of procedural safeguards, and can explain them to families. • Evidence exists that the program informs families of informal complaint resolution processes. • Evidence exists that families are aware of who to call when/if they have a concern. • No evidence exists (no complaints filed) specifically about families filing a complaint against the program stating that they were not informed of their procedural safeguards. • Parent has signed the PRA before initial services began and/or before any change of EI services. • Evidence exists that the program informs families of the Fair Hearing and Appeal Process for the ITF Waiver (for children eligible for ITF Waiver). • Evidence exists that the program informs families of the statewide provider list and offers a choice of providers (required for children eligible for ITF Waiver; however programs are encouraged to implement this requirement for all children regardless of funding). 	<ul style="list-style-type: none"> • Parents of Preschoolers are provided with a Procedural Safeguards Notice at the development of the child's initial IEP, and ongoing as appropriate. • Evidence exist that agency personnel are familiar with the provision of procedural safeguards, and can explain them to families. • Evidence exists that families are aware of who to call when/if they have a concern. • Evidence exists that the program informs families of the informal complaint resolution processes. • No evidence exists (no complaints filed) specifically about families filing a complaint against the program stating that they were not informed of their procedural safeguards. • Parent has signed the NOREP before initial services began and/or before any change of placement. <p><u>Preschool Requirements:</u> §300.504; §300.300 parental consent; §300.612-621 examine records; §300.503 prior notice; §300.501(b) participate in meetings; §300.101 FAPE</p>

<p><u>Infant/Toddler Requirements:</u> § 303.7, §303.25, and §303.420 and §4226.92 for parental consent; §303.401 and §4226.94 for examination of records; §303.421 and §4226.95 for prior notice; §303.420 and §4226.93 for accept or decline services</p>	
Data Sources	
<p>Child record review for evidence that families have received Parents' Rights Agreement (PRA) (I/T) or Procedural Safeguards Notice (PS) Policies/procedures identifying the process to be utilized by providing staff information for addressing procedural safeguards with families. Resource guides/packets/materials provided to families either at time of enrollment and/or during conflict resolution actions Observation of Initial Visit meeting or IFSP/IEP meeting Discussion with or documentation of the discussions with parents Concerns /complaints/formal complaints log ITF Waiver form (457A) Due Process/Mediation/Complaints data Signed and dated Waiver Checklist Family Survey Data (statewide average and local %)</p>	
Score	
<p>Maximum Score—10 points</p> <p>10 points 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 (457A). Family survey data validates the record sample review.*</p> <p>5 points 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 (457A). Family survey data validates the record sample review.*</p> <p>3 points 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(457A). Family survey data validates the record sample review.*</p> <p>0 points 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 (457A) (if a founded complaint was received then the score will be zero) Family survey data validates the record sample. *</p>	

Note to Chairperson: 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.

*If record review is inconsistent with Statewide Data system information, check extra records to ensure that problem is not due to a sampling 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.

Indicator: General Supervision

Item GS-6: Does the Infant/Toddler or Preschool EI program follow all procedural safeguard policies and timelines and use data from conflicts for quality improvements?

Infant/Toddler EI Criteria	Preschool EI Criteria
<ul style="list-style-type: none"> • Are all procedural safeguard policies followed as specified in Chapter 4226, IDEA, Federal Regulations, or BEIS Announcements. • Were there patterns identified in the types of conflicts that lead to mediation/due process? (Quality) • Is there a mechanism to track complaints, mediations, and due process requests? • What is the Infant/Toddler EI program doing to address any patterns identified through tracking of conflicts? <p><u>Infant/Toddler Requirements:</u> §303.431 and §4226. 98 Mediation §303.435-438 and §4226. 99-102 Due Process §303.436 and §4226.100 Hearing Rights §303.430 (e) and §4226.103 Status During Hearing Announcement: EI 12 #5 (related to mediation) and 11 #1 (related to state complaint procedures)</p>	<ul style="list-style-type: none"> • Are all procedural safeguard policies followed as specified in Chapter 14, IDEA, Federal Regulations and BEIS Announcements. • Were there patterns identified in the types of conflicts that lead to mediation/due process? (Quality) • Is there a mechanism to track complaints, mediations, and due process requests? • What is the Preschool EI program doing to address any patterns identified through tracking of conflicts? <p><u>Preschool Requirements:</u> §300.503 Mediation §300.507-508 Due Process §300.510 Resolution Process §300.512 Hearing Rights §300.518 Status During Hearing Announcement: EI 11 #1 (related to state complaint procedures)</p>
Data Sources	
ODR reports including IFSP/IEP Facilitation; Mediation and Due Process Report of complaints from BEIS Local entity's internal tracking mechanism for parent concerns, complaints, IFSP/IEP Facilitation, Mediation, and Due Process	

Score
Maximum Score—10 points
<p>10 points 100% of conflict resolution action met timelines and program policies exist that address how procedural safeguards are to be implemented.</p> <p>10 points No conflict resolution actions were required and program policies exist that address how procedural safeguards are to be implemented.</p> <p>5 points One timeline was missed or program policies do not address how procedural safeguards are to be implemented.</p> <p>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.</p>

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

Indicator: General Supervision	
Item GS-8: Does the Infant/Toddler or Preschool EI program ensure that all Early Intervention personnel, including contracted personnel, meet necessary qualifications?*	
Infant/Toddler EI Criteria	Preschool EI Criteria
<ul style="list-style-type: none"> • Employees and contracted providers meet state certification requirements or licensure as appropriate for their positions. §303.31 and §4226.5. • Employees and contracted providers meet the requirements for their positions as specified in the state Early Intervention regulations and ITF Waiver. • Employees and contracted providers have the required child abuse and criminal history clearances as defined in PA Act 33,34 and PA Act 151(FBI fingerprinting) and §4226.31. • Updated licenses and certificates are in personnel records. • The Infant/Toddler EI program identified and remediated situations in which the provider did not meet qualification standards. <p><u>Infant/Toddler Requirements:</u> §4226.5 and §4226.53-54 Announcement: EI 09 #5 & EI 09 #17</p>	<ul style="list-style-type: none"> • Employees and contracted providers meet requirements for certificate of competency as appropriate for their positions. • Employees and contracted providers meet requirements for instructional paraprofessionals and personal care aides (§300.18; §14.105) as appropriate for their position. • Preschool EI Program Representatives meet the certification and requirements for their role. (Chapter 14, 34 CFR 300.344(a)(4)). • Employees and contracted providers have the required child abuse and criminal history clearances as defined in PA Act 33, 34 and PA Act 151 (FBI fingerprinting) • Updated licenses and certificates are in personnel records. • 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. <p><u>Preschool Requirements:</u> Announcement: EI 09 #5 & EI 09 #17</p>
Data Sources	
<p>Personnel record sample that includes 10% (minimum of two) of all staff/contracted (licensed /unlicensed) providers and newly hired staff/contracted (licensed/unlicensed) provider since last fiscal year</p> <p>Completion of Provider Monitoring Tool</p> <p>Internal tracking system for staff and contract providers, Program logs</p>	

Score
Maximum Score—20 points
20 points 100% of sample have appropriate qualifications and clearances.
0 points Less than 100% of sample has appropriate qualifications and clearances.

