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October 10, 2008

Senator Jason Gant, Chair  
Government Operations and Audit Committee  
500 E. Capitol  
Pierre, SD 57501

Dear Senator Gant:

The attached documents are used to monitor the nine regional Birth to Three Connections programs. The monitoring process aligns with the US Department of Education, Office of Special Education Program requirements. Each program is reviewed annually for compliance with the following indicators:

1. Timely Services
2. Settings
3. Child Outcomes
4. Family Outcomes
5. Child Find, Ages Birth to 1
6. Child Find, Ages Birth to 3
7. Timeliness of the IFSP
8. Early Childhood Transition

Further, every three years an in-depth monitoring process is conducted for each program. The process includes a detailed review of case files, and telephone interviews with families, service providers, and service coordinators. Any findings are categorized under general supervision, early childhood transition, family centered services, services in the natural environment, and public awareness and child find.

A finding of non-compliance during either the annual or 3-year monitoring process requires the development of an improvement plan. The plan must be completed within a 12-month period.

I look forward to visiting with you and the committee members about the Birth to Three Connections program on October 21.

Sincerely,

Susan Sheppick  
Birth to Three Connections

**Monitoring Protocol (internal document)**  
**2006**

1. Team leader sends letter to local program director and service coordinators
  - Letter includes detailed instructions re: dates of monitoring, request for addresses/phone #'s of parents for surveys and interviews and contact information for provider interviews
2. Pre Monitoring
  - Service Coordinators provide state staff the following: parent interview list, parent survey list, E.I. provider list
3. Monitoring Activities: State staff conducts:
  - Parent interviews
  - Provider interviews
  - Service coordinator interviews
  - File reviews-30%
4. State staff:
  - Compiles & reviews all information
  - Determines in/out of compliance
  - Writes preliminary report
  - Schedules exit meeting
5. Preliminary Report includes:
  - Cover letter with instructions
  - List of files with assigned number
  - Preliminary findings
6. Exit Meeting - Participants:
  - State staff
  - Service coordinators
  - Applicant directors
  - LEAs
  - Early intervention
  - Providers

Exit Meeting Agenda:

  - Preliminary findings
  - Strengths
  - Best practices
  - Procedural instructions for preliminary & final report
  - Q/A (technical assistance)
7. Preliminary report sent - Applicant has 15 days to respond
  - Letter with instructions
  - Areas out of compliance
  - List of children & file number
  - Preliminary agreement report form
8. Final Report - State staff has 30 days to send after response of agreement with preliminary report

9. Final Report includes:
  - Areas out of compliance
  - Parent survey results
  - Strengths
  - Improvement plan instructions
10. Post Monitoring Activities
  - Improvement plan developed by regional applicant area (submit within 60 days)
  - State staff reviews & approves improvement plan
  - Improvement plan quarterly reports submitted for state staff review from regional applicant
    - Timelines reviewed to ensure non-compliance is corrected within 1 year
    - Validity & reliability of data reviewed via evidence of change
  - State staff closes monitoring file
  - Monitoring is closed no later than 1 year after receiving final report
11. Failure to meet compliance within 1 year timeline may result in:
  - Notification letter to local applicant
  - Includes detailed instructions & consequences
  - Technical assistance by state staff
  - Trainings
  - On-site visits
  - Possible termination of contract

March 27, 2008

Director  
Birth to Three Program  
Address  
City, State, ZIP

Dear :

Each year our office reviews how each regional Birth to Three program fared according to the State Performance Plan and the federal Office of Special Education Programs requirements. Enclosed please find a summary of the determinations for your program for Indicators 1, 2, 4, 5, 6, 7, and 8 for the July 1, 2006 – June 30, 2007 cycle. For those Indicators where the target was not met, we require an Improvement Plan.

The enclosed Improvement Plan must be completed and submitted to our office within 60 days from the date of this letter. Each year the Indicators will be compared to the previous year's Indicators to determine progress or slippage and whether additional technical assistance is needed by your program.

Also enclosed is a copy of the "Determinations Primer for Part C Applicants." The primer explains the federal requirements for determining levels of compliance and the enforcement consequences for each level. The primer is being sent again for your review.

We appreciate your hard work and dedication to the Birth to Three program and what it means to children and families. If you have any questions concerning the enclosed information, please feel free to give me a call.

Sincerely,

Program Specialist

Enclosures

cc: Service Coordinators

## Determinations Summary Report – Part C

**EIS Program:** \_\_\_\_\_

**SPP/APR Compliance Indicators**

Indicators	State Target	Program Performance	Met Target?	Comments - Notes
#1	100%			
#2	96.6%			
#4	A. 95.8%			
	B. 89.4%			
	C. 89.2%			
#5	0.93%			
#6	2.86%			
#7	100%			
#8	A. 100%			
	B. 100%			
	C. 100%			

**\*Timely, Valid, and Reliable Data:** \_\_\_\_\_

Are the data for the indicator valid, reliable and timely?

- Timely: Are program data submitted by the district by deadlines?
- Valid and Reliable:  
 How frequently have there been edits or error reports generated for the local program?  
 How frequently have there been instances of inaccuracy found for the local program?

