

Attachment G: SAMPLE INVESTIGATIVE REVIEW PROTOCOLS

Task	Investigative Protocols	Form to use	Notes
Task Assignments to staff {TBO}	<ul style="list-style-type: none"> • Entrance Interview - Assist agency with List of Items to be Made Available. • Child Record Reviews -IFSPs, MDEs, professional session notes, intake referral info from the county. • Billing records. • Staff interviews: professional staff and Agency Director. • Personnel records: Includes any monetary incentives and contract. • Exit Interview. 		
Entrance Interview	<ul style="list-style-type: none"> • Introductions. • Reason for monitoring review. • Agenda for the day. • Interviews with selected staff. • Review of child records. Determine if records are complete. • Exit Interview. 	List of items needed, including: <ul style="list-style-type: none"> ■ Staff to be interviewed ■ Specific child records ■ Request for staff list to be completed 	Records for children who have aged out may be archived or in storage.
Assess Indicators for child record review, staff interview, other documentation, written policy as indicated.	PI-6: Initial Service Coordinator (ISC) reviews all options for evaluations and screenings from the list of approved and contracted evaluators provided by the municipality. - get list PI-12: Evaluator reviewed pertinent records related to the child's current health status and medical history as part of the multidisciplinary evaluation. PI-15: Multidisciplinary evaluation included an evaluation of the child's functioning in all five developmental domains using informed clinical opinion and age appropriate instruments and procedures. PI-16: The evaluation included a health assessment, including a physical examination, vision and hearing screening, and where appropriate, a neurological assessment. PI-17: The multidisciplinary evaluation included a parent interview about family resources, priorities and concerns. PI-19: The evaluation report included a statement of the child's eligibility, based on regulatory criteria. PI-20: The evaluation report and summary were written in accordance with Early Intervention Program regulation. PI-21: The results of the evaluation were discussed with parents by the evaluator.		

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	PI-25: The ongoing service coordinator coordinated and monitored delivery of services. PI-31: The provider delivered services that were family-centered and used an individualized approach. PI-32: Provider maintained original session/service coordination notes that included minimum content requirements. PI-33: The provider maintained the documentation required to fully disclose the extent of services delivered. PI-37: The provider maintained copies of billing forms/documents necessary to substantiate billings for all EI services. PI-38: Provider maintained documentation for each service billed. PI-40: Provider's billing form contains required information according to Early Intervention Program regulations. PI-41: The provider delivered services as authorized in the IFSP.		
Assess specific child records for substantiation of specific allegations.	Customized based on allegations.		
Staff Interviews	Separate Interview Tools for professional staff, parents, and Director; customized based on allegations.		
Review of Personnel Records	<ul style="list-style-type: none"> • Review credentials and approvals for all staff. • Determine if "bonus" incentives or quid pro quo arrangements are offered. • Supervisory plans. 		
Exit Interview	Determine next steps and inform provider.		