

EI: Individual Procedural Compliance Review (PCR) Form

Overview
 Programs are responsible for compliance with **all of the state and federal IDEA regulations (34 CFRs and Division 15 OARs)** for students with disabilities.

1. This form is used to monitor compliance as one component of the state’s general supervision responsibilities.
2. This document contains selected standards, file review guidance to help ensure consistent understanding and application of standards, federal and state citations, and required corrective action for each standard marked out of compliance.
3. Standards are grouped in the following categories:

I. Procedural Safeguards	II. EI Evaluation	III. EI Eligibility	IV. IFSP Meeting Notice	V. IFSP Team	VI. IFSP Content	VII. IFSP Timelines
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Reviewing and Recording PCR Data

1. Lock in your children through SPR&I. Only lock in children that are currently IDEA eligible and currently being served by your program.
2. Once a child is locked in, print a blank file review form for that child using the print function. This blank form will have the child’s SSID on it and will contain only those standards that apply to the child based on the information you provided during the lock in process.
3. For each standard on the file review form:
 - A. Read the standard
 - B. Review guidance included below the standard.
 - C. Locate required information in the child’s file and review according to guidance. Some standards require reviewing the INITIAL and/or MOST RECENT document.
 - D. Rate each standard by marking the appropriate response: **O Yes (Meets Requirement)** **O No (Does Not Meet Requirement)** **O N/A (Not Applicable)**
 - E. Include an explanatory comment for every standard identified as “No” or “N/A.” The choice of “NA” is not available for every standard.

4. Review EI documentation only.

Caution: Some standards require reviewing the **INITIAL** and/or **MOST RECENT** document.

How to Read this Form:

I. Procedural Safeguards		Comments/Corrective Action	
Item #:	The item to review is listed here.	O Yes	O No
100		This area is for clarifying comments for those items you answer “No” or “NA” or which may require additional documentation to substantiate compliance	
Guidance for the item above is listed here. Please note, the guidance is not comprehensive and does not address all points of the law.		Corrective action for each standard is included at the end of this document.	

Corrective action by standard is listed at the end of the document.

It is a policy of the State Board of Education and a priority of the Oregon Department of Education that there will be no discrimination or harassment on the grounds of race, color, sex, marital status, religion, national origin, age, sexual orientation, or disability in any educational programs, activities or employment. Persons having questions about equal opportunity and nondiscrimination should contact the State Superintendent of Public Instruction at the Oregon Department of Education, 255 Capitol Street NE, Salem, Oregon 97310; phone 503-947-5740; or fax 503-378-4772.

Corrective Action Guide (CAG)

1. Noncompliance **must always** be corrected as soon as possible.
2. Whenever possible, noncompliance must be corrected at the individual child file level ODE requires evidence of current compliance through additional file reviews.
3. Some noncompliance cannot be corrected due to the nature of the standard (e.g., missed timelines) or due to child circumstance (e.g., no longer eligible, moved out of program). In those cases, additional files need to be reviewed to establish evidence of current compliance.
4. To establish correction and current compliance, additional files reviewed must include files where the evidence of compliance occurs after the noncompliance reported in the initial review.
5. **In cases where noncompliance occurred in a previous program, the current program has a responsibility to ensure the current file is complete and compliant at the time of child transfer. If the file is not compliant at the time of move in, the current program must take appropriate action to make the file compliant as soon as possible.**

ODE requires additional follow up for systemic noncompliance. If further noncompliance is identified after completing the additional file review, the noncompliance is considered systemic.

In the case of **noncompliance that is not systemic** (<33% of files show noncompliance for any single standard) ODE requires LEAs to:

- Report the required corrective action and the date it was corrected in SPR&I for standards that can be corrected at the individual file level; and
- For all standards with noncompliance, including those that cannot be corrected at the individual student file level, conduct an analysis for the cause(s) of noncompliance and review additional files. If the standard involved a particular age linked requirement (e.g., ECSE, school age, transition), disability type, or files from a unique program, the additional files to be reviewed need to target that age, disability type or program Report the SSID and compliance status for each additional file reviewed in the SPR&I database.