**\*\*Uncorrected Noncompliance:** \_\_\_\_\_

- Does the program have uncorrected compliance issues but has not reached the one year correction timeline?
- Does the program have uncorrected compliances issues and is past the one year correction timeline?

**\*\*\*Audit Findings:** \_\_\_\_\_

- Are there any audit findings against the program?

Meets Requirement  
 Needs Assistance  
 Needs Intervention  
 Needs Substantial Intervention

## Infant and Toddler Special Education – Part C Levels of Determination



### A Primer for Part C Applicant Administrators 2007

Developed by  
John Copenhaver  
Mountain Plains Regional Resource Center  
1780 Research Parkway, Suite 112  
Logan, UT 84341

#### Overview

The evolution of special education has been interesting to observe. We have gone from a period in the 1970s and 1980s when we were securing physical access for children with disabilities. In the 1980s and 1990s, schools were concerned with paperwork and procedural safeguards. Today, special education is experiencing a period of accountability at the State, school district, and early childhood levels.

IDEA 2004 introduced a new process for States—the State Performance Plan (SPP)—made up of 14 compliance and performance indicators for Part C. The State reports progress on each indicator in their Annual Performance Report (APR).

Think of it this way...

**The SPP is the State's IFSP**

**The APR is the annual review of the SPP**

The State is accountable to show annual progress on each indicator. Data is collected from all early childhood programs to arrive at a State performance. Each year (in February), the State submits their APR. The Office of Special Education Programs (OSEP) examines the APR and then makes a determination of one of four levels of performance for the State. The State makes a determination for each early childhood program based on their own criteria.

#### Levels of Determination

IDEA 616(a)(1)(c)(i) and CFR 300.600(a) address the requirement for the U.S. Department of Education to place each State in one of four levels of determination based on information provided in the SPP through monitoring visits and other public information:

- Meets Requirements
- Needs Assistance
- Needs Intervention
- Needs Substantial Intervention

South Dakota Birth to 3 Connections program was placed by the Federal Office of Special Education Programs (OSEP) in Meets Requirement category for this year.

States are required to make determinations annually for their school districts and early education programs. Most States make these determinations based upon the following criteria:

- Performance on certain SPP indicators
- Nature and length of time regarding any noncompliance—1 year
- Data—timely, reliable, and valid
- Dispute resolution
- Compliance agreements

## **Determination and Enforcement**

Based upon the information provided in the State's APR, monitoring visits, and other information, each State and school district and early childhood program will be placed in one of the following determinations; each level has certain enforcement consequences.

### **Level 1 – Meets Requirements**

The State, school district, or early childhood program demonstrates the following:

- Substantial compliance on all compliance indicators
- Data is timely, valid, and reliable.
- Timely corrects noncompliance.

### **Level 2 – Needs Assistance**

For two consecutive years, the State, school district, or early childhood program does not demonstrate substantial compliance on one or more of the compliance indicators.

- One or more indicators does not have reliable data.
- Does not demonstrate timely correction of noncompliance—1 year.

### **Enforcement Activities**

- Advise the State, school district, or early childhood program of sources of technical assistance.
- Direct use of State, school district, or early childhood level funds to correct problem.
- Identify State, school district, or early childhood program as high risk.

### **Level 3–Needs Intervention**

Means that the State, school district, or early childhood program has not demonstrated the following for three consecutive years:

- Substantial compliance on one or more of the compliance indicators
- One or more indicators without reliable data
- Correction of noncompliance

### **Enforcement Activities**

- Any from Needs Assistance level
- Prepare corrective action plan.
- Compliance agreement
- Withhold a percentage of federal funds

### **Level 4–Needs Substantial Intervention**

Means that the State, school district, or early childhood program has failed to substantially comply, and those actions affect the core requirements of the program and services to children with disabilities. The State, school district, or early childhood program has informed the Department it is unwilling to comply.

### **Enforcement Activities**

- Any mentioned in levels 2–3
- Recover funds.
- Withhold further payments.
- Refer to Inspector General for enforcement action.

## **Part C Applicant Administrators Involvement**

The Part C Applicant Administrator should do the following:

- Understand the levels of determination as discussed in Proposed CFR 303.703, 303.704.
- Be familiar with the State's level of determination and why the State was assigned to that level.
- Know the early childhood level of determination and work with staff and stakeholders to improve the level of performance.

- Plan professional development activities based upon SPP/APR data and the early childhood level of determination.

Be a partner with the State in understanding and providing suggestions to improve data systems and performance on each of the 14 indicators under Part C. Remember, each time the performance improves, child results increase.

**For more information contact:**

Part C Coordinator  
South Dakota Department of Education/Birth to 3 Connections  
700 Governors Drive  
Pierre SD 57501  
605-773-3678

**Infant & Toddler Special Education – Part C  
Levels of Determination  
Under the Individuals with Disabilities Education Act (IDEA)  
Common Questions and Answers  
2007**

The following are frequently asked questions and their answers regarding Part C special education levels of determination.

