

Attachment D2: COMPREHENSIVE MONITORING TOOL

Attachment D2: Sample Comprehensive Monitoring Review Tool

Indicator	Report Statement	Reference	Protocol for Review
PI-2	The initial service coordinator (ISC) promptly arranges a contact with the parent in a time, place and manner reasonably convenient for the parent and consistent with applicable timeliness requirements.	10NYCRR 69-4.7(b)	Child Record Review
PI-3	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.	10NYCRR 69-4.7(c) 10NYCRR 69-4.7(c)(1)	Child Record Review Parent Interview
PI-4	The initial service coordinator provides parents with information regarding rights and entitlements under the EIP and documents the information provided in the child's record.	10NYCRR 69-4.7(c)	Child Record Review
PI-5	The initial service coordinator assists the parent in identifying and applying for benefit programs for which the family may be eligible, including: Medical Assistance Program; Supplemental Social Security Income Program; Physically Handicapped Children's Program; Child Health Plus; and Social Security Disability Income.	10NYCRR 69-4.7(i)	Child Record Review Parent Interview
PI-6	The initial service coordinator reviews all options for evaluations and screenings from the list of approved and contracted evaluators provided by the municipality. 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.	10NYCRR 69-4.7(i)	Other Documentation Review Child Record Review Parent Interview
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 third party insurance is used.	10NYCRR 69-4.7(g) 10NYCRR 69-4.7(g)(1)(2)(3)	Child Record Review Parent Interview
PI-9	The initial service coordinator discusses the IFSP process with the parent, provides required information, and documents the information provided in the child's record.	10NYCRR 69-4.7(o)(1-7)	Child Record Review
PI-10	The initial service coordinator discusses options for EI services with parents.	10NYCRR 69-4.7(p)(1) 10NYCRR 69-4.7 (o)(7)	Child Record Review Parent Interview
PI-11	The evaluator obtains written informed parental consent prior to the evaluation and/or screening.	10NYCRR 69-4.8(a)(1)(ii) 10NYCRR 69-4.8(a)(2)	Child Record Review
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.	10NYCRR 69-4.8(a)(3)	Child Record Review
PI-14	The multidisciplinary evaluation and written reports are completed in sufficient time to convene the initial IFSP meeting within 45 days of the child's referral to the EIP.	10NYCRR 69-4.8(a)(9)(i)	Child Record Review
PI-15	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.	10NYCRR 69-4.8(a)(4)(i) 10NYCRR 69-4.8(a)(6)	Child Record Review

Attachment D2: COMPREHENSIVE MONITORING TOOL

Indicator	Report Statement	Reference	Protocol for Review
PI-16	The multidisciplinary evaluation includes a health assessment, including a physical examination, vision and hearing screening, and, where appropriate, a neurological assessment.	10NYCRR 69-4.8(a)(4)(i)(a)	Other Documentation Review Child Record Review
PI-19	The multidisciplinary evaluation report includes a statement of the child's eligibility based on regulatory criteria.	10NYCRR 69-4.8(a)(9)(iii)	Child Record Review
PI-20	The evaluation report and summary are written in accordance with EIP regulations.	10NYCRR 69-4.8(a)(9)(i) 10NYCRR 69-4.8(a)(9)(ii) 10NYCRR 69-4.8(a)(15) 10NYCRR 69-4.8(a)(4)(iv) 10NYCRR 69-4.8(a)(9)(v)	Child Record Review
PI-21	The results of the evaluation are discussed with parents by the evaluator.	10NYCRR 69-4.8(a)(9)(iv)	Child Record Review Parent Interview
PI-22	The evaluation summary and, upon request, the report are sent to the parent, the initial service coordinator, and the Early Intervention Official for review before the IFSP meeting. With parental consent, the report is sent to the primary health care provider.	10NYCRR 69-4.8(a)(9)(i)	Child Record Review Parent Interview
PI-25	The ongoing service coordinator coordinates and monitors the delivery of services.	10NYCRR 69-4.6(c)(1)(2)(3)(4) 10NYCRR 69-4.6(b)(3)(5)	Staff Interview Child Record Review Parent Interview
PI-27	The ongoing service coordinator facilitates the development of a transition plan.	10NYCRR 69-4.6(c)(7) 10NYCRR 69-4.20(b)(3) 10NYCRR 69-4.11(a)(10)(xiii)	Staff Interview Child Record Review Parent Interview
PI-29	The provider obtains prescriptions/orders for services as needed.	10NYCRR 69-4.11(a)(10)(ii) 10NYCRR 69-4.26(b)(8)	Child Record Review
PI-31	The provider delivers services that are family-centered.	10NYCRR 69-4.9(f)(1) 10NYCRR 69-69-4.9(g)(4)	Staff Interview Child Record Review Parent Interview
PI-32	The provider maintains original session/service coordination notes that include minimum content requirements.	10NYCRR 69-4.22(c) 10NYCRR 69-4.26(c) 10NYCRR 69-4.26(c)(iii) 10NYCRR 69-4.26(d)	Child Record Review
PI-33	The provider maintains the documentation required to fully disclose the extent of services.	Medicaid regulation 18NYCRR 541.1 10NYCRR 69-4.22(c) 10NYCRR 69-4.26(b)(5)(10)(13)	Child Record Review
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.	10NYCRR 69-4.6(a) 10NYCRR 69-4.6(c)(5)	Staff Interview Child Record Review Parent Interview