In the case of **systemic noncompliance** (>33% of files out on any single standard or additional noncompliance found through additional file review), ODE requires programs to:

- Report required corrective action and date corrected in SPR&I for standards that can be corrected at the individual file level;
- Conduct an analysis of the cause(s) for the noncompliance and choose appropriate intervention;
- Document the projected and actual dates of completion of the intervention in SPR&I;
- Conduct a second review of files on the same standard where evidence of compliance occurs after intervention; and
- Report number of compliant files (must be 100% of files reviewed after training/intervention for ODE approve correction).

EI Identifying Information				
Name	First:	Last:	Date of birth: __/__/__	SSID:
Race/ethnicity		Additional Information		
		Primary disability:	Did EI/ECSE program or the school district conduct the evaluation? Provide district name if the district conducted evaluation:	
Required EI Dates				
Initial EI evaluation: __/__/__	EI eligibility: __/__/__	Initial EI IFSP: __/__/__	6 month EI IFSP: <input type="checkbox"/> Yes <input type="checkbox"/> No: __/__/__	
Date of reevaluation for additional EI eligibility, if any: __/__/__ <input type="checkbox"/> NA		Current EI IFSP: __/__/__		

Eligibility and Census Verification

Eligibility and Census Verification	Comments		
<p>The child file being reviewed includes:</p> <ul style="list-style-type: none"> Documentation that the child was enrolled in the program on December 1st of the census review year when possible; and A statement of eligibility signed by an Eligibility Team which was in effect by child's enrollment in the program; and An Individualized Family Service Plan (IFSP) which was in effect by child's enrollment in the program; and The IFSP contains specially designed instruction. <p>Mark NA if the child entered the program after December 1st of the census year and proceed with the file review.</p> <p>If the child was in the program prior to 12/1 but had a lapsed IFSP on 12/1 mark "No" and the file should not be reviewed - an alternate file should be selected for review. Also, please email your County Contact as soon as possible so that any necessary corrections to the SECC can be made.</p> <p>Guidance: This question is for tracking purposes only; it is not a compliance question. The file review can continue with the selected file as long as the file has not lapsed.</p> <p>A. There must be a statement of eligibility, signed by the eligibility team, in effect by the child's enrollment. Check the child's educational record for this document.</p> <p>B. There must be an IFSP in the child's educational record that was <i>in effect</i> by child's enrollment in the program. Check the child's educational records for this document.</p> <p>C. A child's IFSP must contain specially designed instruction. Check the service summary on the child's IFSP for documentation of specially designed instruction.</p> <p>D. When possible choose a child who was enrolled in the program on December 1st of the special education census year reviewed. Check the child's educational records for documentation that the child was enrolled in the program on December 1st. Examples of documents that satisfy proof of enrollment include dates of IFSP meetings, notes from service providers, and child performance data.</p> <p>Documentation for children <i>enrolled in the program</i> but receiving services outside the program may include Interdistrict Agreements, contact logs, and attendance reports from service providers (e.g., state or regional programs).</p>	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> NA

I. Procedural Safeguards: EI

I. Procedural Safeguards	Comments	
<p>100 Procedural safeguards were made available to parents upon:</p> <ul style="list-style-type: none"> Initial referral for evaluation Parent request for evaluation and At least once annually thereafter. <p>34 CFR §303.404; OAR 581-015-2745</p>	<input type="radio"/> Yes	<input type="radio"/> No
<p>Guidance 100</p> <ul style="list-style-type: none"> Provide date(s) procedural safeguards were given (initial and most recent). Check the referral form or referral team notes for documentation that the parent was given a copy of the Procedural Safeguards at the time of the referral for evaluation and at the most recent annual IFSP or at least once in the past year. Confirm Procedural Safeguards were made available. For children who moved into the program with established IDEA eligibility but without documented evidence in their file that Procedural Safeguards were made available to parents at the time of <u>initial referral</u>: check to ensure there is evidence that parents have received a copy of Procedural Safeguards since the time of initial referral. 		