**1-Q.** Is the State Birth to 3 Connections program required to make “Determinations”?

Pursuant to 616(a)(1)(C)(i) and 300.600(a), States are required to make determinations annually under 616(d) on the performance of local/regional Part C programs.

**2-Q.** Must the SD Birth to 3 Connections program use the same four categories that the U.S. Department of Education will use?

Yes; the SD Birth to 3 Connections program must use Meets Requirements, Needs Assistance, Needs Intervention, and Needs Substantial Intervention for local/regional Part C programs.

**3-Q.** What will the SD Birth to 3 Connections program consider in making the determinations?

The SD Birth to 3 Connections program could consider all the local/regional Part C program’s information and data available at the time of the determinations, including the following:

- Noncompliance with the preschool requirements of in-by-3.
- Correction of noncompliance identified by SD Birth to 3 Connections program monitoring and dispute resolution one year after notice to local/regional program
- Data submitted on time and valid/reliable
- Other

Additional measures will be used in future years.

**4-Q.** Is there a deadline for the SD Birth to 3 Connections program to make the determinations for their local programs?

There is nothing in the statute or a regulation that addresses a timeline for when the SD Birth to 3 Connections program must make determinations regarding the performance of their local programs. However, States need to make the determinations as soon as possible after making their annual report to the public on the performance of each program. It is important to ensure that local programs have time to improve performance prior to the next reporting to the SD Birth to 3 Connections program by each local program.

**5-Q.** Must the SD Birth to 3 Connections program report the determinations of each local program to the U.S. Department of Education and/or the public?

IDEA does not require the SD Birth to 3 Connections program to report to the Department or to the public the determinations the made regarding the performance of each program. The SD Birth to 3 Connections program, of course, must inform each local program of the determination regarding that particular program.

**6-Q.** Will there be information and resources if our local program is in Levels 2–4?

Yes; the SD Birth to 3 Connections program will provide sources of technical assistance to assist in correcting the problem(s) and noncompliance areas.

**7-Q.** Will there be fiscal assistance available for programs in Levels 3–4?

The local/regional program will be responsible for funding activities to correct their noncompliance issues.

**8-Q.** Can local/regional programs with similar issues work together and share technical assistance resources?

Yes; that approach is encouraged.

**9-Q.** How long will local programs have to correct noncompliance areas?

No more than one year from being notified of a noncompliance area.

**10-Q.** Will a local program's level of determination change if they correct a problem?

No; the level of determination will occur annually.

**11-Q.** Can a local program appeal their level of determination?

The SD Birth to 3 Connections program's decision will be final.

**12-Q.** Will the measures to determine the levels change from one year to the next?

Yes; additional indicators from the SPP will gradually be added.

**13-Q.** What is the "foundation" for the measures?

Accurate and timely data. Unless the local/regional program is submitting their data on time and it is valid and reliable, all else is suspect.

**14-Q.** Will how the SD Birth to 3 Connections program monitors local/regional programs be impacted by a program's level?

Yes; future monitoring visits will be determined by data and performance. The SD Birth to 3 Connections program will put their resources where they are needed most.

**15-Q.** Where can I get more information?

Part C Coordinator  
South Dakota Department of Education/Birth to 3 Connections  
700 Governors Drive  
Pierre SD 57501  
605-773-3678

## Improvement Plan

<p><b>Principle: General Supervision</b>                  Do appropriately trained public and private providers, administrators, teachers, paraprofessional and related service personnel provide services to infants and toddlers? Are parents aware of and have access to their right to effective systems for parent and child protections? Services to which an eligible infant and toddler is entitled under any other federal, state, private, and local sources, are not paid for with Part C funds.</p>		
<p><b>What's Happening Now?</b> (Statement of present levels of performance that resulted in area of non-compliance)</p>		
<p><b>Desired Outcome(s):</b> Through systemic change, the applicant area will achieve these results for infants and toddlers with developmental delays and their families.</p>		
<p><b>Activities/Strategies:</b> Include the specific measurable results that will be accomplished and the criteria that will be used to measure the results.</p>	<p><b>Timeline for Completion</b></p>	<p><b>Person(s) Responsible</b></p>
<p><b>Evidence of Change:</b> Identify what will be submitted to the state Birth to 3 Connections Program to show that families are aware of and have access to their right to effective systems of parent and child protections.</p>		

## IMPROVEMENT PLAN

<p><b>Principle: Early Intervention Services in Natural Environments</b>                  Do eligible infants and toddlers and their families receive early intervention services in natural environments appropriate for the child? Does each child and family have a service coordinator that assists them in receiving timely early intervention services in natural environments? Does the evaluation and assessment of the child and family needs lead to identification of all child needs, as well as all family needs, related to enhancing the development of the child?</p>		
<p><b>What's Happening Now?</b> (Statement of present levels of performance that resulted in area of non-compliance)</p>		
<p><b>Desired Outcome(s):</b> Through systemic change, the applicant area will achieve these results for infants and toddlers with developmental delays and their families.</p>		
<p><b>Activities/Strategies:</b> Include the specific measurable results that will be accomplished and the criteria that will be used to measure the results.</p>	<p><b>Timeline for Completion</b></p>	<p><b>Person(s) Responsible</b></p>
<p><b>Evidence of Change:</b> Identify what will be submitted to the state Birth to 3 Connections Program to show that eligible children and their families receive all services for which they are eligible in a natural environment.</p>		

