



REFERENCES TO ASSIST IN MONITORING PREPARATION

In your early intervention practice you will have referred to the NYS Early Intervention regulations, guidance, and your NYS Early Intervention Provider agreement. Your thorough review of all requirements will assist you in preparation.

Instructions and required forms for early intervention monitoring, including optional self-assessment: <http://ipro.org/for-providers/early-intervention>

NY State DOH Early Intervention Program: https://www.health.ny.gov/community/infants_children/early_intervention/

- Regulations: https://www.health.ny.gov/community/infants_children/early_intervention/regulations.htm
- Guidance/Memoranda Documents: https://www.health.ny.gov/community/infants_children/early_intervention/memoranda.htm
- Health and Safety Standards: http://www.health.ny.gov/community/infants_children/early_intervention/service_providers/health_and_safety_standards.htm
- Training: http://www.health.ny.gov/community/infants_children/early_intervention/training.htm

Confidentiality:

- Federal law-Family Educational Rights and Privacy Act (FERPA) <http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html>
- Confidentiality and consent form – HIV/AIDS: http://www.health.ny.gov/forms/instructions/doh-2557_instructions.pdf; <http://www.health.ny.gov/forms/doh-2557.pdf>.
- Confidentiality Attachment – Components to Include/Describe in Written Policy and/or Procedure for Maintaining Early Intervention Records (sent by IPRO in confirmation packet).

Caring for Children with Life Threatening Allergies: http://www.health.ny.gov/professionals/protocols_and_guidelines/docs/caring_for_students_with_life_threatening_allergies.pdf

Child Abuse/Neglect/Maltreatment: <http://ocfs.ny.gov/main/cps/>

Toy/Product Recalls: <http://www.cpsc.gov/en/Recalls/Recalls-by-Product/?productId=68364>

RECEIVE PRIOR TO MONITORING

Child list: The list of children's records to be reviewed will be provided to you by IPRO prior to your review.

Date Received:

CHILD RECORDS

<i>Prepare for each child on the list</i>	Yes	No
Child records content: Complete <u>paper records</u> from the date the child was referred to the agency to the current date or date of discharge. Arrange records in date order in each section of a file. Ensure child records and child lists are transported in a secure manner and are not left unattended. Please include all records, including consent forms, medical information, evaluations, progress notes, session notes, prescriptions/orders for service and billing records, etc. for all services you provide including service coordination, evaluation and general service provision.	<input type="checkbox"/>	<input type="checkbox"/>

PERSONNEL RECORDS

	Yes	No
Annual health assessment: Documentation is present.	<input type="checkbox"/>	<input type="checkbox"/>
Training: Documentation of service provider, service coordinator, and evaluator training required per the Provider Agreement.	<input type="checkbox"/>	<input type="checkbox"/>

DOCUMENTS TO BE MADE AVAILABLE

	Yes	No
Parental consent form to use unencrypted email, <i>if applicable</i> .	<input type="checkbox"/>	<input type="checkbox"/>



CHECKLIST FOR MONITORING PREPARATION – NY EARLY INTERVENTION PROGRAM QUALITY ASSURANCE

Individual Provider

DOCUMENTS TO BE MADE AVAILABLE		
	Yes	No
Documentation of child record access.	<input type="checkbox"/>	<input type="checkbox"/>
Documentation provided to parents regarding accessing their child records.	<input type="checkbox"/>	<input type="checkbox"/>
Documentation of parental consent for release of information.	<input type="checkbox"/>	<input type="checkbox"/>
Behavior management plans that have been developed for any child within the past year, regardless if the child's file is reviewed.	<input type="checkbox"/>	<input type="checkbox"/>
Documentation of process that provider informs parents of sick day policy and procedures.	<input type="checkbox"/>	<input type="checkbox"/>
Incident reporting: Documentation, including incident reports, of all health and safety related incidents or injuries that occurred while children were receiving services.	<input type="checkbox"/>	<input type="checkbox"/>
Fire inspection: Most recent fire inspection by local government authority; required at least every 3 years, if facility-based.	<input type="checkbox"/>	<input type="checkbox"/>
Evacuation drill records, if facility-based.	<input type="checkbox"/>	<input type="checkbox"/>
Allergy plans for children who have, or have had a plan in the past 2 years, if facility-based.	<input type="checkbox"/>	<input type="checkbox"/>
Child emergency consents and parental contact information: If using a community site and parent is not present.	<input type="checkbox"/>	<input type="checkbox"/>

WRITTEN POLICIES		
<i>Locate and label all policies listed for review. The Confidentiality Attachment sent with your confirmation packet, and the Health and Safety Standards located on the DOH website will assist you to ensure your policies are complete.</i>	Yes	No
Procedure to ensure records containing personally identifiable information are maintained in secure locations and disposed of properly [PI-42B].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to ensure records containing personally identifiable information are maintained securely and disposed of properly when stored off-site, if applicable [PI-42C].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to ensure information on computers is protected and if removable storage devices are used how they are secured [PI-42E].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure for use of email [PI-42F].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to ensure confidentiality of faxed information containing personally identifiable information is maintained [PI-42G].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to ensure confidentiality is maintained when lists contain record of access for multiple children [PI-42I].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure for parental notification of process to review their child's record [PI-42J].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure for ensuring parental access to their child's record [PI-42K].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to amend a child's record [PI-42M].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to obtain consent to release information [PI-42O].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to protect records containing sensitive information and HIV related information [PI-42Q].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to report suspected child abuse and maltreatment [PI-47].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to address behavior which is injurious to the child or others and use of corporal punishment and aversive interventions [PI-50].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to address child and provider illness and emergencies [PI-52].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to address unsafe conditions encountered in the home environment [PI-81].	<input type="checkbox"/>	<input type="checkbox"/>