I. Procedural Safeguards		Comments	
101	<p>Use the most recent Prior Written Notice in the child’s file. Include the date of this notice.</p> <p>The Program gave prior written notice meeting all content requirements to the parent within a reasonable time before the program’s proposal or refusal:</p> <ol style="list-style-type: none"> 1) to Conduct an evaluation or reevaluation; 2) to initiate or change identification, evaluation, placement or services; and the most recent prior written notice selected met the content requirements by including: <ol style="list-style-type: none"> a. A description of the action proposed or refused; b. An explanation of why the action was proposed or refused; c. A description of any options considered and the reasons these options were rejected; d. A description of each evaluation procedure, test, record, or report used as a basis for the proposal or refusal; e. A description of any other factors relevant to the proposal or refusal; f. A statement that parents of a child with a disability have protection under Procedural Safeguards and the means by which a copy of the notice of Procedural Safeguards may be obtained; g. Sources for parents to contact to obtain assistance in understanding their Procedural Safeguards; h. Written in a language understandable to the general public; i. Provided in the native language of the parent or other mode of communication used by the parent unless it is clearly not feasible to do so; and, j. If the native language or other mode of communication used by the parent is not a written language: <ul style="list-style-type: none"> • Reasonable effort is made to aid the parent in understanding the content of the notice; and, • There is written evidence that the requirements in this section have been met. <p>34 CFR §303.421; OAR 581-015-2745</p>	<input type="radio"/> Yes	<input type="radio"/> No
<p>Date of most recent EI Prior Written Notice:</p>			
<p>Guidance 101: For compliance purposes, the program must review the most recent prior written notice. There should be a notice for each annual IFSP. Check for evidence that:</p> <ul style="list-style-type: none"> • most recent notice meets all content requirements. • notice was provided after a decision and/or annual IFSP and before implementation of the decision. <p>Enter the date of the most recent prior written notice.</p>			
102	<p>Written parental consent was obtained prior to initial evaluation or reevaluation for EI services. Include the date of consent</p> <p>34 CFR §303.420; OAR 581-015-2730</p>	<input type="radio"/> Yes	<input type="radio"/> No
<p>Date of Consent:</p>			
<p>Guidance 102: Apply the following standards to the <u>most recent</u> consent for evaluation:</p> <ul style="list-style-type: none"> • Written consent for initial and reevaluation includes a description of each evaluation procedure to be conducted. • Check the child’s file for written parental consent for initial evaluation or reevaluation. First, look for consent for initial evaluation. If not found, look for consent for the most recent evaluation. Provide the date written parental consent was obtained. • Check the date on the consent for initial evaluation (or reevaluation) against the date(s) of the evaluation to ensure that consent was obtained before the evaluation. • Procedural safeguards were provided to parents prior to or at the time of consent for evaluation. 			
103	<p>Written consent was obtained for EI Services. Include the date of consent.</p> <p>34 CFR §303.420; OAR 581-015-2730</p>	<input type="radio"/> Yes	<input type="radio"/> No
<p>Date of Consent:</p>			
<p>Guidance 103: Check the IFSP Participants page of the IFSP to ensure that parents gave their written consent for EI services. Check the date of the consent against the start date of the IFSP to ensure that consent was obtained prior to the provision of services. Consent should be obtained for initial provision of services, and annually, in addition to services added at other times of the year.</p>			

II. Early Intervention Evaluation

II. Early Intervention Evaluation		Comments	
104	The need for an evaluation or re-evaluation was determined by a multidisciplinary team represented by: <ul style="list-style-type: none"> • At least two professionals, representing two or more separate disciplines or professions, at least one of whom is a specialist in evaluating and educating children with disabilities; and • The parent. 34 CFR §§303.24; 303.321; OAR 581-015-2775	O Yes	O No
Guidance 104: Apply the above standard to the <u>most recent</u> evaluation of the child. Look at meeting notes, contact logs, ecWeb or other reports that indicate the need for evaluation was determined by the required participants.			
105	The initial and/or reevaluation began with a team review of existing information and the Evaluation Plan was based on a team determination of: <ul style="list-style-type: none"> • Additional information needed to determine Early Intervention needs; or, • The team determined that no additional evaluation data were needed 34 CFR §303.321; OAR 581-015-2775	O Yes	O No
Guidance 105			
<ul style="list-style-type: none"> • Look for documentation that existing information was reviewed in planning the evaluation (team notes, reports, prior notice and consent for evaluation.) Existing information includes evaluation reports provided by the parents, observation reports, medical reports, etc. • Check the child’s file for documentation that a team meeting the requirements listed in #104 determined the need for evaluation (team notes, report, and eligibility form); • Check that Prior Written Notice was provided to the parent to gain consent for evaluation; or, if the team determined that no evaluation was necessary, prior notice provides the parent the opportunity to request an evaluation. 			
106	The evaluation was conducted by a multidisciplinary team representing two or more separate disciplines or professionals. 34 CFR §303.24; 303.321; OAR 581-015-2775; OAR 581-015-2700(23)(a).	O Yes	O No
Guidance 106			
<ul style="list-style-type: none"> • Check the child’s file for documentation that the evaluation was conducted by trained and knowledgeable personnel that represent two or more disciplines. • The multidisciplinary team may include one person who is qualified in more than one discipline. • Personnel conducting testing must meet the criteria set by the producer of the test. Teaching assistants may meet the test producer criteria if so noted, but are not qualified to interpret the results of the testing. • For children a diagnosis of a physical or mental condition that is likely to result in developmental delay: Every child that receives Early Intervention services must be assessed in all developmental areas before their first IFSP. This can occur as part of their eligibility determination or after eligibility determination in preparation for the IFSP meeting. This can be accomplished in part by using a curriculum based assessment or other assessment. 			
107	The evaluation was based on informed clinical opinion. 34 CFR §303.321, OAR 581-015-2775	O Yes	O No