## IMPROVEMENT PLAN

<p><b>Principle: Comprehensive Public Awareness and Child Find System</b>                  Are infants and toddlers with developmental delays and/or disabilities identified, evaluated, and referred for services? Does the implementation of a child find system result in identification, evaluation, and assessment of all eligible infants and toddlers?</p>		
<p><b>What</b></p>		
<p><b>Desired Outcome(s):</b> Through systemic change, the applicant area will achieve these results for infants and toddlers with developmental delays and their families.</p>		
<p><b>Activities/Strategies:</b> Include the specific measurable results that will be accomplished and the criteria that will be used to measure the results.</p>	<p><b>Timeline for Completion</b></p>	<p><b>Person(s) Responsible</b></p>
<p><b>Evidence of Change:</b> Identify what will be submitted to the state Birth to 3 Connections Program to show that all eligible children are identified, evaluated, and receive services.</p>		

## IMPROVEMENT PLAN

<b>Principle: Early Childhood Transition</b> Do all children exiting Part C receive the services they need by their third birthday?		
<b>What's Happening Now?</b> (Statement of present levels of performance that resulted in area of non-compliance)		
<b>Desired Outcome(s):</b> Through systemic change, the applicant area will achieve these results for infants and toddlers with developmental delays and their families.		
<b>Activities/Strategies:</b> Include the specific measurable results that will be accomplished and the criteria that will be used to measure the results.	<b>Timeline for Completion</b>	<b>Person(s) Responsible</b>
<b>Evidence of Change:</b> Identify what will be submitted to the state Birth to 3 Connections Program to show that transition planning prior to age 3 is occurring for all children and their families.		

## Improvement Plan

<p><b>Principle: Family Centered Services</b>          Are outcomes for infants and toddlers and their families enhanced by family-centered supports and systems of services? Are family-centered practices embedded in all aspects of the early intervention process from initial identification through the child’s transition to Part B or other services?</p>		
<p><b>What’s Happening Now?</b> (Statement of present levels of performance that resulted in area of non-compliance)</p>		
<p><b>Desired Outcome(s):</b> Through systemic change, the applicant area will achieve these results for infants and toddlers with developmental delays and their families.</p>		
<p><b>Activities/Strategies:</b> Include the specific measurable results that will be accomplished and the criteria that will be used to measure the results.</p>	<p><b>Timeline for Completion</b></p>	<p><b>Person(s) Responsible</b></p>
<p><b>Evidence of Change:</b> Identify what will be submitted to the state Office of Special Education to show that families are aware of and have access to their right to effective systems of parent and child protections.</p>		

**Quality Assurance**  
**Local Program \_\_\_\_\_**

\_\_\_\_\_ Date notice of review was sent to the local program to request information

\_\_\_\_\_ Date State requested information

\_\_\_\_\_ Exit Conference

\_\_\_\_\_ Preliminary Report to local program

\_\_\_\_\_ Local program signed off on the Preliminary Report

\_\_\_\_\_ Final Report

\_\_\_\_\_ Improvement Plan

\_\_\_\_\_ 1<sup>st</sup> Quarter Report

\_\_\_\_\_ 2<sup>nd</sup> Quarter Report

\_\_\_\_\_ 3<sup>rd</sup> Quarter Report

\_\_\_\_\_ 4<sup>th</sup> Quarter Report

\_\_\_\_\_ Closing File (at least one year after receiving the final report if there is an Improvement Plan)



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## Memorandum

To: Regional Birth to Three Program

From: SD Department of Education, Birth to 3 Connections Program

Date:

RE: Off-site monitoring

Attached please find the list of early intervention records that we would like copied and sent to us by \_\_\_\_\_. We will be reviewing 30 % of each service coordinator's active child list. The list is blindly selected based on children with active IFSPs on December 1, \_\_\_\_\_. If any of the names listed are problematic, please contact me and we can select an alternate.

Copy everything in the file including the record of access form, with the exception of PLRs, therapy notes, and medical information unless specific to the child's eligibility, such as a medical diagnosis. If you do not maintain the entire file, please obtain copies of that portion of the file which is maintained elsewhere so that all documentation of evaluation results and reports can be reviewed by our office.

For transition only files, please send the record of access form, latest IFSP, latest IFSP meeting notice, and IEP cover page if appropriate. If the child did not transition to an IEP, send the notice of meeting to discuss the evaluation results, etc.

**In addition, we need a list of parent names and addresses so that we can mail them a satisfaction survey. The list must include all names and contact information of the parents of a child who is currently on an IFSP. I would appreciate this list as soon as possible, but no later than \_\_\_\_\_ to allow families sufficient time to respond to the survey.**

Also, we will be interviewing two providers and two parents with whom each service coordinator has worked. Basic information about each person is helpful so that we are able to facilitate the interviews with ease. Please send the names and contact information and if possible, the best time to contact them. Please send the information no later than \_\_\_\_\_.