Indicator: General Supervision	
Item GS-9: 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? *	
Infant/Toddler EI Criteria	Preschool EI Criteria
<p>Employees /contracted personnel who work directly with children and families receive: Pre service training in the following topics:</p> <ul style="list-style-type: none"> • Orientation to EI, including EI services, child development, and community resources. • EI regulations. • Duties and responsibilities of their position. • Family-centered approaches. • Interrelated social, emotional, health, developmental and educational needs of children. • Availability and use of local and state resources. • Services in natural environments. • Fiscal operations and funding sources. • Within 120 days of hire: fire safety, emergency evacuation, first aid, and child CPR. 24 Hours of annual training must include the following topics: • Cultural competence. • Mediation. • Procedural safeguards. • Universal health procedures. • Mandated reporting. • Coordination of transition services for infants and toddlers transitioning to preschool programs or other community programs. • Fire safety, emergency evacuation, first aid, and child CPR. 	<p>Employees /contracted personnel who work directly with children and families has:</p> <ul style="list-style-type: none"> • Act 48 required training for anyone holding PDE certification. • Licensure training requirements as appropriate. • Training applicable to the job the attendee is expected to perform for EI. • Documentation supporting the training activities as listed on the TA plan. • Annual training requirements for instructional paraprofessionals. • Annual training requirements for personal care aides. <p><u>Preschool Requirements:</u> §300.18 Chap. 14.105 Announcement: EI 09 #5</p>

<p>Documentation supporting the training activities as listed on the TA plan. 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.</p> <p><u>Infant/Toddler Requirements:</u> §4226.29 §4226.30 §303.34 Announcement: EI 09 #5</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.) Personnel record sample that includes 10% (minimum of two) of all staff/contracted providers and newly hired staff/contracted providers since last fiscal year. Completion of SC and Provider Monitoring Tool Internal tracking system for staff and contract providers</p>	
Score	
<p>Maximum Score—10 points</p> <p>10 points 95-100% of sample meet pre-service, annual, or Act 48 training requirements. Infant/Toddler & PS EI program maintains the records for the appropriate amount of time.</p> <p>5 points 75-94% of sample meet pre-service, annual, or Act 48 training requirements. Infant/Toddler & PS EI program maintains the records for the appropriate amount of time.</p> <p>0 points Less than 75% of sample meet training requirements, or efforts are not made for staff who do not meet requirements up to standards.</p> <p>0 points Infant/Toddler EI & PS program does not maintain training records for the appropriate amount of time.</p> <p>* must keep check list for at least 4 years</p>	

Indicator : General Supervision	
Item GS-10: Did the Infant/Toddler EI program review the level of care evaluation or re-evaluation determinations? *	
Infant/Toddler EI Criteria	Preschool EI Criteria
A Qualified Professional reviewed the level of care evaluation or re-evaluation. <u>Infant/Toddler Requirements:</u> Announcement: EI 8 #10	N/A
Data Sources	
Child Record Reviews, Form 123 and 123-A	
Score	
Maximum score-10 points	
<p>10 points 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>5 points 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>0 points 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>0 points On-site record review demonstrated inconsistency with the Statewide Data System.</p> <p>Note to Chairperson: If record review is inconsistent with Statewide Data system information, check additional 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>	

Indicator: General Supervision	
Item GS-11: Does the Infant/Toddler or Preschool EI program support and participate in Local Interagency Coordinating Council?	
Infant/Toddler and Preschool EI Criteria	
<ul style="list-style-type: none"> • Local Interagency Coordinating Council meets at least four times per year. • Early Intervention Program representative attends at least 75% of meetings per year. • Local Interagency Agreement specifies how the EI program supports LICC. • 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. • The program utilizes the LICC input into the development of a joint TA plan. 	
<u>Infant/Toddler & Preschool Requirements:</u> Act 212 §104 (b)(9)	
Data Sources	
Local Interagency Agreement LICC meeting minutes Public notices about LICC activities	Current joint TA plan
Score	
Maximum score-10 points	
10 points Evidence exists that all five of the listed criteria have been met.	
5 points Three of the five listed criteria have been met.	
0 points Two or fewer of the five listed criteria have been met.	

Indicator: Fiscal Supervision	
Item FS-1: Use of Federal Funds: Are fiscal controls in place to ensure appropriate use of ITF Waiver and federal IDEA 611 Component 1 funds and IDEA 619 funds? *	
Infant/Toddler EI Criteria	Preschool EI Criteria
<p>There is evidence that the Infant/Toddler program followed federal guidelines for expenditures within this funding stream <u>such as</u>:</p> <ul style="list-style-type: none"> • Documentation of discussions with families about available sources of funding, displaying that the program continues to enroll children in ITF Waiver. • Review by BEIS that providers' billed rates match approved contracted rates for low incidence services not listed on the state set rate fee schedule. • The standardized contracts are being utilized. • Error reporting/resolution using claims submission data. • Use PELICAN to analyze encumbered funds versus expensed and review of overall utilization percentage to manage funds. <p><u>Infant/Toddler Requirements:</u> Announcement: EI 10 #01 & 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 <u>such as</u>:</p> <ul style="list-style-type: none"> • Only allowable costs as per fiscal guidelines. • Staff positions and private providers who are not eligible to bill Medical Access. • Funds used for private providers are for non-Medical Access billable services. • Detailed contracts for all private providers (no funding limit applied) containing appropriate language. • Detailed contract invoices that include names of children served, specific services, hours of service and rate costs per hour. • Leases/rentals of office or classroom space representing fair market value (if not school district space). • All budget expenditure reports for previous fiscal year were submitted by due date. • Audit costs for Non-EI programs are not charged to this budget. <p><u>Preschool Requirements:</u> Fiscal Guidelines, IDEA 611, Component 1 and Section 619</p>

