###### Instructions: If the service type listed in the left column, “Section” is provided by you/your agency, the indicator may apply to your practice.

###### If the item is marked “N/A” (Not Applicable), written policy, documentation or observation will not apply to the monitoring review.

###### Key: ISC – Initial Service Coordinator MDE – Multidisciplinary Evaluator

OSC – Ongoing Service Coordinator Supplemental – Supplemental Evaluator

All – Indicator applies to all provider types. Service Provider – Provides services such as Special Instruction, OT, PT, etc.

| **Section** | **Indicator** | **Practice/ Procedures are in Place** | **Written Policy is in Place** | **Documentation Found in Child Records** | **Other Documentation** | **Observation** |
| --- | --- | --- | --- | --- | --- | --- |
| ISC | **PI-4** At the initial contact with the parent, the initial service coordinator ensures that the parent has a copy of “The Early Intervention Program: A Parent's Guide,” reviews this guide with the parent, and documents this review in the child’s record. | YES  NO | N/A | YES  NO | N/A | N/A |
| ISC | **PI-5** The initial service coordinator assists the parent in identifying and applying for benefit programs for which the family may be eligible. | YES  NO | N/A | YES  NO | N/A | N/A |
| ISC | **PI-6** The initial service coordinator (ISC) reviews all options for evaluations and screenings from the list of approved evaluators. The ISC assists the family in selecting an evaluator or screener by providing objective information regarding all options including location, types of evaluations performed, and settings for evaluations. | YES  NO | N/A | YES  NO | N/A | N/A |
| ISC | **PI-7** The initial service coordinator provides parents with information regarding the funding of EIP services including services at no cost to parent, required use of Medicaid/third party insurance, and protections when Medicaid and/or NYS regulated third party insurance are used. | YES  NO | N/A | YES  NO | N/A | N/A |
| ISC | **PI-8A** The initial service coordinator collects insurance policy information from family using the Department Collection of Insurance Information form. | YES  NO | N/A | YES  NO | N/A | N/A |
| OSC | **PI-8B** The ongoing service coordinator collects insurance policy information from family using the Department Collection of Insurance Information form. | YES  NO | N/A | YES  NO | N/A | N/A |
| ISC and OSC | **PI-8C** The service coordinator obtains and enters third party insurance information in NYEIS. | YES  NO | N/A | YES  NO | N/A | N/A |
| MDE | **PI-13** The multidisciplinary evaluation team includes at least two qualified personnel from different disciplines with at least one specialist in the area of suspected delay or disability. | YES  NO | N/A | YES  NO | N/A | N/A |
| MDE | **PI-15A** The multidisciplinary evaluation includes an evaluation of the child’s functioning in all five developmental domains using informed clinical opinion and age appropriate instruments and procedures. | YES  NO | N/A | YES  NO | N/A | N/A |
| Supplemental | **PI-15B** Tests and other supplemental evaluation materials shall be administered in the dominant language or other mode of communication of the child unless clearly not feasible to do so. | YES  NO | N/A | YES  NO | N/A | N/A |
| MDE | **PI-16** The multidisciplinary evaluation includes a health assessment, including a physical examination, vision and hearing screening. | YES  NO | N/A | YES  NO | YES  NO | N/A |
| MDE | **PI-19A** The multidisciplinary evaluation report includes a statement of the child’s eligibility based on regulatory criteria. | YES  NO | N/A | YES  NO | N/A | N/A |
| Supplemental | **PI-19B** The supplemental evaluation report includes Diagnosis code or ICD code. | YES  NO | N/A | YES  NO | N/A | N/A |
| MDE | **PI-20A** The evaluation report and summary are written in accordance with EIP regulations. | YES  NO | N/A | YES  NO | N/A | N/A |
| Supplemental | **PI-20B** The supplemental evaluation report is written in accordance with EIP regulations. | YES  NO | N/A | YES  NO | N/A | N/A |
| MDE | **PI-21A** The results of the evaluation are discussed with parents by the evaluator. | YES  NO | N/A | YES  NO | N/A | N/A |
| Supplemental | **PI-21B** The results of the supplemental evaluation are discussed with parents by the evaluator. | YES  NO | N/A | YES  NO | N/A | N/A |
| OSC | **PI-25** The ongoing service coordinator coordinates and monitors the delivery of services. | YES  NO | N/A | YES  NO | N/A | N/A |
| OSC | **PI-27** The ongoing service coordinator completes required transition activities. | YES  NO | N/A | YES  NO | N/A | N/A |
| Service Provider | **PI-29** Prescriptions/orders for all services are obtained. | YES  NO | N/A | YES  NO | N/A | N/A |
| Service Provider | **PI-31** The provider delivers services that are family-centered. | YES  NO | N/A | YES  NO | N/A | N/A |
| ISC, OSC, Service Provider | **PI-32** The provider maintains original session/service coordination notes that include minimum content requirements. | YES  NO | N/A | YES  NO | N/A | N/A |
| ISC | **PI-36A** Service coordinators assist parents and children to receive the rights, procedural safeguards and services that are authorized to be provided under State and federal law. | YES  NO | N/A | YES  NO | N/A | N/A |
| OSC | **PI-36B** Service coordinators assist parents and children to receive the rights, procedural safeguards and services that are authorized to be provided under State and federal law. | YES  NO | N/A | YES  NO | N/A | N/A |
| All | **PI-38** The provider maintains documentation for each service provided. | YES  NO | N/A | YES  NO | N/A | N/A |