You may bill our office for the cost of copies and postage by submitting an invoice.

Thank you.

Enclosure: Child List

Local Program \_\_\_\_\_ **BIRTH TO 3 CONNECTIONS**

**CHILD LIST**  
**QUALITY ASSURANCE REVIEW**  
 \_\_\_\_\_ **2007**

SC Name: _____		SC Name: _____		SC Name: _____	
Active IFSP Files		Active IFSP Files		Active IFSP Files	
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					



**BIRTH TO THREE CONNECTIONS IN SOUTH DAKOTA  
EARLY INTERVENTION RECORD REVIEW**

Child's Name: \_\_\_\_\_ DOB: \_\_\_\_\_

Applicant Area: \_\_\_\_\_ Date of Review: \_\_\_\_\_ Reviewer \_\_\_\_\_

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**CONFIDENTIALITY**

- Y  N Record of Access form used (GS)
- Y  N Types and locations of records on the child (GS)
- Y  N  N/A Release of information form (GS)
- Y  N  N/A Amendment of records at parents' request (GS)
- Y  N Records contain information on only one child in the file (GS)

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**SURROGATE PARENT**

- Y  N  NA Surrogate parent appointed (GS)

---

**SCREENING**

- Y  N  NA The screening results were reviewed within 5 working days  
\_\_\_\_\_ Date of screening \_\_\_\_\_ Date results shared (CF)
- Y  N The screening results were reviewed by: (CF)  
 parent or guardian;  
 the screener; and  
 the initial service coordinator

---

**EVALUATION**

- Y  N Notice/Consent for evaluation received prior to evaluations being conducted. (GS)  
Date consent: \_\_\_\_\_  
Evaluation date: \_\_\_\_\_
- Y  N Notice of evaluation contains all content (GS)  
 Action being proposed or refused  
 Reasons for action taken  
 Procedural safeguards available  
 Description of each evaluation procedure used  
 Description of any other relevant factors  
 Definition of consent  
 Parent Consent acquired
- Y  N IFSP meeting conducted within 45 calendar days (CE)

Date received referral: \_\_\_\_\_

Date of IFSP meeting: \_\_\_\_\_

- Y  N  N/A Documentation of exceptional circumstances. (CC)
  - Signature of parent
  - Family request
- Y  N Evaluated in all developmental areas (CC)
- Y  N Child assessed in native language or an interpreter used (CC)
- Y  N Valid tests (materials and procedures not culturally or racially discriminatory) (CC)
- Y  N Multidisciplinary evaluation (more than one discipline) (CC)
- Y  N Multifaceted (more than one instrument) (CC)
- Y  N Eligibility determination documentation completed (CE)
- Y  N  N/A Informed Clinical Opinion documented (CE)
- Y  N  N/A Medical records documenting a medical diagnosis that has a high probability of leading to a developmental delay (CE)
- Y  N School district determined eligibility for prolonged assistance (CC)

---

**INDIVIDUAL FAMILY SERVICE PLAN (Most Recent)**

- Y  N 5-day prior notice for IFSP meeting (GS, CE)
  - Date Sent: \_\_\_\_\_
  - Date of IFSP Meeting: \_\_\_\_\_
- Y  N Notice of IFSP meeting includes: (GS)
  - Action being proposed or refused
  - Reasons for action taken
  - Procedural safeguards available
  - Description of any other relevant factors
    - Date
    - Time
    - Location
    - Purpose
    - Persons attending
- Y  N  N/A IFSP reevaluated annually; from \_\_\_\_\_ to \_\_\_\_\_ (CE)
 

(not to exceed 365 days)
- Y  N IFSP meeting conducted in Native language... (CE)
- Y  N Required participants/others (CE)
  - Parents or Surrogate Parents

- Service Coordinator
- Person or persons directly involved in conducting evaluations and assessments at initial IFSP or if eligibility is re-determined
- Person or persons who will be providing services
- At initial IFSP or if child in need of prolonged assistance, school district representation
- Others requested by parent

Y  N      Family afforded the opportunity to identify resources, priorities, and concerns (CF, CE)

Y  N      Present levels of development (CE)

- Cognitive                       Communication
- Physical (including hearing, vision, health status)
- Social/Emotional               Adaptive

Y  N      Outcomes (CF, CE)

- Has measurable criteria
- Activities/Strategies linked to outcome

Y  N      Early Intervention Services (CE, GS)

- Frequency/Intensity
- Method
- Location (only one per service line)
- Position/Responsible Agency/Provider
- Financial Responsibility
- Service Coordination
- Initiation date (month/date/year)
- Duration date (month/date/year)
- 1<sup>st</sup> date of service provided within 30 days of initiation date (see service logs for Prolonged or PLR billing date for Part C only for all initial IFSPs)
- Outcome for every service listed with possible exception of service coordination and transportation
- Continuous services (summer)

Y  N      Transportation needs have been reviewed (CE)

Y  N      Natural environment addressed (CE)

- If service not provided in a natural environment, justification addresses why early intervention cannot be achieved satisfactorily for the child in a natural environment

Y  N      Other services (CE)