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

Indicator: Fiscal Supervision	
Item FS-2: Use of State and Local Early Intervention Funds	
Are there fiscal controls in place to ensure appropriate use of these funds?	
Infant/Toddler EI Criteria	Preschool EI Criteria
<p>There is evidence that the Infant/Toddler program followed state guidelines for expenditures within this funding source such as:</p> <ul style="list-style-type: none"> • Productivity of service coordination positions are monitored to maximize number of children served and to maintain appropriate caseloads. • Procedure in place to analyze SC direct and indirect time. • Re budget: timely submission, issues resolved. • Documentation of training expenditures does not exceed training allocation. • Appropriate use of administration dollars, details on the staff that are assigned to the EI Admin categorical. • Contracts contain all applicable regulatory requirements. <p><u>Infant/Toddler Requirements:</u> §4226.11 §4226.13 §4226.14 §4226.15 §4600 Regulations §4300 Regulations §303.510 §303.520 Announcement: EI 10 #1</p>	<p>There is evidence that the Preschool program followed state guidelines as per Rider YY for expenditures within this funding source such as:</p> <ul style="list-style-type: none"> • Submission of all Fiscal reports by designated due date even if extension granted. • Appropriate training expenditures, not exceeding the amount of a maximum of 2% or no less than 1% of state allocation. • Documentation of training expenditures for current year are appropriate. • Budget worksheets in agreement with allocation amount. • Space costs for classrooms or assessment areas only are in alignment with fair market value of the area. • Detailed contracts for private providers, containing appropriate language and corresponding invoices as per contract template. • Detailed contract invoices that include names of children served, specific services, hours of service and rate costs per hour. • Teachers/therapists do not exceed state caseload regulations. • Preschool EI funds are not used to pay for children in Act 30 status. <p><u>Preschool Requirements:</u> OCDEL State Early Intervention Fiscal/Contract Guidelines</p>

Infant/Toddler EI Data Sources	Preschool EI Data Sources
<p>STATEWIDE DATA SYSTEM Expenditure reports</p> <p>Current year funding spreadsheet by categorical (local report)</p> <p>Local FTE report displaying staff assigned to the EI 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>County and provider contracts (including current provider rates) and Payment Files for services</p> <p>Fee Schedules as appropriate</p>	<p>Fiscal 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>List of professional staff and assigned caseload. Staff roster to include staff name, discipline, FTE and class/caseload size. Review a minimum of 5% in each discipline (no less than 2, no more than 10).</p>
Score	
<p>Maximum Score—20 points</p> <p>20 points Documentation is available that all criteria are met.</p> <p>15 points Documentation is available that 75-99% of criteria are met.</p> <p>10 points Documentation is available that 50-74% of criteria are met.</p> <p>5 points Documentation is available that 25-49% of criteria are met.</p> <p>0 points Documentation is available that 0-24% of criteria are met or insufficient documentation exists to determine whether criteria are met.</p>	

Indicator: Fiscal Supervision	
Item FS-3: Use of Medical Assistance funds	
Is the EI System appropriately accessing Medical Assistance funding?	
Infant/Toddler EI Criteria	Preschool EI Criteria
<p>There is evidence:</p> <ul style="list-style-type: none"> • Infant/Toddler EI Program is successfully generating the amount of MA funds as per the BEIS allocation for the current year. • Infant/Toddler EI Program successfully generated the amount of MA funds as per the BEIS allocation for the previous year. • Review and analysis of current PELICAN status reports of MA Billing is occurring. • Contract language with providers requires enrollment and the completion of the PROMISe billing process. • An effective process for enrolling children in MA exists. • An effective process for obtaining permission to bill MA exists. <p><u>Infant/Toddler Requirements:</u> §4226.11-15 Medical Assistance 837 Handbook Announcements: EI 7 #13 and EI 8 #10</p>	<ul style="list-style-type: none"> • Preschool EI Program is successfully generating the amount of estimated MA funds as per the BEIS allocation for the current year. • Preschool EI Program successfully generated the amount of estimated MA funds as per the BEIS allocation for the previous year. • Review and analysis of current status of MA Billing is occurring. • Submission of claims for all eligible services provided is occurring. • Contract language with providers requires enrollment and the completion of the MA billing process. • An effective process for enrolling children in MA exists. • An effective process for obtaining permission to bill MA exists. • Expenditures of Medical Assistance funds are used to support core EI program services only. <p><u>Preschool Requirements:</u> OCDEL State Early Intervention Fiscal Guidelines School-Based Access Program Manual</p>
Infant/Toddler EI Data Sources	Preschool EI Data Sources
<p>Allocation including the current MA funds and the total expenditures billed to MA.</p> <p>All MA earned revenue as of July 1 through last day of previous month.</p> <p>Previous year MA funds.</p> <p>Total of all MA funds for previous year (SC</p>	<p>Allocation including the current MA estimated funds and the total expenditures billed to MA.</p> <p>All MA earned funds as of July 1 through last day of previous month. (5% or minimum of two service provider slips)</p>

<p>and providers).</p> <p>Process/procedure to review PELICAN data and track all MA.</p> <p>SC documentation of funding discussions and IFSPs.</p> <p>Copies of current contracts for service providers that contain Chapter 4226 and other applicable regulatory language.</p> <p>Analysis of child data:</p> <ul style="list-style-type: none"> • Aggregate number of children served compared to: <ul style="list-style-type: none"> ○ Number of children enrolled in MA. ○ Number of children receiving MA reimbursed services. ○ Number of children eligible for MA whose parents denied permission to bill MA. <p>Written policies and procedures pertaining to enrollment and billing for MA.</p>	<p>Previous year MA funds projection by BEIS.</p> <p>Total of all MA earned funds for previous year.</p> <p>Copy of MA budget for current year.</p> <p>Leader Services Annual Management Report for previous year.</p> <p>Leader Services Monthly Management reports for past three months.</p> <p>Page in contract with private providers 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"> • Aggregate number of children served compared to: <ul style="list-style-type: none"> ○ Number of children eligible for MA billable services. ○ Number of children receiving MA reimbursed services. ○ Number of children eligible for MA whose parents denied permission to bill MA. <p>Written policies and procedures pertaining to enrollment and 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>
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Score	
Maximum Score—20 points	
20 points	Documentation is available that all criteria are met.
15 points	Documentation is available that 75-99% of criteria are met.
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.

