

Virginia Part C Early Intervention (EI) Quality Record Review Tool for Local Early Intervention Systems

The purpose of this tool is to assist Local Lead Agencies in assessing quality and appropriateness of documentation and service delivery and to identify the need for technical assistance from the Infant & Toddler Connection of Virginia.

| TOPIC: Intake | Present (Y/N) | LEIS Review Comments |
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| Is there written evidence that the Service Coordinator (SC) informed the family about Early Intervention (EI) services and the IFSP process? | | |
| Is there written evidence that the parent was provided a written notice and explanation of the family's rights and procedural safeguards under Part C? | | |
| Is there written evidence that information was gathered about the child's development and health history to assist with eligibility determination? | | |
| Is there evidence that parent consent was given to request existing information about the child's development and health history to be used in Eligibility Determination? | | |
| For children with Medicaid, is there a signed Initial Early Intervention Service Coordination Plan on file? | | |
| TOPIC: Eligibility Determination (ED) | Present (Y/N) | LEIS Review Comments |
| Is there written evidence that the family received and signed the Notice and Consent to Determine Eligibility? | | |
| Is the eligibility determination date, methods, participants, results, parent/guardian's name, and child's name documented on the eligibility determination form? | | |

| TOPIC: Eligibility Determination (ED) | Present (Y/N) | LEIS Review Comments |
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| For children found eligible by records, do the records document level of functioning that constitutes a developmental delay or that the child otherwise meets criteria for an infant and toddler with a disability? | | |
| Unless established by records, does the Eligibility Determination include the use of an evaluation (screening) tool; taking child's history and gathering information from the parent; identifying level of functioning in cognitive, physical, communication, social or emotional and adaptive behavior; gathering information from other sources and reviewing records, as appropriate? | | |
| Did the required participants participate in Eligibility Determination? | | |
| Did the eligibility determination participants have current EI certification and current discipline qualifications)? | | |
| Was eligibility determined prior to moving to ASP (at initial) and IFSP development? | | |
| Is there an eligibility determination form completed that clearly documents that the child was determined eligible for early Intervention during or within the previous 12 months? | | |
| Is there written evidence that the family was offered/ provided a copy and explanation of the eligibility determination form? | | |
| Was a prior written notice (Parental Prior Notice form) provided/sent to the family, for children found ineligible, documenting that the child has been determined to be not eligible? | | |
| Is there written evidence that a copy and explanation of the notice of child and family rights and safeguards was provided/ offered to the family for children found ineligible? | | |
| For children with Medicaid, is there evidence that the Medicaid Notice of Action form was completed and provided to the parent if the child was found ineligible? | | |

| TOPIC: Assessment for Service Planning (ASP) | Present (Y/N) | LEIS Review Comments |
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| Is there written evidence that the family received and signed a Notice and Consent for Assessment for Service Planning indicating the action proposed? | | |
| If the ASP was done fewer than 5 days from notice and consent, did the family initial and date the information in the box indicating that they understood and agreed that the activities could proceed prior to the 5 calendar day prior notice timeline? | | |
| Is there written evidence that a copy and explanation of the notice of child and family rights and safeguards was provided/ offered to the family? | | |
| Was the initial ASP conducted within 45 days from the date of referral if the parent agreed? | | |
| Was the ASP conducted by a multidisciplinary team of certified EI professionals with current discipline specific qualifications? | | |
| If applicable, is there written evidence that the assessment was conducted in the native language of the parent or other mode of communication used by the parent unless the early intervention service providers conducting the assessment of the child determine that the language normally used by the child is developmentally appropriate for the child? | | |
| Unless there is documentation that the family declined, does the ASP section of the IFSP include documentation of family directed assessment of the resources, priorities, and concerns of the family to support identification of the supports and services necessary to enhance the family's capacity to meet the child's developmental needs? | | |
| Does the multidisciplinary assessment document the child's unique strengths and needs? | | |
| Does the ASP section of the IFSP include identification of the child's level of functioning in each developmental area? | | |