- Service
- Provider (if known)
- Funding Source or steps to be taken to obtain services
- All "other services" identified on family needs assessment addressed

Y  N      After full explanation of IFSP parental consent for services on IFSP (CE, GS)

Y  N      Copy of IFSP given to parent (GS)

Y  N

Transition planning (CT)

For transitions prior to age three, team documents in comments or “other” section child’s age and future steps

For transition at age 3, plan developed on page 7 of IFSP

Referral to school district (if appropriate)

Date: \_\_\_\_\_ (At least 90 days before age 3) \_\_\_\_\_ DOB

Date transition to be initiated is indicated

---

**IFSP 6 MONTH REVIEW**

Y  N  N/A

Review held at least every 6 months (CE)

IFSP Date \_\_\_\_\_ Review Date \_\_\_\_\_

Y  N

5 day prior notice for IFSP Review Date sent: \_\_\_\_\_

Date of IFSP Review Meeting: \_\_\_\_\_ (GS)

Y  N

Review occurs by means other than a meeting (CE)

Y  N

Notice of IFSP review meeting includes: (GS)

Action being proposed or refused

Reasons for action taken

Procedural safeguards available

Description of any other relevant factors

Date

Time

Location

Purpose

Persons attending

Y  N

Required participants (CE)

Parent or surrogate

Service coordinator

Others, if conditions warrant

Y  N  N/A

Modifications/Revisions (CE)

Outcomes -Activities/Strategies

Early Intervention Services changes noted if appropriate

Y  N

After full explanation of review and modifications of IFSP, parental consent for provision of services on IFSP is documented. (GS)

# Interview Scheduler

NAME	PHONE	TIME	DAY/DATE	COMMENTS
__service provider __service coordinator __parent				
__service provider __service coordinator __parent				
__service provider __service coordinator __parent				
__service provider __service coordinator __parent				
__service provider __service coordinator __parent				
__service provider __service coordinator __parent				
__service provider __service coordinator __parent				
__service provider __service coordinator __parent				
__service provider __service coordinator __parent				
__service provider __service coordinator __parent				
__service provider __service coordinator __parent				
__service provider				

Interview Scheduler.doc

__service coordinator __parent				
__service provider __service coordinator __parent				
__service provider __service coordinator __parent				
__service provider __service coordinator __parent				
__service provider __service coordinator __parent				

General Supervision - GS

Components	Authority to Investigate
<ul style="list-style-type: none"> <li>✓ <i>Do appropriately trained public and private providers, administrators, teachers, paraprofessional and related service personnel provide services to infants and toddlers?</i></li> <li>✓ <i>Are parents aware of and have access to their right to effective systems for parent and child protections?</i></li> <li>✓ <i>Services to which an eligible infant and toddler is entitled under any other federal, state, private, and local sources, are not paid for with Part C funds.</i></li> </ul>	<p style="text-align: center;"><u>24:14 – Part C</u></p> <p>24:14:14 Procedural Safeguards</p> <ul style="list-style-type: none"> <li>02 Opportunity to examine records</li> <li>03 Prior Notice</li> <li>04 Native Language</li> <li>05 Parental Consent</li> <li>06 Parent’s Right to Decline Service</li> <li>07 Surrogate Parent</li> <li>08 Determining need for Surrogate Parent</li> <li>09 Assigning a Surrogate Parent</li> <li>10 Surrogate not to be employee of agency</li> <li>11 Responsibility of Surrogate Parent</li> <li>12 Administrative hearings</li> <li>13 Hearing issues</li> <li>14 Initiating an administrative hearing</li> <li>15 Mediation process</li> <li>16 Appointment of mediator</li> <li>17 Conflicts of interest prohibited</li> <li>18 Hearing rights</li> <li>19 Convenience of hearings</li> <li>20 Timelines for hearing</li> <li>21 Appeal of administrative decision</li> <li>22 Status of child during proceedings</li> </ul> <p>24:14:15 Confidentiality of Information</p> <ul style="list-style-type: none"> <li>03 Annual Notification of Rights</li> <li>04 Access Rights</li> <li>05 Record of Access</li> <li>06 Records on More than one Child</li> <li>07 List of Types and locations of Information</li> <li>08 Fees</li> <li>09 Amendment of Records at Parent’s request</li> <li>10 Opportunity for a hearing</li> <li>11 Hearing procedures</li> <li>12 Result of hearing</li> <li>13 Consent</li> <li>14 Safeguards</li> <li>15 Destruction of Information</li> </ul> <p>24:14:16 Comprehensive System of Personnel Development</p> <ul style="list-style-type: none"> <li>02 Personnel standards</li> </ul> <p>24:14:04 Financial Matters</p> <ul style="list-style-type: none"> <li>01 Services provided at no cost</li> <li>02 Services subject to payment</li> <li>03 Fees</li> <li>04 Entitled services</li> <li>10 Payer of last resort</li> </ul> <p>24:14:02 General Administration</p> <ul style="list-style-type: none"> <li>02 Entitlement to services-payment for services</li> </ul> <p>24:14:05 Reporting Requirements</p> <ul style="list-style-type: none"> <li>02 Contents of Client Information report</li> </ul> <p style="text-align: center;"><u>24:05 Part B</u></p>
<p><b>Areas of Finding</b></p>	