II. Early Intervention Evaluation

Comments

Guidance 107 Informed clinical opinion means the acquisition and interpretation of multiple sources of information as part of the evaluation and assessment process. This includes evaluation and assessment results, observation reports, previous testing, medical data, parent reports, and other evaluative information. A review of this information was used in forming a determination regarding current developmental status and the need for Early Intervention services. Informed Clinical Opinion is used in every assessment and may be used as part of a decision criterion when other evaluation instruments are not conclusive or do not reflect the child and family's needs.

As per 303.321(a)(B)(3)(ii) Qualified personnel must use informed clinical opinion when conducting an evaluation and assessment of the child. In addition, the agency must ensure that informed clinical opinion may be used as an independent basis to establish a child's eligibility under this part even when other instruments do not establish eligibility; however, in no event may informed clinical opinion be used to negate the results of evaluation instruments used to establish eligibility under 303.321(b) *Procedures for evaluation of the child.*

108	An evaluation is conducted in all areas of suspected disability(ies), developmental delay or there is a diagnosis of a physical or mental condition that is likely to result in developmental delay. 34 CFR §303.321; OAR 581-015-2775	O Yes	O No

Guidance 108

- Every child that receives Early Intervention services must be assessed in **all** developmental areas before their first IFSP. This can occur as part of their eligibility determination or after eligibility determination in preparation for the IFSP meeting. This can be accomplished in part by using a curriculum based assessment or other assessment.
- **Check the child's records to ensure that all developmental areas (including vision, hearing and health) were addressed before the child's first IFSP meeting.**

109	The evaluation or reevaluation: <ul style="list-style-type: none"> • Used a variety of assessment tools and strategies to gather relevant functional, developmental and academic information, including information from parents; and information related to enabling the child to be involved in and progress in appropriate activities. • Did not use any single procedure or assessment as the sole criteria for determining eligibility. OAR 581-015- 2775 Tests and evaluation materials used to assess a child: <ul style="list-style-type: none"> • Were selected and administered so as not to be racially or culturally discriminatory; • Were provided and administered in child's native language or other mode of communication; • Were used for purposes for which the assessments or measures are valid and reliable; • For children (or families) with limited English proficiency, the evaluation materials were selected and administered to ensure the assessments measured the child's disability rather than his/her English language skills; • Were administered in accordance with any instructions provided by the producer of such assessments; • For children with sensory, manual, or speaking impairments, the evaluation materials were selected to ensure assessment of the child's abilities; • Included those tailored to assess specific areas of educational needs of the child, and not merely those that were designed to provide a single IQ score. • Included an interview and assessment tool to gather information with family members who elected to participate in the evaluation or reevaluation 34 CFR §303.321; OAR 581-015-2775; 581-015-2815	O Yes	O No

II. Early Intervention Evaluation

Comments

Guidance 109: Parents usually contribute to the evaluation by providing information at intake or at referral. If there is no indication that parents were provided an opportunity to provide input to the evaluation (parent survey, parent interview, phone call, meeting invitation, letter), then mark the item “no.” If the assessment was not administered under standard conditions, a description of the variation is included in the evaluation report.