Indicator: Public Awareness and Child Find
Item CF-1: Does the Infant/Toddler or Preschool EI program serve an appropriate number of eligible children that reflects local area demographics?
Infant/Toddler and Preschool EI Criteria
<p>Evidence exists that data is used to evaluate child find practices. Percentage of children served compared to average percentage served throughout PA.</p> <ul style="list-style-type: none"> Percentage of children served by race/ethnicity compared to local demographics. Documentation of outreach to locate, identify and serve children with risk factors: <ul style="list-style-type: none"> Migrant families. Children experiencing homelessness and their families. Children in foster care and wards of the state. Premature infants. Infants with other physical risk factors associated with learning or developmental complications. Children involved in substantiated case of child abuse or neglect. Children who are directly affected by illegal substance abuse or withdrawal symptoms resulting from prenatal drug exposure. Percentage of children eligible under each disability category is proportional to state and regional averages. Evidence of coordination with all major entities responsible for administering various education, health and social service programs for the purposes of identifying children as early as possible. Evidence exists that the program monitors data related to its child find activities to ensure that its efforts are effective. What are local risk factors? How are programs outreaching to children with risk factors in their area? Did the IT or Preschool EI program serve their targeted child count as agreed to with the Department for the previous fiscal year? Evidence that program is evaluating and addressing shifting local demographics Preschool Only- Evidence that program is aware of children with disabilities that live in their catchment area attending private schools <p><u>Infant/Toddler Requirements:</u> §303.302 §4226.24 Announcements: EI 09 #13 and EI 12 #2</p> <p><u>Preschool Requirements:</u> §300.111 §14.121 and 14.152(a)</p>

Data Sources
Statewide Data System Risk and Reach Study Department of Health and other sources of demographic statistics for children birth to school age LICC Agreement (section that addresses Child Find)
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 via the LICC Agreement 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 via the LICC Agreement when appropriate in response to this data or the previous year's aggregate or the monthly average of children served per primary allocation was not 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.

Indicator: Public Awareness and Child Find
Item CF-2: Does the Infant/Toddler or Preschool EI program inform the public about the availability of Early Intervention services?
Infant/Toddler and Preschool EI Criteria
<ul style="list-style-type: none"> • A written policy or plan exist either specific to the agency, or preferably, within the LICC Agreement that defines how public awareness activities are to be conducted. • How does the program disseminate information to their primary referral sources and address the timeliness of referrals? • 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) • State child find materials are distributed and utilized.
<u>Infant/Toddler Requirements:</u> §303.301 and §303.303 §4226.24 b) 1-6
<u>Preschool Requirements:</u> § 14.152(b-c)

Data Sources
Newspaper and other media releases LICC Agreement (section that addresses Public Awareness) Documentation of local public awareness/child find activities Child find plan, policies, and/or procedures, State Child Find Materials
Score
<p>Maximum Score—10 points</p> <p>10 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,(LICC Agreement) and that they review the outcomes of the public awareness activities to assure that their efforts are effective.</p> <p>5 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>

Indicator: Quality Framework	
Item QF-1: Do personnel independent of the provision of services conduct the initial evaluation?	
Infant/Toddler EI Criteria	Preschool EI Criteria
<ul style="list-style-type: none"> The initial evaluation is conducted by person(s) or personnel independent of service provision. 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. Waiver that describes the controls for evaluation process is in place. <p><u>Infant/Toddler Requirements:</u> §4226.61(a)(2)</p>	N/A
Data Sources	
Waiver of regulations if appropriate Child Record Review Evaluation team members different from service delivery personnel	
Score	
<p>Maximum Score—5 points</p> <p>5 points—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.</p> <p>3 points—Waiver that describes the controls for evaluation process is in place also displays efforts taken to meet requirement.</p> <p>0 points—There is no separation of evaluation and service delivery team membership and no waiver of the requirement of this separation.</p>	

Indicator: Quality Framework	
Item QF-2: Is there evidence that children have met the criteria for eligibility and does the evaluation report/assessment of the child 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?	
Infant/Toddler Criteria	Preschool EI Criteria
<ul style="list-style-type: none"> • The evaluation report/assessment of the child 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. • The methods used to determine eligibility follow regulations and requirements. • The evaluation and assessment procedures follow regulations and requirements i.e., in the native language of the child. • When a child is determined not eligible, the parent is provided prior written notice. • 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 can be used to determine eligibility when there are no evaluation instruments to determine eligibility; however it should never negate the results of an evaluation instrument. 	<ul style="list-style-type: none"> • 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. • The methods used to determine eligibility follow regulations and requirements. • If there is a record of screening results indicating a need in any area (such as indicated possible hearing loss noted in newborn hearing screening) but no follow-up evaluation, this standard has not been met. • The evaluation and assessment procedures follow regulations and requirements i.e., in the native language of the child. • When a child is determined not eligible, the parent is provided prior written notice. • The Permission to Evaluate was sent to the family within 10 calendars of receiving the oral or written request and based on the information obtained at the referral.

<u>Infant/Toddler Requirements:</u> §303.321 and §303.322 §4226.61(b) and §4226.95 Announcement: EI 12 #1 Screening and Evaluation	<u>Preschool Requirements:</u> §300.304(c)(4) Chapter 14 153.(2)
Data Sources	
Child Record Review Observation—Evaluation Review of ERs ICO Data Report	
Score	
Maximum Score—20 points 20 points—100% of the records reviewed, eligibility was appropriately determined/documented and includes 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 includes 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.	

Indicator: Quality Framework	
Item QF-3: Do the initial evaluation and re-evaluations include all of the required participants and meet required timeframes?	
Infant/Toddler EI Criteria	Preschool EI Criteria
<ul style="list-style-type: none"> Initial ER: Parent, Service Coordinator, personnel independent of service provision. Annual ER: Parent, Service Coordinator, at least one Qualified Professional and anyone the parent wants to invite. The Evaluation Report was provided to the family within 30 days of completion of the evaluation. A re-evaluation is completed annually. <p><u>Infant/Toddler Requirements:</u> §303.24 and §303.321 §4226.61(b)(2)</p>	<ul style="list-style-type: none"> Initial ER: Parent and team of Qualified Professionals. Re-Evaluation: IEP Team Members. The Evaluation Report was completed and provided to the family within 60 calendar days of receipt of the Permission to Evaluate (PTE). The Preschool Re-evaluation was completed at least every two years. (unless the parent and the Preschool EI program agree that a re-evaluation is unnecessary). <p><u>Preschool Requirements:</u> Chapter 14 153.(3) §300.306(a)(1)</p>
Data Sources	
Child Record Review Evaluation Report should list all required personnel or documentation of excused members and their input Observation—Evaluation	
Score	
Maximum Score—5 points 5 points—95-100% of records reviewed included all required participants and met required timeframes. 3 points—80-94% of records reviewed included all required participants and met required timeframes. 0 points—Less than 80% of records reviewed included all required participants and/or met required timeframes.	