| TOPIC: Assessment for Service Planning (ASP) | Present (Y/N) | LEIS Review Comments |
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| Does the ASP section of the IFSP document that the multidisciplinary assessment included use of a comprehensive assessment tool? | | |
| Does the ASP section of the IFSP document that the multidisciplinary assessment included a review of the results of the eligibility determination? | | |
| Does the ASP section of the IFSP document that the multidisciplinary assessment included personal observations of the child? | | |
| If the child is new to Virginia's EI system, does the ASP section of the IFSP document that the multidisciplinary assessment included determination of entry ratings on the child outcome indicators required by the U.S. Department of Education, Office of Special Education Programs? | | |
| Is child's name on the ASP report (section of IFSP)? | | |
| Are the names of providers who participated in the ASP documented? | | |
| Is there documentation of the amount of time spent by each provider who participated and billed for the ASP? | | |
| Is the date of the ASP listed and does it match the date billed? | | |
| Does the amount of time documented match the amount of time billed? | | |
| Was the correct billing code used (Medicaid)? | | |
| TOPIC: Individualized Family Service Plan (IFSP) Development | Present (Y/N) | LEIS Review Comments |
| Was prior written notice (Parental Prior Notice form) provided to the family for development of the Initial/ Annual IFSP? | | |
| If the IFSP meeting was held the same day or within 5 days of notification, did the copy of the parental prior notice documentation reflect that the family initialed and dated the information in the box indicating that they understood and agreed that the activities could proceed prior to the 5 calendar day prior notice timeline? | | |

| TOPIC: Individualized Family Service Plan (IFSP) Development | Present (Y/N) | LEIS Review Comments |
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| Is there written evidence that a copy and explanation of the notice of child and family rights and safeguards was provided/ offered to the family? | | |
| Is the child's first and last name documented? | | |
| Does the IFSP include documentation of assessment results? | | |
| Does the IFSP include child outcomes? | | |
| Are individualized service coordination outcomes added as appropriate? | | |
| Are the outcomes related to the child and family assessment, including family priorities, resources and concerns? | | |
| Do the outcomes describe the routines/activities during which the behavior occurs? | | |
| Do the outcomes describe the desired functional skill/behavior? | | |
| Do the outcomes include the objective and measurable criteria that are used to determine if/when they are met? | | |
| Does Section V (entitled services) include all required items? | | |
| Is there a dated parent signature on the IFSP? | | |
| Does the dated parent signature match the IFSP date? | | |
| Does the Addendum Page include the name of the practitioner(s) and contact | | |
| Is there documentation on IFSP Addendum Page signed by the Parent/Guardian verifying Choice of Provider? (Initially and each time a service is added). | | |
| Is there documentation of the length of the IFSP meeting? | | |
| Is there documentation of how much time each provider who billed was present during the IFSP meeting? | | |
| Does the documented amount of time present match what was billed? | | |
| Was the correct billing code used (Medicaid)? | | |

| TOPIC: Individualized Family Service Plan (IFSP) Reviews | Present (Y/N) | LEIS Review Comments |
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| Was prior written notice (Parental Prior Notice form) provided to the family for revision/review of the IFSP? | | |
| If the IFSP meeting was held the same day or within 5 days of notification, did the copy of the parental prior notice documentation reflect that the family initialed and dated the information in the box indicating that they understood and agreed that the activities could proceed prior to the 5 calendar day prior notice timeline? | | |
| Is there written evidence that a copy and explanation of the notice of child and family rights and safeguards was provided/ offered to the family? | | |
| Is the child's first and last name documented on the IFSP Review? | | |
| Is the date of the Review listed? | | |
| Is the reason for the Review documented? | | |
| Is the meeting discussion documented including a determination of the degree to which progress has been made toward achieving outcomes? | | |
| Are team decisions documented including projected date for any changes? | | |
| Are the participants listed? | | |
| Are changes in services reflected in Section V and the Addendum of the IFSP? | | |
| Is parent signature and date on the IFSP Review page? | | |
| Is there documentation of the length of the IFSP Review meeting? | | |
| Is there documentation of how much time each provider who billed was present during the IFSP Review meeting? | | |
| Does the amount of time each provider spent match the amount billed (Medicaid)? | | |
| Does the documented review date match the date listed on the claim? | | |
| Was the correct billing code used (Medicaid)? | | |
| For children with Medicaid, was a Notice of Action provided, if applicable? | | |