| ISC and OSC | **PI-39** Service coordinators bill for reimbursable activities according to EIP regulations. | YES  NO | N/A | YES  NO | N/A | N/A |
| Service Provider | **PI-41** The provider delivers services as authorized in the IFSP. | YES  NO | N/A | YES  NO | N/A | N/A |
| All | **PI-42** Requirements of Title 34 of the Code of Federal Regulations and other applicable legal requirements for confidentiality are followed. | YES  NO | N/A | N/A | N/A | N/A |
| All | **PI-42B** All records containing personally identifiable information are maintained in secure locations and disposed of appropriately. | YES  NO | YES  NO | N/A | N/A | YES  NO |
| All | **PI-42C** All records containing personally identifiable information are maintained securely when stored off-site. | YES  NO | YES  NO | N/A | N/A | N/A |
| All | **PI-42E** Confidentiality of electronic records that are stored on computer is maintained. | YES  NO | YES  NO | N/A | N/A | N/A |
| All | **PI-42F** Confidentiality is maintained when e-mail and texting is used. | YES  NO | YES  NO | N/A | YES  NO | N/A |
| All | **PI-42G** Confidentiality of faxed information is maintained. | YES  NO | YES  NO | N/A | N/A | N/A |
| All | **PI-42I** A record is kept of any individual, other than authorized individuals, who access a child’s record, along with the date and purpose for which the record was accessed. | YES  NO | YES  NO | N/A | YES  NO | N/A |
| All | **PI-42J** Parents are notified of the process that they must follow to inspect and review all records pertaining to their child. | YES  NO | YES  NO | N/A | YES  NO | N/A |
| All | **PI-42K** Parental access to their child's record is ensured including review, and upon request an explanation and interpretation of material and copies of records. | YES  NO | YES  NO | N/A | N/A | N/A |
| All | **PI-42M** The procedure to address amendment of their child's records, or to request a hearing, protects the parent's rights. | YES  NO | YES  NO | N/A | N/A | N/A |
| All | **PI-42O** Written parental consent is obtained before any disclosure of personally identifiable information is disclosed to anyone other than authorized individuals. | YES  NO | YES  NO | N/A | YES  NO | N/A |
| All | **PI-42Q** Provider adheres to all legal requirements that protect records containing sensitive information. | YES  NO | YES  NO | N/A | N/A | N/A |
| All | **PI-42S** When electronic records are used documentation is maintained in a manner that demonstrates the provider's right to receive payment under the Medicaid program. | YES  NO | YES  NO | NA | NA | NA |
| All  (Agencies Only) | **PI-42T** Provider assures that all employees, independent contractors, consultants, and volunteers with access to personally identifiable information are informed of and are required to adhere to all confidentiality requirements related to this information. | YES  NO | YES  NO | N/A | YES  NO | N/A |
| All | **PI-43** The provider has State approval status and a Basic or Appendix agreement for services delivered. | YES  NO | N/A | N/A | YES  NO | N/A |
| All (Individual Providers Only) | **PI-44** Individual providers maintain documentation of current licensure, certification, or registration, as appropriate, and are qualified to deliver EIP services, including service coordination. | YES  NO | N/A | N/A | YES  NO | N/A |
| All (Agencies Only) | **PI-45** Agency provider employees and contractors have current licensure, certification, or registration, as appropriate, and are qualified to deliver EIP services, including service coordination. | YES  NO | YES  NO | N/A | YES  NO | N/A |
| All (Agencies Only) | **PI-46** Agency providers maintain policies/procedures to screen employee and subcontracted individuals through the New York State (NYS) Central Register of Child Abuse and Maltreatment (SCR) and the NYS Justice Center for the Protection of People with Special Needs, as appropriate. | YES  NO | YES  NO | N/A | YES  NO | N/A |
| All | **PI-47** All providers have procedures in place to report suspected child abuse and maltreatment, including notification either directly to the SCR or to an appropriate authority. | YES  NO | YES  NO | N/A | N/A | N/A |
| All | **PI-49** Standard precautions are utilized when EI services are delivered. | YES  NO | N/A | N/A | N/A | N/A |
| All | **PI-50** Appropriate procedures are in place to address behavior which is injurious to the child or others. Corporal punishment, abuse, and the use of aversive interventions in any form are prohibited when providing EIP services. | YES  NO | YES  NO | N/A | YES  NO | N/A |
| All | **PI-52** Providers have policies and procedures to address child and provider illness and emergencies. | YES  NO | YES  NO | N/A | YES  NO | YES  NO |
| All (Agency only) | **PI-53** The provider’s equipment, materials, and/or toys are in good condition, cleaned regularly and free of lead. | YES  NO | N/A | N/A | N/A | YES  NO |
| All | **PI-80** Providers protect the general health and safety of children with respect to illness, injury, and emergencies while receiving EI services in a community setting. | YES  NO | N/A | N/A | YES  NO | N/A |
| All | **PI-81** The provider has procedures in place to address unsafe conditions encountered in the home environment. | YES  NO | YES  NO | N/A | N/A | N/A |
| All | **PI-82** Providers adhere to requirements as outlined in the provider agreement and regulation. | YES  NO | N/A | N/A | YES  NO | N/A |
| All (Agencies Only) | **PI-83** The agency implements a quality assurance plan for each type of profession/service offered by the agency, including evaluations and service coordination. | YES  NO | YES  NO | N/A | YES  NO | N/A |