Indicator: Quality Framework	
Item QF-4: Was the IFSP/IEP developed within required timeframes and document the necessary services and supports?	
Infant/Toddler EI Criteria	Preschool EI Criteria
<ul style="list-style-type: none"> The IFSP/IEP documents that all necessary services and supports, as determined in the evaluation are listed, including service type, frequency, duration and cost? (Cost applies only to Infant/Toddler) The IFSP includes documentation that it was reviewed and revised/updated as needed within the past 6 months. 	<ul style="list-style-type: none"> The IFSP/IEP documents that all necessary services and supports, as determined in the evaluation are listed, including service type, frequency, duration and cost? (Cost applies only to Infant/Toddler) The IEP was developed within 30 calendar days of the issuance of the evaluation report. The IEP includes documentation that the team reviewed data to determine if the child was or was not in need of services during scheduled breaks.
Data Sources	
Child Record Review IFSP/IEP Policy/Procedures	
Score	
Maximum Score—15 points 15 points 95-100% of the child records reviewed demonstrated that all IFSP/IEPs were developed within required timeframes and documented the necessary services and supports. 10 points 80-94% of the child records reviewed demonstrated that all IFSP/IEPs were developed within required timeframes and documented the necessary services and supports. 5 points 60-79% of the child records reviewed demonstrated that all IFSP/IEPs were developed within required timeframes and documented the necessary services and supports. 0 points Less than 60% of the child records reviewed demonstrated that all IFSP/IEPs were developed within required timeframes and documented the necessary services and supports.	

Indicator: Quality Framework	
Item QF-5: Does the Infant/Toddler or Preschool EI program ensure that the required personnel participate in the IFSP/IEP meeting?	
Infant/Toddler EI Criteria	Preschool EI Criteria
<ul style="list-style-type: none"> • Parent, Service Coordinator, other family members as requested by parents, advocate or person outside the family as requested by parent, person directly involved in conducting the evaluations, person who will be providing services as appropriate • If anyone listed above is unable to attend, arrangements for their involvement may include: <ul style="list-style-type: none"> ○ Telephone conference call. ○ Send knowledgeable representative. ○ Making pertinent records available. • 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. 	<ul style="list-style-type: none"> • 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. • Parent, EI Program Representative, at least one regular education teacher, 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). • 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. • 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). • 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. • Parent and agency may excuse a team member if they agree in writing that written input will

	<p>provide adequate information for the team. Written information must be submitted prior to the IEP meeting.</p> <p>If the parent chooses not to attend the IEP meeting, the rest of the team may meet. §300.503 (a).</p>
<p><u>Infant/Toddler Requirements:</u></p> <p>§303.343(a)(2)(i-iii) and §4226.73(b)(1-3) §303.343(a)(1)(i-v) and §4226.73(a)(1-6) §303.342 (d) (2) and §4226.72</p>	<p><u>Preschool Requirements:</u></p> <p>§300.321(e), 300.322 (d) §300.321(a)(1-6), (§300.324(a)(3) §300.503 (a) Chapter 14 154.(b)(1)(2)</p>

Data Sources

Child Record Review,
Written IFSP/IEP Invitation, IFSP/IEP, Attendance Sheet, documentation from excused members and evidence of input, or SC note.

Score

Maximum Score—5 points

5 points—**95-100%** of records reviewed contained evidence that all required participants were present, provided input, and/or were excused.

3 points— **80-94%** of records reviewed contained evidence that all required participants were present, provided input, and/or were excused.

0 points— **Less than 80%** of records reviewed contained evidence that all required participants were present, provided input, and/or were excused.

Indicator: Quality Framework

Item QF-6: Does the IFSP/IEP contain family information and does it include the assistance and services provided to support the family based on the family assessment?

Infant/Toddler and Preschool EI Criteria

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.

Infant/Toddler Requirements:
§303.344(b) and (d) and 303.321 (c)
§4226.74(2)

Preschool Requirements:
§300.324(a)(1)(ii)
§300.305(2)

Data Sources
Child Record Review IFSP/IEP Family Survey data
Score
Maximum Score—10 points
10 points 95-100% of the sample IFSP/IEPs contain family supports or evidence those parents chose not to include family supports. Family Survey data validates the sample.*
8 points 80-94% of the sample IFSP/IEPs contain family supports or evidence those parents chose not to include family supports. Family Survey data validates the sample.*
5 points 50-79% of the sample IFSP/IEPs contain family supports or evidence those parents chose not to include family supports. Family Survey data validates the sample.*
0 points 0-49% of the sample IFSP/IEPs contain family supports or evidence those parents chose not to include family supports. Family survey validates the sample.*
*Chairperson Note: 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.

Indicator: Quality Framework	
Item QF-7: Is there a system in place for tracking children at-risk?	
Infant/Toddler EI Criteria	Preschool EI Criteria
<p>Children are eligible for tracking for the following reasons:</p> <ul style="list-style-type: none"> • NICU stay • Low birth weight • Chemically dependent mothers • Substantiated abuse or neglect • High lead levels • County Follow-up: other County identified categories <p>Child find plan describes how EI program is collaborating with other programs that identify and serve children in at-risk categories.</p> <p>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 it is</p>	N/A

<p>documented that the family agrees to a different schedule of tracking.</p> <p>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.</p> <p>Maintaining documentation of all contacts.</p> <p><u>Infant/Toddler Requirements:</u> §4226.25 §4266.26(b)(2) §4226.26(b)(1)</p>	
Data Sources	
Child record review Tracking information Statewide Data System Children in tracking Child Find Plan includes tracking criteria, policies and procedures for tracking system	
Score	
<p>Maximum Score—5 points</p> <p>5 points—Statewide Data System data shows at-risk children identified at a rate that is in-line with local and statewide data. Systems exist that connect the EI program with other agencies that serve children in at-risk categories and 95-100% 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.</p> <p>3 points—Statewide Data System shows at-risk children identified at a rate that is significantly less/higher than local and 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 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.</p> <p>0 points—Statewide Data System 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.</p>	