| TOPIC: Start of Services | Present (Y/N) | LEIS Review Comments |
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| Did each early intervention service listed on a child's IFSP begin no more than 30 days from the date the parent signed the IFSP or IFSP Review unless the IFSP team decided on and documented the reasons for a later start date to meet the individual needs of the child and family? (The 30- day timeline does not apply to delivery of an assistive technology device, which must be secured as soon as possible after the parent signs the IFSP.) | | |
| TOPIC: Service Coordination/ Targeted Case Management (TCM) | Present (Y/N) | LEIS Review Comments |
| Is there a signed IFSP with service coordination outcomes OR for children with Medicaid, an Initial Early Intervention Service Coordination Plan in place? | | |
| For children with Medicaid, is there written documentation of the family's preferred method of contact for the family contacts and any change in the family's preferred method of contact? | | |
| Is there documentation of the service coordination short-term goal that the contact activity addresses and progress towards achieving the service coordination goal? | | |
| Does the contact note include the child's first and last name? | | |
| Does the contact note specify service coordination as the activity? | | |
| Does the contact note include the method of contact? | | |
| Does the contact note include the date of the note and the date of the contact, if the note is not written on the same date? | | |
| Is there documentation of the length of the contact or activity? | | |
| Does the contact note include the early intervention service coordinator signature, with minimum first initial and last name, discipline and credentials of the provider, and the date the note is signed by the service coordinator? | | |

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| Is there clear evidence that the EI SC documented all contacts made and all activities completed with or on behalf of families in a contact note within five business days of the contact? | | |
| TOPIC: Service Coordination/ Targeted Case Management (TCM) | Present (Y/N) | LEIS Review Comments |
| For children with Medicaid, is there documentation of (at least) every three month family contacts? | | |
| For children with Medicaid, was there documentation of an “allowable” (billable) TCM activity for the month billed? | | |
| For children with Medicaid, is there documentation that service coordinator observed child during the month of the initial or annual IFSP? | | |
| For children with Medicaid, is there documentation that the child’s physician was requested to complete the health status indicator report every six months? | | |
| TOPIC: Service Sessions | Present (Y/N) | LEIS Review Comments |
| Does the contact note include the child’s first and last name? | | |
| Does the contact note include the type of early intervention service provided (i.e. PT, OT, SLP, DS)? | | |
| Does the contact note include the type of contact? | | |
| Does the contact note include the date of the note and the date of the contact, if the note is not written on the same date? | | |
| Does the contact note include who was present? | | |
| Is the length of the session (in minutes) documented? | | |
| Is the location or setting in which the service was provided documented? | | |
| Does the contact note include information from family/caregiver about what has happened since last session including progress on joint plan developed at previous session? | | |

| TOPIC: Service Sessions | Present (Y/N) | LEIS Review Comments |
|---|------------------|----------------------|
| Does the contact note include a narrative description of what occurred during the session, in relation to outcomes and goals, including | | |
| <ul style="list-style-type: none"> • what was done (by the provider), | | |
| <ul style="list-style-type: none"> • what the family or other caregiver did during the session (including specifically how they participated during the session), | | |
| <ul style="list-style-type: none"> • how the child responded during the session (including what the child was able to do in relation to outcomes and goals), and | | |
| <ul style="list-style-type: none"> • Suggestions for follow up? | | |
| Does the contact note include the plan for the next contact? | | |
| Is there documentation of joint planning with families about incorporating strategies into routines and activities between sessions? | | |
| Does the contact note include the early intervention service provider signature, with minimum first initial and last name, discipline and credentials of the provider, and the date the note is signed by the provider? | | |
| Does the service length documented on the note match the length listed on the IFSP – and if not, is there an appropriate explanation? | | |
| Does the service length documented match the number of units reimbursed? | | |
| Was the service provided in location specified in IFSP? If not, is there appropriate explanation? | | |
| Did the number of intervention sessions provided match what was on the IFSP? | | |
| If number of sessions was more or less, is there documentation explaining why? | | |
| Is there clear evidence that the EI Service Provider documented all contacts made and all activities completed with or on behalf of families in a contact note within five business days of the contact? | | |
| Was the correct billing code used? | | |