Early Childhood Transition - CT

Components	Authority to Investigate
<p>✓ <i>Do all children exiting Part C receive the services they need by their third birthday?</i></p> <p>✓ <i>Are all children eligible for Part B services receiving special education and related services by their third birthday?</i></p> <p>✓ <i>Are all children not eligible for services under Part B receiving other appropriate services by their third birthday?</i></p> <p style="text-align: center;"><b>Areas of Finding</b></p>	<p style="text-align: center;"><u>24:14 Part C</u></p> <p>24:14:13 Individual Family Service Plan 05 Transition from early intervention program</p> <p style="text-align: center;"><u>24:05 Part B</u></p> <p>24:05:27 Individual Educational Program 21 Transition to Preschool Program</p>

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Family-Centered Services - CF

Components	Authority to Investigate
<p>✓ <i>Are outcomes for infants and toddlers and their families enhanced by family-centered supports and systems of services?</i></p> <p>✓ <i>Are family centered practices embedded in all aspects of the early intervention process from initial identification through the child's transition to Part B or other services?</i></p> <p style="text-align: center;"><b>Areas of Finding</b></p>	<p style="text-align: center;"><u>24:14 Part C</u></p> <p>24:14:08 Early Intervention Services</p> <p style="padding-left: 20px;">01 General requirements for early intervention services</p> <p>24:14:12 Evaluation and Assessment</p> <p style="padding-left: 20px;">03 Family-directed identification of needs</p>

Early Intervention Services in Natural Environments - CE

Components	Authority to Investigate
<p>✓ <i>Do eligible infants and toddlers and their families receive early intervention services in natural environments appropriate for the child?</i></p> <p>✓ <i>Does each child and family have a service coordinator that assists them in receiving timely early intervention services in natural environments?</i></p> <p>✓ <i>Does the evaluation and assessment of the child and family needs lead to identification of all child needs, as well as all family needs, related to enhancing the development of the child?</i></p> <p style="text-align: center;"><b>Areas of Finding</b></p>	<p style="text-align: center;"><u>24:14 Part C</u></p> <p>24:14:07 Developmental Delay</p> <p style="padding-left: 20px;">01 Informed Clinical Opinion</p> <p style="padding-left: 20px;">02 Children Eligible for Services</p> <p style="padding-left: 20px;">03 Areas Manifesting developmental delay</p> <p style="padding-left: 20px;">04 Eligibility verification</p> <p>24:14:08 Early Intervention Services</p> <p style="padding-left: 20px;">01 General requirements for early intervention services</p> <p style="padding-left: 20px;">02 Natural Environments</p> <p style="padding-left: 20px;">03 General requirements for service providers</p> <p style="padding-left: 20px;">21 Other services</p> <p>24:14:09 Early Intervention Service Coordination</p> <p style="padding-left: 20px;">01 Responsibilities of service coordinator</p> <p style="padding-left: 20px;">02 Activities of service coordinator</p> <p style="padding-left: 20px;">03 Qualifications of service coordinator</p> <p>24:14:13 Individual Family Service Plan</p> <p style="padding-left: 20px;">03 Development, Review, and evaluation of IFSP</p> <p style="padding-left: 20px;">04 Content of IFSP</p> <p style="padding-left: 20px;">06 Participants in IFSP meetings and periodic reviews</p> <p style="padding-left: 20px;">07 Provision of services before completion of evaluation and assessment</p> <p style="padding-left: 20px;">08 Responsibility and accountability for IFSP</p> <p>24:14:01 Definitions</p> <p style="padding-left: 20px;">01(12) “Multidisciplinary”</p>

**Comprehensive Public Awareness and Child Find System – CC**

Components	Authority to Investigate
<p>✓ <i>Are all infants and toddlers with developmental delays and/or disabilities identified, evaluated, and referred for services?</i></p> <p>✓ <i>Does the implementation of a child find system result in identification, evaluation, and assessment of all eligible infants and toddlers?</i></p> <p align="center"><b>Areas of Finding</b></p>	<p align="center"><u>24:14 Part C</u></p> <p>24:14:10 Comprehensive Child Find System</p> <p>    01 Comprehensive child find system</p> <p>    05 Primary referral sources</p> <p>24:14:11 Screening and referral</p> <p>    02 Settings for screenings</p> <p>    03 Initial screening procedures</p> <p>    04 Areas to be screened</p> <p>    05 Results of screening</p> <p>    06 Primary referral sources</p> <p>24:14:12 Evaluation and assessment</p> <p>    02 Evaluation and assessment of Individual child</p> <p>    04 Nondiscrimination</p> <p align="center"><u>24:05 Part B</u></p> <p>24:05:13 Definitions</p> <p>    01(12) “Eligible Student”</p> <p>    01(26) “Special Education”</p> <p>24:05:22 Child Identification</p> <p>    01 District required to identify children in need of special education or special education and related services</p> <p>24:05:24 Referral procedures</p> <p>    01 Referral</p> <p>    02 Duties of a District after referral</p> <p>    03 Duties of a District after informal review</p> <p>    04 Documentation of referrals not evaluated</p> <p>24:05:24.01 Eligibility criteria</p> <p>    15 Prolonged assistance defined</p> <p>24:05:25 Evaluation and Placement Procedures</p> <p>    02 Nondiscrimination</p> <p>    04.03 Determination of eligibility</p> <p>    05 Eligibility and placement procedures</p>