Indicator: Quality Service Delivery	
Item SD-1: Is there evidence that Service Coordination activities are provided for the child and family?	
Infant/Toddler EI Criteria	Preschool EI Criteria
<ul style="list-style-type: none"> • Review of the <u>Service Coordination Support Plan with family on a quarterly basis.</u> • Inform the family of opportunities to participate in community activities and events with families with young children. Inform the family of community resources that may benefit the family. • Provide information about local support groups and parent networks. • Screen and track children who are at-risk for developmental delays. • Coordinate initial and ongoing evaluations and assessments of the child and family. • Facilitate and participate in the development, implementation and reviews of the Individualized Family Service Plan (IFSP). • Assist in identifying and gaining access to the EI Services and other supports identified on the IFSP. • Facilitate the timely delivery of EI Services. • Assist in identifying available service providers and facilitate communication with and between the family, caregiver and service provider. • Coordinate and monitor the delivery of EI Services. • Monitor progress of the IFSP outcomes on a quarterly basis. • Inform the family of their rights and procedural safeguards in EI as well as the availability of advocacy services. 	N/A

<ul style="list-style-type: none"> • Support the family in working with medical and health services the child needs or is receiving. • Facilitate the development of a transition plan as part of the IFSP. • Obtaining verification of medical necessity for EI Services as determined by the child's physician. <p>There should be documentation that all of the applicable above listed tasks have been provided to the family. Any supports that have not been provided are clearly not needed, i.e. tracking services are not needed by a family whose child is receiving EI services.</p> <p><u>Infant/Toddler Requirements:</u> §303.34 §4226.51, 4226.52 Announcement EI 09 #11 837 Handbook</p>	
Data Sources	
Observation: Any of the activities listed above Child Record Review,(Evaluation Report, IFSP, Service Coordination notes, first contact packet content and note information given to families) Service Coordination Support Plan Family Survey data	
Score	
<p>Maximum Score—15 points</p> <p>15 points: 95-100% of records reviewed provided evidence that Service Coordination tasks are being implemented, and are validated by family survey data</p> <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*</p> <p>5 points: 70-79% of the records reviewed provided evidence that Service Coordination tasks are being implemented and are validated by family survey data*</p> <p>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*</p> <p>*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.</p>	

Indicator: Quality Service Delivery
Item SD-2: Does the IFSP/IEP address how the needs identified under Special Considerations will be addressed?
Infant/Toddler and Preschool EI Criteria
<p>The IFSP/IEP must address these special considerations:</p> <ul style="list-style-type: none"> • Blind/visual impairment • Deafness or hard of hearing • 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 and/or a positive behavior support plan is attached. • Limited English Proficiency • Communication needs • Assistive technology needs • Transition: <ul style="list-style-type: none"> ○ 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 or the community. ○ 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. ○ Preschool EI child is transitioning to K for the next school year. <p><u>Infant/Toddler Requirements:</u> §303.344(a) and (c) Announcement EI 8 #05</p> <p><u>Preschool Requirements:</u> §300.324(a)(2)(i-v)</p>
Data Sources
Child Record Review 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
Score
Maximum Score—10 points 10 points— 95-100% 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. 8 points— 80-94% 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. 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.

Indicator: Quality Service Delivery

Item SD-3: Does the EI program have and implement a behavior support policy that meets federal and state requirements?

Infant/Toddler EI Criteria	Preschool EI Criteria
<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"> • 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 in a timely manner: <ul style="list-style-type: none"> • Written behavior plan that employs positive behavior support strategies. • IFSP/IEP outcomes/goals that address behavior needs. • Specially designed instruction specifying behavioral strategies. • Positive rather than negative support strategies. • Variety of techniques that support children to manage their own behaviors. • Least intrusive behavior support strategies necessary. <p><u>Infant/Toddler Requirements:</u> §303.344(c) Announcement: EI 10 #08</p>	<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"> • 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 in a timely manner: <ul style="list-style-type: none"> • Written behavior plan that employs positive behavior support strategies. • IFSP/IEP outcomes/goals that address behavior needs. • Specially designed instruction specifying behavioral strategies. • Positive rather than negative support strategies. • Variety of techniques that support children to manage their own behaviors. • Least intrusive behavior support strategies necessary. • Strategies that may be employed only in case of danger to child or others. • Process for obtaining parental consent prior to the use of restraints or intrusive procedures.

	<ul style="list-style-type: none"> Requirement that if restraints are used, IEP team must meet within 10 program days (based on Preschool EI calendar) to create or revise behavior goals or plan. All incidents of the use of restraints must be reported to BEIS assigned EI Advisor within 24 hours. <p><u>Preschool Requirements:</u> §300.324(a)(2)(1) §14.133 Announcement: EI 12 #06</p>
Data Sources	
<p>Child record review Evidence that the IEP meeting was held within 10 program days following use of restraints. Local Policy 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"> Written behavior plan that employs positive behavior support strategies IFSP/IEP outcomes/goals that address behavior needs Specially designed instruction specifying behavioral strategies 	
Score	
<p>Maximum Score—15 points</p> <p>15 points—An appropriate behavior policy exists and of the records reviewed for which behavior was checked as a concern on the special considerations page, 95-100% had a report of the functional behavior assessment and appropriate goals, instructional strategies, supports and services and/or 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 and of the records reviewed for which behavior was checked as a concern on the special considerations page, 80-94% had a report of the functional behavior assessment, appropriate goals, instructional strategies, supports and services and/or 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 and of the records reviewed for which behavior was checked as a concern on the special considerations page, 0-79% had a report of the functional behavior assessment appropriate goals, instructional strategies, supports and services and/or 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>	

Indicator: Quality Service Delivery
Item SD-4: Does the IFSP/IEP include outcomes/goals that are measurable and related to the recommendations from the evaluation report?
Infant/Toddler and Preschool EI Criteria
<ul style="list-style-type: none"> The outcomes/goals are related to the recommendations from the evaluation report. 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. <p><u>Infant/Toddler Requirements:</u> §303.344(c) §4226.74(3)</p> <p><u>Preschool Requirements:</u> §300.324(a)(1)(iv)</p>
Data Sources
Child Record Review Infant/toddler Quarterly Progress Reports Preschool EI Progress Reports Session data Progress summary/ analysis Observation—IFSP/IEP, Service Delivery Family Survey data
Score
<p>Maximum Score—20 points</p> <p>20 points—90-100% 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—80-89% 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— 70-79% 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—60-69% 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>

0 points—Less than 60% 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*

***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.

Indicator: Quality Service Delivery

Item SD-5: Is there documentation that family information about the child's individual strengths and needs has been gathered through a family directed assessment and utilized throughout the evaluation and planning process?