| TOPIC: Provider Certification | Present (Y/N) | LEIS Review Comments |
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| Is the Service Coordinator's EI certification current? | | |
| Is the Service Provider(s) EI certification current? | | |
| Is the Service Provider(s) specific qualifications/ license current? | | |
| If the Service Provider is an EI Specialist, is there documentation that Supervision is provided? | | |
| TOPIC: Transition | Present (Y/N) | LEIS Review Comments |
| Does section VII document development of a transition plan in the IFSP at least 90 days, and (at the discretion of all parties) up to nine months, before the child's third birthday, or anticipated date of transition if the child is age two years by September 30 of a given school year, for all children exiting early intervention? | | |
| For each child who is potentially eligible for preschool services under Part B, and unless the parent objects, does section VII document notification to the local school division and the Virginia Department of Education not fewer than 90 days before the child's third birthday or the anticipated date of transition if the child is age two years by September 30 of a given school year? | | |
| For each child potentially eligible for preschool services under Part B, is there documentation that the service coordinator, with the approval of the child's family, held a transition conference among the local early intervention system, the family, and the local school division at least 90 days and (at the discretion of all parties) up to nine months before the child's third birthday, or anticipated date of transition if the child is age two years by September 30 of a given school year, to discuss any services the child may receive under Part B? | | |

| TOPIC: Transition | Present (Y/N) | LEIS Review Comments |
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| For each child not potentially eligible for preschool services under Part B, is there documentation that the service coordinator, with the approval of the family, makes a reasonable effort to convene a transition conference among the local early intervention system, the family, and providers of other appropriate services, as available, to discuss appropriate services that the child may receive? | | |
| Do the transition plan meeting and the transition conference, whether combined or held separately, meet the requirements of an IFSP Review meeting? | | |
| By the time the child transitions, does the transition plan documented in Section VII of the IFSP include required information completed for at least steps 1a, 2a, 2b, 2c, and 5b? | | |
| TOPIC: Physician Certification In order to be reimbursed by Medicaid and as needed for private insurance, physician (or nurse practitioner or physician assistant) certification is required for the initial IFSP, annual IFSP and anytime a service is changed or added (IFSP Review). | Present (Y/N) | LEIS Review Comments |
| For children with Medicaid, is the entire IFSP certified by a physician within 30 days after the first service begins for the initial IFSP? | | |
| For children with Medicaid, is the physician certification signed within 30 days after the first service begins for the services on the IFSP including changes in services as the result of an IFSP Review? | | |
| For children with Medicaid, is the physician certification signed within 30 days after the first service begins for services listed on the Annual IFSP (regardless of whether they have changed from the prior IFSP)? | | |

| TOPIC: Family Cost Share (FCS) and Third Party Liability (TPL) A completed, signed FCS is required for billing and reimbursement of EI services. | Present (Y/N) | LEIS Review Comments |
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| Is there a current, completed, signed and dated Family Cost Share (FCS) Agreement on file including an information release and assignment of benefits? | | |
| Is there a new FCS Agreement completed at the Annual IFSP review? | | |
| Was the FCS Agreement updated if there was a change in the family's financial situation (including addition or loss of insurance coverage)? | | |
| Are appropriate boxes checked under use of medical insurance? | | |
| Does the FCS form indicate full charge, discounted fees, or Medicaid/ FAMIS/ No income? | | |
| Is the child dually enrolled with Medicaid and another third party payor? | | |
| If yes, was the other third party payor billed? | | |
| If the other third party payor was not billed or if the family declined to bill private insurance was there a "Notice to DMAS: Family Declining to Bill Private Insurance" letter, OR was the service one that is not covered by other third party payors? | | |