Information from parents: Check for documentation that information from the parent was included in the evaluation. (Check the referral form, interviews with the parent and evaluation reports). If there is no indication that parents were provided an opportunity to provide input to the evaluation (parent survey, parent interview, phone call, meeting invitation, letter), then mark the item “no.”

Information related to enabling the child to be involved and progress in the appropriate activities: Look for information on the child’s ability to participate in appropriate activities (curriculum based assessment, observations, etc). This information may be included on the eligibility form, in the eligibility report, or in the description of the impact of the disability.

No single procedure or assessment is used as the sole criteria for determining eligibility: Check the eligibility statement and evaluation report. *Note:* If only one test, observation, or assessment was used for determining eligibility then the eligibility is not considered complete, the child is not considered eligible, and the team must reconvene to complete the evaluation process and to determine eligibility.

Check the child’s record. Is there evidence that the child speaks another language; is from another culture; is not English proficient; has a sensory, manual or speaking impairment? If there is documented evidence of any of these, check to make sure the evaluation materials used to assess the child were selected based on the level of the child’s language proficiency; are not culturally biased; did not require the child to possess skills that are directly related to a documented impairment.

Tests selected on the basis of unique child needs? Child education records, referral information, test protocols and the evaluation report(s) used for eligibility determination to ensure that tests were selected based on the unique needs of the child; provide relevant information that directly assists in determining the educational needs of the child;

Tests administered by qualified personnel? Did examiners meet the qualifications specified by the publisher of any test materials used and were tests administered under standard conditions?

Sensory or other impairment considered? If yes, check to make sure the evaluation materials used to assess the child did were appropriate. If the assessment was not administered under standard conditions, a description of the variation is included in the evaluation report.

Family Assessment: A family directed assessment using a family assessment tool and interview of the family, must be conducted by qualified personnel in order to identify the family’s resources, priorities, and concerns and the supports and services necessary to enhance the family’s capacity to meet the developmental needs of their child. The family-directed assessment must be voluntary on the part of each family member participating and include the family’s description of its resources, priorities, and concerns related to enhancing their child’s development.

110	An evaluation was conducted prior to determining a child is no longer a child with a disability. 34 CFR §§303.321, 303.322 ; OAR 581-015-2800	O Yes	O No	O N A

Guidance 110: If a child is exited from Early Intervention, check to see if an evaluation was conducted prior to the team determining that the child no longer is a child with a disability. The evaluation should meet the same criteria as a reevaluation (all components addressed).

111	An eligibility evaluation for a child suspected of having autism spectrum disorder, deafblindness, hearing impairment, orthopedic impairment, traumatic brain injury, or visual impairment was completed; or There is a diagnosis of a physical or mental condition likely to result in developmental delay; or There was an evaluation for determining a developmental delay. Evaluations were completed in compliance with state and federal regulations. 34 CFR §303.321; OAR 581-015-2775.	O Yes	O No

II. Early Intervention Evaluation

Comments

<p>Guidance 111</p> <ul style="list-style-type: none"> • Children can be eligible for EI if they meet one of these disability categories: autism spectrum disorder, deaf blindness, hearing impairment, orthopedic impairment, or vision impairment. • Check the evaluation and eligibility to ensure that all eligibility criteria are addressed for the disability category. (See OAR 581-015-2780 for eligibility evaluation requirements.) • Check intake notes and referral reports to ensure that all suspected disabilities and Early Intervention needs were evaluated. • Children can be eligible for EI if they have a diagnosed physical or mental condition that has a high probability of resulting in developmental delay, as documented by a physician, a physician’s assistant, or nurse practitioner licensed by the appropriate state board. The child’s eligibility team reviewed the physician statement and determined eligibility. • Children can be eligible for EI services if they have a developmental delay. Evaluation for developmental delay includes: <ol style="list-style-type: none"> 1. At least one norm-referenced, standardized test; 2. One additional assessment (the additional assessment is to confirm the child’s level of functioning in each area of suspected delay identified from the standardized test); 3. One 20-minute observation of the child; and 4. Other evaluative information, as necessary to determine eligibility. • Check records, notes and staffing reports to ensure that all suspected disabilities and early intervention all EI service needs were evaluated. <p>While a child may be made eligible with a diagnosis of a physical or mental condition that is likely to result in developmental delay, prior to their first IFSP they must be assessed in all areas.</p>	
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III. Early Intervention Eligibility