Infant/Toddler and Preschool EI Criteria

- There is evidence that family resources, concerns and priorities are included in the evaluation report.
- With parental consent, family information is also included in the IFSP/IEP in the child and family information section.
- The intervention plan and/or documentation of the implementation of the plan includes outcomes/goals, strategies, modifications, etc. that reflect the family's priorities, in enhancing their ability to support their child.

Infant/Toddler Requirements:

§303.321(a)(1)(ii)(B)

§303.321(c)(2)

§4226.61(c)

Preschool Requirements:

§300.305(a)

§300.324(a)(i)

Data Sources

Child record review

Initial contact notes, evaluation report, IFSP/IEP, correspondence with family

Observation— Initial Visit, Evaluation, IFSP/IEP, Service Delivery

Family Survey data

Score

Maximum Score—20 points

20 points—**95-100 %** 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—**85-94 %** 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—**75-84 %** 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—**Less than 75%** 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.*

***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.

Indicator: Quality Service Delivery

Item SD-6: 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?

Infant/Toddler EI Criteria	Preschool EI Criteria
<ul style="list-style-type: none"> • Evidence exist that supports and services are being delivered within the context of the family and child's routines/activities. • Evidence exists that EI services positively impact the caregiver's ability to successfully support their child's participation in daily activities. • Services are provided in a manner that recognizes and supports the identified family's cultural preferences. <p><u>Infant/Toddler Requirements:</u> §303.12(b) and §303.344(d)(1)(ii) and §4226.74(4)(i)(B) and §4226.75(a)</p>	<ul style="list-style-type: none"> • Evidence exists that supports and services are being delivered in a functional context for the child. Services are provided in a manner that recognizes and supports the identified family's cultural preferences. <p><u>Preschool Requirements:</u> §300.114</p>

Data Sources

Observation: Initial Visit, Evaluation, IFSP/IEP, Service delivery
Child record review
IEP/IFSP, progress monitoring records, session notes, data, lesson plans, Family Survey data

Score
<p>Maximum Score—20 points</p> <p>20 points—95-100% 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—80-94% 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—70-79% 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—60-69% 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>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.*</p> <p>*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.</p>

Indicator: Quality Service Delivery
<p>Item SD-7: 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 activities?</p>
Infant/Toddler and Preschool EI Criteria
<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. The documented justification must be made by the team, and based on the child's outcomes that are identified.</p> <p><u>Infant/Toddler Requirements:</u> §303.344(d)(1)(ii) §4226.74(4)(i)(B) Announcement: EI 06 #4 (Natural Environments)</p> <p><u>Preschool Requirement:</u> §300.114(a)(2)(ii)</p>

Data Sources
Child Record Review IFSP/IEP, NOREP, Service Notes Statewide Data System
Score
Maximum Score—5 points
5 points— 95-100% 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.
3 points— 75 to 94% 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.
0 points— 0-74% 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.

Indicator: Quality Service Delivery
Item SD-8 Is there evidence that children have received all of the supports and services specified on their IFSP/IEP?
Infant/Toddler and Preschool EI Criteria
<ul style="list-style-type: none"> • The number of hours of services being delivered matches the number of hours of service listed on the IFSP/IEP. • Services are being provided in the environments listed on the IFSP/IEP document. • Appropriate adaptations have been made to environments or materials to support the child/family. • Outcomes/goals on IFSP/IEP are being addressed by the services provided. • There is documentation that the IEP team reviewed data to determine if child was in need of services during scheduled breaks. • Services are delivered with no interruptions or there is documentation that existing gaps were agreed upon and documented. Preschool breaks are generally no more than three weeks at a time.
<u>Infant/Toddler Requirements:</u> §303.344(f)(i) §4226.75(b)
<u>Preschool Requirements:</u> §300.323(c)(2)

Data Sources
<p>Child record review, Service delivery documentation such as session notes, Service Coordination notes, SBAP logs, progress monitoring data, PRA, NOREP, class roster, class attendance records, possibly lesson plans for individualization of strategies or adaptations of materials or environments</p> <p>Observation—IFSP/IEP, Service Delivery in a variety of settings Family Survey data</p>
Score
<p>Maximum Score—20 points</p> <p>Observe two service delivery sessions and compare them to those identified plans.</p> <p>20 points—95-100% 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 and the observations/family survey data provide verification that services are being delivered as specified.</p> <p>10 points—85-94% 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 and the observations /family survey data provide verification that services are being delivered as specified.</p> <p>5 points—75-84% 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 and the observations /family survey data provide verification that services are being delivered as specified.</p> <p>0 points—Less than 75% 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 and the observations/family survey data provide verification that services are being delivered as specified.</p> <p>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.</p>

Indicator: Quality Service Delivery
Item SD-9: 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?
Infant/Toddler and Preschool EI Criteria
<p>Services begin in a timely manner after the parent presents the current IFSP/IEP. For a child who moves within PA with a current IFSP/IEP, services will be provided comparable to those of the existing document until they develop a new IFSP/IEP or until they determine the child is no longer in need of services.</p> <p>For a child who moves from another state with a current IFSP/IEP comparable services must be provided until PA eligibility is determined and an initial IFSP/IEP is developed if eligible.</p> <p><u>Infant/Toddler Requirements:</u> §303.344</p> <p><u>Preschool Requirements:</u> §300.323(e) §300.305(f) §14.154(g)</p>
Data Sources
<p>Written policies/procedures</p> <p>Child record review, IFSP/IEP, SC Notes, Service documentation such as therapy notes, attendance records, etc.</p>
Score
<p>Maximum Score—5 points</p> <p>5 points—Evidence exists that any child who moves into the EI program’s area with a current IFSP/IEP is provided with timely 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 as their own, 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 written policies describing the procedure that would be used exist.</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>