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## Improvement Plan

<p><b>Principle: General Supervision</b>                  Do appropriately trained public and private providers, administrators, teachers, paraprofessional and related service personnel provide services to infants and toddlers? Are parents aware of and have access to their right to effective systems for parent and child protections? Services to which an eligible infant and toddler is entitled under any other federal, state, private, and local sources, are not paid for with Part C funds.</p>		
<p><b>What's Happening Now?</b> (Statement of present levels of performance that resulted in area of non-compliance)</p>		
<p><b>Desired Outcome(s):</b> Through systemic change, the applicant area will achieve these results for infants and toddlers with developmental delays and their families.</p>		
<p><b>Activities/Strategies:</b> Include the specific measurable results that will be accomplished and the criteria that will be used to measure the results.</p>	<p><b>Timeline for Completion</b></p>	<p><b>Person(s) Responsible</b></p>
<p><b>Evidence of Change:</b> Identify what will be submitted to the state Birth to 3 Connections Program to show that families are aware of and have access to their right to effective systems of parent and child protections.</p>		

## IMPROVEMENT PLAN

<p><b>Principle: Early Intervention Services in Natural Environments</b>                  Do eligible infants and toddlers and their families receive early intervention services in natural environments appropriate for the child? Does each child and family have a service coordinator that assists them in receiving timely early intervention services in natural environments? Does the evaluation and assessment of the child and family needs lead to identification of all child needs, as well as all family needs, related to enhancing the development of the child?</p>		
<p><b>What's Happening Now?</b> (Statement of present levels of performance that resulted in area of non-compliance)</p>		
<p><b>Desired Outcome(s):</b> Through systemic change, the applicant area will achieve these results for infants and toddlers with developmental delays and their families.</p>		
<p><b>Activities/Strategies:</b> Include the specific measurable results that will be accomplished and the criteria that will be used to measure the results.</p>	<p><b>Timeline for Completion</b></p>	<p><b>Person(s) Responsible</b></p>
<p><b>Evidence of Change:</b> Identify what will be submitted to the state Birth to 3 Connections Program to show that eligible children and their families receive all services for which they are eligible in a natural environment.</p>		

## IMPROVEMENT PLAN

<p><b>Principle: Comprehensive Public Awareness and Child Find System</b>                  Are infants and toddlers with developmental delays and/or disabilities identified, evaluated, and referred for services? Does the implementation of a child find system result in identification, evaluation, and assessment of all eligible infants and toddlers?</p>		
<p><b>What</b></p>		
<p><b>Desired Outcome(s):</b> Through systemic change, the applicant area will achieve these results for infants and toddlers with developmental delays and their families.</p>		
<p><b>Activities/Strategies:</b> Include the specific measurable results that will be accomplished and the criteria that will be used to measure the results.</p>	<p><b>Timeline for Completion</b></p>	<p><b>Person(s) Responsible</b></p>
<p><b>Evidence of Change:</b> Identify what will be submitted to the state Birth to 3 Connections Program to show that all eligible children are identified, evaluated, and receive services.</p>		

## IMPROVEMENT PLAN

<b>Principle: Early Childhood Transition</b> Do all children exiting Part C receive the services they need by their third birthday?		
<b>What's Happening Now?</b> (Statement of present levels of performance that resulted in area of non-compliance)		
<b>Desired Outcome(s):</b> Through systemic change, the applicant area will achieve these results for infants and toddlers with developmental delays and their families.		
<b>Activities/Strategies:</b> Include the specific measurable results that will be accomplished and the criteria that will be used to measure the results.	<b>Timeline for Completion</b>	<b>Person(s) Responsible</b>
<b>Evidence of Change:</b> Identify what will be submitted to the state Birth to 3 Connections Program to show that transition planning prior to age 3 is occurring for all children and their families.		

## Improvement Plan

<p><b>Principle: Family Centered Services</b>                  Are outcomes for infants and toddlers and their families enhanced by family-centered supports and systems of services? Are family-centered practices embedded in all aspects of the early intervention process from initial identification through the child's transition to Part B or other services?</p>		
<p><b>What's Happening Now?</b> (Statement of present levels of performance that resulted in area of non-compliance)</p>		
<p><b>Desired Outcome(s):</b> Through systemic change, the applicant area will achieve these results for infants and toddlers with developmental delays and their families.</p>		
<p><b>Activities/Strategies:</b> Include the specific measurable results that will be accomplished and the criteria that will be used to measure the results.</p>	<p><b>Timeline for Completion</b></p>	<p><b>Person(s) Responsible</b></p>
<p><b>Evidence of Change:</b> Identify what will be submitted to the state Office of Special Education to show that families are aware of and have access to their right to effective systems of parent and child protections.</p>		