Attachment D2: COMPREHENSIVE MONITORING TOOL

Indicator	Report Statement	Reference	Protocol for Review
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.	10NYCRR 69-4.6(a) 10NYCRR 69-4.6(c)(5)	Staff Interview Child Record Review Parent Interview
PI-38	The provider maintains documentation for each service billed.	10NYCRR 69-4.9(g)(6)(7) 10NYCRR 69-4.22(c) Title 10: Rules and Regulations 10NYCRR 69-4.30(b)(c)	Child Record Review
PI-39	Service coordinators bill for reimbursable activities according to EIP regulations.	Title 10: Rules and Regulations 10NYCRR 69-4.30(c)(3) 42 CFR 441.18(c) Early Intervention Program Memorandum 94-4, "Service Coordination"	Child Record Review
PI-41	The provider delivers services as authorized in the IFSP.	10NYCRR 69-4.9(g)(1) 10NYCRR 69-4.9(g)(2) 10NYCRR 69-4.9(g)(2)(i)(ii) 10NYCRR 69-4.9(g)(2)(ii)(a)	Child Record Review Parent Interview
PI-42B	All records containing personally identifiable information are maintained in secure locations and disposed of appropriately.	10NYCRR 69-4.17(c)	Staff Interview Observation Policy Review
PI-42C	All records containing personally identifiable information are maintained securely when stored off-site.	10NYCRR 69-4.17(c)	Staff Interview Other Documentation Review Policy Review
PI-42E	Confidentiality of electronic records that are stored on computer is maintained.	10NYCRR 69-4.17(c)	Policy Review
PI-42F	Confidentiality is maintained when e-mail is used.	10NYCRR 69-4.17(c)	Other Documentation Review Policy Review
PI-42G	Confidentiality of faxed information is maintained.	10NYCRR 69-4.17(c)	Policy Review
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.	10NYCRR 69-4.17(c)	Other Documentation Review Policy Review
PI-42J	Parents are notified of the process that they must follow to inspect and review all records pertaining to their child.	10NYCRR 69-4.17(c)	Staff Interview Policy Review
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.	10NYCRR 69-4.17(c)	Policy Review
PI-42M	The procedure to address amendment of their child's records, or to request a hearing, protects the parent's rights.	10NYCRR 69-4.17(c)	Staff Interview Policy Review

Attachment D2: COMPREHENSIVE MONITORING TOOL

Indicator	Report Statement	Reference	Protocol for Review
PI-42O	Written parental consent is obtained before any disclosure of personally identifiable information is disclosed to anyone other than authorized individuals.	10NYCRR 69-4.17(c)	Staff Interview Other Documentation Review Policy Review
PI-42Q	Provider adheres to all legal requirements that protect records containing sensitive information.	10NYCRR 69-4.17(c)	Staff Interview Policy Review
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.	10NYCRR 69-4.17(c)	Other Documentation Review Policy Review
PI-43	The provider maintains required documentation to demonstrate State approval status for services delivered.	10NYCRR 69-4.5(a) 10NYCRR 69-4.1(ak) 10NYCRR 69-4.5(f) 10NYCRR 69-4.5(h) 10NYCRR 69-4.5(a)(1)	Other Documentation Review
PI-44	Individual providers maintain documentation of current licensure, certification, or registration, as appropriate, and are qualified to deliver EIP services, including service coordination.	10NYCRR 69-4.1(ak)(1-22) 10NYCRR 69-4.9(d)(2) 10NYCRR 69-4.5(f) 10NYCRR 69-4.4(a)(1)(2)	Other Documentation Review
PI-45	Agency providers maintain documentation that their employees and contractors have current licensure, certification, or registration, as appropriate, and are qualified to deliver EIP services, including service coordination.	10NYCRR 69-4.1(ak)(1-22) 10NYCRR 69-4.9(d)(2) 10NYCRR 69-4.5(1) 10NYCRR 69-4.4(a)(1)(2)	Other Documentation Review Policy Review
PI-46	Agency providers maintain policies/procedures to screen employees and subcontracted individuals through the New York State Central Register of Child Abuse and Maltreatment (SCR) as appropriate.	10NYCRR 69-4.9(d)(1) NYS Social Services law Section 424	Other Documentation Review Policy Review
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	10NYCRR 69-4.9(d)(1) NYS Social Services law Section 413-415	Staff Interview Policy Review
PI-48	All providers have an annual health statement in place prior to providing EIP services.	10NYCRR 69-4.9(d)(1) 10NYCRR 69-4.9(d)(3)(iv)	Staff Interview Other Documentation Review
PI-49	Universal precautions are utilized when EI services are being delivered.	10NYCRR 69-4.9(d)(1) 10NYCRR 69-4.9(d)(3)(ii)(v)	Staff Interview Observation Policy Review
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.	10NYCRR 69-4.9(i) 10NYCRR 69-4.9(d)(1)	Staff Interview Other Documentation Review Policy Review