III. Early Intervention Eligibility

Comments

112	<p>Eligibility team members included a multidisciplinary team with individuals from two or more separate disciplines or professions, including persons who are knowledgeable about the child.</p> <p>34 CFR §§303.24, 303.321; OAR 581-015-2780</p>	<input type="radio"/> Yes	<input type="radio"/> No
<p>Guidance 112: Check the most recent eligibility determination statement to ensure that membership includes professionals that meet these requirements. Need to have at least two professionals present.</p>			
113	<p>Most recent EI eligibility team members included parents.</p> <p>34 CFR §§303.24, 303.321; OAR 581-015-2750; OAR 581-015-2780</p>	<input type="radio"/> Yes	<input type="radio"/> No
<p>Guidance 113: If parents were not included, check for documentation that a written meeting notice was provided sufficiently in advance to ensure an opportunity for the parent to attend.</p>			
114	<p>The most recent EI eligibility determination document:</p> <ul style="list-style-type: none"> • Indicated whether the child met the minimum criteria for EI eligibility; • Indicated whether the child needs EI services (for developmental delay only); and • Included a signature of each member of the team indicating agreement or disagreement with the eligibility determination. <p>OAR 581-015-2780</p>	<input type="radio"/> Yes	<input type="radio"/> No

III. Early Intervention Eligibility		Comments	
<p>Guidance 114 Indicated whether the child meets the minimum evaluation criteria for early intervention eligibility: Check the eligibility statement and/or evaluation report to ensure that all evaluation criteria as described in OAR 581-015-2775 EI Evaluation were addressed. Children can be made eligible for EI services through the disability categories of autism spectrum disorder, deaf blindness, hearing impairment, orthopedic impairment or vision impairment, through a physician’s statement, or through developmental delay.</p> <p>Indicated whether the child needs Early Intervention services (for developmental delay only): Check the eligibility statement and/or evaluation report to ensure that this area was addressed for children who have been found eligible as developmentally delayed. Children with a categorical disability or with a condition likely to result in developmental delay do not have to show a developmental delay to qualify for EI services.</p>			
115	A copy of the EI evaluation/eligibility report was given to the parents. 34 CFR §303.401 ; OAR 581-015-2780	<input type="radio"/> Yes	<input type="radio"/> No
<p>Guidance 115 Check the evaluation report and the eligibility statement for an indication that a copy was given to the parents. This may be indicated by a “cc:” to parents, a report addressed to parents, noted in the teacher’s log, or in meeting notes. The evaluation report does not have to be given to the parent(s) at the eligibility meeting, but parents should receive the report as soon as the rest of the team members.</p>			

IV. IFSP Meeting Notice: EI

IV. IFSP Meeting Notice		Comments	
116	<p>The most recent EI IFSP Meeting Notice:</p> <ul style="list-style-type: none"> Was given sufficiently in advance to ensure the parent has the opportunity to attend; Stated purpose, time and place of meeting, who will attend and their roles; Informed parent they may invite other individuals who they believe have knowledge or special expertise regarding the child; Informed parent of individual to contact before meeting to provide information if they are unable to attend; Included an explanation of how parents can obtain a copy of the procedural safeguards. <p>34 CFR §303.342; OAR 581-015-2750</p>	<input type="radio"/> Yes	<input type="radio"/> No
<p>Date of IFSP Meeting Notice:</p>			
<p>Guidance 116 Check the IFSP or the IFSP meeting minutes for documented evidence that one or both parents attended the IFSP meeting.</p> <p>Check the most recent meeting notice for a list of those required to attend (compare this list with the IFSP meeting minutes or the IFSP form of who attended the IFSP meeting.)</p> <p>The meeting notice includes an explanation that parents of a child with a disability have protection under Procedural Safeguards as well as how parents can obtain a copy or get assistance understanding this information.</p>			

V. IFSP Team Members: EI

V. IFSP Team Members		Comments	
117	<p>EI IFSP Team members included parent(s) at the most recent IFSP meeting.</p> <p>34 CFR §303.343; OAR 581-015-2750, 581-015-2825</p>	<input type="radio"/> Yes	<input type="radio"/> No