Indicator: Quality Service Delivery
Item SD-10: Does the IFSP/IEP include procedures for measuring progress and the schedule for reporting progress to parents?
Infant/Toddler and Preschool EI Criteria
<ul style="list-style-type: none"> • The IFSP/IEP team documents how to measure progress on each goal. • The IFSP/IEP team documents the degree to which progress is being made. The IFSP/IEP team revises the strategies as needed to maintain or increase the rate of attainment or level of skills. • The IFSP/IEP team documents revisions or modifications to the outcomes as necessary. • When revising the IFSP/IEP the team addresses any lack of expected progress toward the goals. • 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><u>Infant/Toddler Requirements:</u> §303.342(b)(1)(i-ii) §4226.71(b)(1) Announcement EI 09 #11</p> <p><u>Preschool Requirements:</u> §300.324(b)(ii)(A-B)</p>
Data Sources
Child Record Review, Progress monitoring reports, IFSP/IEP session notes, lesson plans Progress reports to Parent & Service Coordinator
Score
<p>Maximum Score—20 points</p> <p>20 points—Of the records reviewed, 90-100% provide evidence that progress is being monitored regularly, and that the data collected is used to make decisions about intervention strategies.</p> <p>15 points—Of the records reviewed, 80-89% provide evidence that progress is being monitored regularly, and that the data collected is used to make decisions about intervention strategies.</p> <p>10 points—Of the records reviewed, 70-79% provide evidence that progress is being monitored regularly, and that the data collected is used to make decisions about intervention strategies.</p> <p>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.</p>

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.

Indicator: Transition

Item T-1: Is there a written transition agreement and is there evidence that it was reviewed within the past year?

Infant/Toddler and Preschool EI Criteria

- The LICC agreement addresses transition.
- The agreement includes timelines for activities and identifies who is responsible for initiation, participation in and/or completion of those activities.
- Agreement was reviewed and updated as necessary within the past 12 months.

Infant/Toddler & Preschool Requirements:

Act 212 104 (b)(9)

303.209 and 303.344(d)

Announcement: EI 12 #4

Data Sources

LICC Agreement

Other supplementary written agreements

Score

Maximum Score—10 points

10 points—A written transition agreement that meets the requirements exists between the appropriate Part C and Part B agencies **and** it has been reviewed within the past 12 months.

5 points—A written transition agreement exists between the appropriate Part C and Part B agencies **but** it has **not** been reviewed within the past 12 months.

0 points—A written transition agreement does not exist, or it does not include timelines and personnel responsible for activities.

Indicator: Transition
Item T-2: 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?
Infant/Toddler and Preschool EI Criteria
<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><u>Infant/Toddler Requirements:</u> 303.209 4226.77(b)(1) Announcement: EI 12 #4</p>
Data Sources
Statewide Data System Child record review Transition Meeting Invitation
Score
<p>Maximum Score—20 points for Infant/Toddler programs only. Review this for Preschool programs but do not score.</p> <p>20 points—95-100% 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 85-94% 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 75-84% 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 75% 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>Note to Chairperson: If the family agrees to a meeting sooner than 30 days, i.e. scheduled 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 EI, i.e. 94 days before 3rd birthday, not enough time to schedule and give 30 day notice and get 90 day meeting done, documentation that supports this is acceptable.</p>

Indicator: Transition
Item T-3: 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?
Infant/Toddler and Preschool EI Criteria
<ul style="list-style-type: none"> The 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. The Infant/Toddler EI program convenes the meeting at mutual convenience of the participants. <p><u>Infant/Toddler Requirements:</u> §303.209(c) and (e) §4226.77(b)(2) Announcement: EI 12 #4</p> <p><u>Preschool Requirements:</u> §300.124(c)</p>
Data Sources
Statewide Data System Child Record Review, Transition meeting invitation, transition meeting notes
Score
<p>Maximum Score—20 points For Preschool EI, if transition meetings were late or Preschool EI staff did not attend, check when invitation was received. If invitation was late, do not penalize the Preschool EI program. See scoring summary for additional guidance.</p> <p>20 points— 95-100% 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—85-94% 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—80-84% 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 80% 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>

Indicator: Transition	
Item T-4: 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? OR Is transition planning evident for a child moving from the Early Intervention Program due to changes in the life of the family or child such as attainment of goals, new family situations, etc.?	
Infant/Toddler EI Criteria	Preschool EI Criteria
<ul style="list-style-type: none"> 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. Transition planning is evident when a child is moving from the Early Intervention program because of changes in the life of the family or child such as attainment of goals, new family situations, etc. <p><u>Infant/Toddler Requirements:</u> §303.209(d) §303.344(h) §4226.74(8) §4226.77(b)(5) Announcement: EI 12 #4</p>	<ul style="list-style-type: none"> Transition planning is evident when a child is moving from the Early Intervention program because of changes in the life of the family or child such as attainment of goals, new family situations, etc. <p><u>Preschool Requirements:</u> Act 212, Section 301(a)(14) Chapter 14.157</p>
Data Sources	
Child Record Review Transition information in the IFSP Observation—IFSP/IEP and/or Transition Meeting	
Score	
Maximum Score—20 points 20 points —Of the records reviewed, 95-100% 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. 10 points —Of the records reviewed, 80-94% 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	

5 points—Of the records reviewed, **50-79%** 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.

0 points—Of the records reviewed, **less than 50%** 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.

Indicator: Transition

Item T-5: Are processes in place that meet the requirements to ensure a smooth transition to Kindergarten or First Grade?

Infant/Toddler EI Criteria	Preschool EI Criteria
N/A	<ul style="list-style-type: none"> • The IEP includes goals, objectives and activities on the transition page to meet the child and family's needs related to this process for children who are within one year of transition to a school age program. • 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. • 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. • Program explained to the parents' options including not registering for K and staying in Early Intervention. • Transition meeting must be convened by the end of February for all children approaching the age of kindergarten or 1st grade. <p><u>Preschool Requirements:</u> Announcement: EI 9 #19</p>

Data Sources

Local entity policies/procedures, local data system report, child record review, Intent to Register form, Notice of Options form. Record documentation. Child record review

Score

Maximum Score—20 points

20 points—95-100% -of the listed criteria are met for all children eligible to transition to school age

10 points- 89-94%— of the listed criteria are met for all children eligible to transition

to school age

0 points — Less than 89% of the listed criteria are met for all children eligible to transition to school age