Attachment D2: COMPREHENSIVE MONITORING TOOL

Indicator	Report Statement	Reference	Protocol for Review
PI-52	Providers have policies and procedures to address child and provider illness and emergencies.	10NYCRR 69-4.9(d)(1) 10NYCRR 69-4.9(d)(3)(iv) 10NYCRR 69-4.9(e)(iii) 10NYCRR 69-4.9(g)(2)(i)	Staff Interview Other Documentation Review Observation Policy Review
PI-53	The provider's equipment, materials, and/or toys are in good condition and free of lead.	10NYCRR 69-4.9(d)(1) 10NYCRR 69-4.9(d)(3)(v)	Staff Interview Observation
PI-56	The provider maintains documentation of the facility's Certificate of Occupancy/Certificate of Compliance or other proof of building code compliance.	10NYCRR 69-4.9(e)	Other Documentation Review
PI-57	Electrical outlets in areas where EI services are delivered are inaccessible to children and have outlet covers.	10NYCRR 69-4.9(d)(3)(vi) 10NYCRR 69-4.9(e)	Observation
PI-58	Plaster and paint are not peeling, chipping, friable or damaged in areas where EI services are delivered.	10NYCRR 69-4.9(d)(3)(vi) 10NYCRR 69-4.9(e)	Observation
PI-59	Hallways and/or exits are not obstructed and are free from clutter. Stairs are lighted.	10NYCRR 69-4.9(d)(3)(vi) 10NYCRR 69-4.9(e)	Observation
PI-60	Child access to building hazards is restricted.	10NYCRR 69-4.9(d)(3)(i) 10NYCRR 69-4.9(e)(iv)	Staff Interview Observation
PI-61	Playground equipment that is used in the provision of EI services to children is in good condition.	10NYCRR 69-4.9(d)(3)(v) 10NYCRR 69-4.9(e)(iv)	Observation
PI-63	The provider maintains documentation of a satisfactory fire inspection report issued within the last three years.	10NYCRR 69-4.9(d)(1) 10NYCRR 69-4.9(e) 19 NYCRR Part 1203: Uniform Code Enforcement and Administration	Other Documentation Review Policy Review
PI-66	The provider conducts evacuation drills and implements emergency evacuation plans as required.	10NYCRR 69-4.9(e)	Staff Interview Other Documentation Review Policy Review Observation
PI-67	Toxic and flammable materials are stored away from heat sources and food, and/or are locked up.	10NYCRR 69-4.9(d)(3)(vi) 10NYCRR 69-4.9(e)	Observation
PI-68	Portable heaters are not used during the time that EI services are provided.	10NYCRR 69-4.9(d)(3)(vi) 10NYCRR 69-4.9(e)	Staff Interview Observation

Attachment D2: COMPREHENSIVE MONITORING TOOL

Indicator	Report Statement	Reference	Protocol for Review
PI-69	EI service areas have entrances and exits that prevent children from wandering out of the immediate area. All windows have locking devices, window guards, or other barriers to prevent children from accidental egress.	10NYCRR 69-4.9(d)(3)(vi) 10NYCRR 69-4.9(e)	Observation
PI-70	Children are supervised at all times.	10NYCRR 69-4.9(d)(1) 10NYCRR 69-4.9(d)(3)(i)	Staff Interview Observation
PI-73	Prescription and over-the-counter medications are stored and administered in a safe manner in accordance with the law and applicable State standards.	10NYCRR 69-4.9(d)(1) 10NYCRR 69-4.9(e)(ii)	Staff Interview Other Documentation Review Observation
PI-75	Emergency parent contact information is readily available.	10NYCRR 69-4.9(e)(iii) 10NYCRR 69-4.9(g)(2)(i)	Staff Interview Other Documentation Review
PI-76	Emergency consents for children are current and readily available.	10NYCRR 69-4.9(e)(iii)	Other Documentation Review
PI-78	Providers ensure that any child with a food or other allergy has a plan in place.	10NYCRR 69-4.9(e)(ii)(iii)	Staff Interview Other Documentation Review Observation
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.	10NYCRR 69-4.9(d)(1) 10NYCRR 69-4.9(d)(3)(iv)(vi) 10NYCRR 69-4.9(g)(2)(i)	Staff Interview Other Documentation Review
PI-81	The provider has procedures in place to address unsafe conditions encountered in the home environment.	10NYCRR 69-4.9(d)(1) 10NYCRR 69-4.9(d)(3)(iv)(vi)	Policy Review Staff Interview