V. IFSP Team Members		Comments		
Guidance 117 The IFSP meeting cannot be held without parent participation (including but not limited to attendance, individual or conference phone calls or home visits. Please review: OAR 581-015-2750 Parent Participation-General-EI/ECSE Program)				
118	EI IFSP team members included parent(s) at 6-month review (Chose NA <u>only</u> if this is the initial IFSP and the scheduled date for the 6-month review has not yet occurred.). 34 CFR §303.343; OAR 581-015-2810	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> NA
Guidance 118 If there is no change to the IFSP, the 6-month review may be carried out in any means that is acceptable to parents, including, but not limited to individual or conference calls or home visits. The 6-month review must be held at a time and place parents can attend. If there are major revisions to the IFSP, the 6-month review becomes an IFSP meeting, and notice must be given and all participants that attend the initial and annual IFSP meeting would attend.				
119	EI IFSP team members at the initial and annual IFSP meeting included two or more individuals from separate disciplines or professions. One of these individuals must be the service coordinator. 34 CFR §303.343; OAR 581-015-2825	<input type="radio"/> Yes	<input type="radio"/> No	
Guidance 119 Check the initial and annual IFSP for evidence of participation.				
120	EI IFSP team members included primary contracting or subcontracting agency representative at initial and annual IFSP meeting. The agency representative must meet all of the following criteria: <ul style="list-style-type: none"> • Qualified to provide, or supervise provision of EI services to meet unique needs of children with disabilities; and • Knowledgeable of typical child development and appropriate activities for infants and young children; and • Knowledgeable about the availability of program resources • Authorized to commit program resources; and, • Ensure that services identified on the IFSP will be provided. 34 CFR §303.343; OAR 581-015-2825	<input type="radio"/> Yes	<input type="radio"/> No	
Guidance 120: Check the initial and current annual IFSP for primary contracting or subcontracting agency representative participation. This responsibility can be delegated to an IFSP team member who will serve more than one role. There should be documentation that they served as the primary contracting or subcontracting agency representative in addition to their other role. While this member is required for the initial and annual IFSP meeting, they may be included at the 6-month review if there are substantial changes to IFSP services.				
121	EI IFSP team members included a Service Coordinator responsible for coordinating implementation of the IFSP. 34 CFR §303.343; OAR 581-015-2825	<input type="radio"/> Yes	<input type="radio"/> No	
Guidance 121: Check for documentation on the current IFSP or meeting notes for service coordinator participation. Check that the Service Coordinator listed as an IFSP participant is the same as the Service Coordinator designated on the service page of the IFSP. The Service Coordinator may be the EI Specialist.				
122	EI IFSP team members at the initial and annual IFSP meeting included an individual who was involved in the evaluation	<input type="radio"/> Yes	<input type="radio"/> No	

V. IFSP Team Members		Comments	
<p>and who can interpret the developmental or instructional implications of evaluation results. If such an individual was unable to attend the meeting, arrangements were made for the person's involvement through other means, including:</p> <ul style="list-style-type: none"> • Participating in a telephone conference call; • Having a knowledgeable authorized representative attend the meeting; or • Making pertinent records available at the meeting. <p>34 CFR §303.343; OAR 581-015-2825</p>			
<p>Guidance 122</p> <ul style="list-style-type: none"> • Check the initial and most recent annual IFSP or IFSP meeting minutes for documentation of attendance of an individual who can interpret the developmental or instructional implications of evaluation results. • If the evaluator was unable to attend, check for evidence that their information was included in the meeting. This could occur through a telephone conference call, having another knowledgeable representative attend the meeting, or making pertinent evaluation records available at the meeting. 			

VI. IFSP Content: EI

VI. IFSP Content		Comments		
123	<p>The most recent EI IFSP contained a description of EI Services to be provided including:</p> <ul style="list-style-type: none"> • Anticipated method, amount, and frequency for each service; • Anticipated location for each service; • Anticipated duration for each service; and, • Projected date of initiation for each service. <p>34 CFR §303.344</p>	O Yes	O No	
<p>Guidance 123</p> <p><u>Anticipated method, amount, and frequency for each service:</u></p> <ul style="list-style-type: none"> • <i>Method</i> means how a service is provided. • Check amount, frequency: How often the child will receive the service(s) (number of times per day or week); How long each session will last (number of minutes); <p><u>Anticipated location for each service:</u></p> <ul style="list-style-type: none"> • Check location indicated for each service (home, childcare, etc.) <p><u>Anticipated duration for each service:</u></p> <ul style="list-style-type: none"> • Check to ensure that the IFSP clearly indicates the ending date or the duration of the service <p><u>Projected date of initiation for each service:</u></p> <ul style="list-style-type: none"> • Check to ensure that the starting date for each service is indicated (month, day, AND year must be included.) <p>Service coordination is a required service for EI and should be reflected on the IFSP.</p> <p>Everyone on the team, including the parent, must understand <i>what</i> the services will be, <i>where</i> the services will be delivered, and <i>how often</i> the child will receive the services. All of these must be written in a way that is easily understood, (e.g., 200 hours of small group instruction per year is not easily understood; 2X a month, 1st and 3rd week of the month, for 60minutes each session is understandable).</p>				
124	<p>The most recent EI IFSP contains a description of other services, such as medical, that are not EI, and the funding sources or the steps to secure funding.</p> <p>34 CFR §303.344; OAR 581-015-2815</p>	O Yes	O No	O NA

VI. IFSP Content		Comments		
Guidance 124 <ul style="list-style-type: none"> Check that services other than EI are described. These may be medical services, health services, etc. Check that the team has listed the method, location, who will do it, who will pay, start date, and stop date for the services. If the funding source is unknown, check that the IFSP lists the steps that will be taken to secure those services through public or private sources.				
125	The most recent EI IFSP contains the name of the Service Coordinator responsible for coordinating the implementation of the IFSP. 34 CFR §303.344; OAR 581-015-2840	<input type="radio"/> Yes	<input type="radio"/> No	
Guidance 125: Check that the child has an assigned Service Coordinator.				
126	The current EI IFSP contains a Non-Participation explanation that includes an explanation of the reason IFSP services will not be provided in the natural environment. 34 CFR §303.344; OAR 581-015-2815	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> NA
Guidance 126: If a child receives <u>all</u> EI services in the natural environment choose "NA." If the child will not receive all or part of their IFSP services in the natural environment, the child's IFSP must provide an individualized statement explaining why IFSP Services do not occur in the natural environment.				
127	The current EI IFSP includes a statement of Present Levels of Development including: <ul style="list-style-type: none"> A description of the child's strengths and interests The present level of developmental and functional performance How the child's disability affects their involvement and progress in appropriate activities for the child's age; The child's pre-literacy, language and numeracy skills, if the child has needs in these areas. 34 CFR §303.344, OAR 581-015-2815, 581-015-2820	<input type="radio"/> Yes	<input type="radio"/> No	
Guidance 127: Check that the IFSP includes: <ul style="list-style-type: none"> A description of the child's strengths and interests; How the child's disability affects participation in age appropriate activities; Documentation of information regarding health status, hearing status, and vision status (it is not compliant to say "no concerns"); and, A listing of the child's present levels of development in the areas of cognitive, adaptive, social or emotional, physical (fine and gross motor), and communication (expressive and receptive). For a child under age three, a statement of the specific early intervention services, based on scientifically based research to the extent practicable, to be provided for the child and to the family to advance toward attaining the major outcomes or annual goals (including pre-literacy, language, and numeracy skills, as developmentally appropriate for the child). If child has goals in these areas, the need for these goals must be reflected on the present levels of development page.				
128	The current EI IFSP includes a statement of measurable annual goals with short-term objectives, including: <ul style="list-style-type: none"> A statement of how the child's progress toward annual goals is measured; Criteria and evaluation procedures; Progress notes as indicated by IFSP review schedule. 34 CFR §303.344; OAR 581-015-2815	<input type="radio"/> Yes	<input type="radio"/> No	

VI. IFSP Content		Comments		
<p>Guidance 128 <u>A statement of measurable Annual Goals, including short-term objectives:</u></p> <ul style="list-style-type: none"> Annual goals are statements written in measurable terms that describe what the child can reasonably accomplish in a 12-month period. There is a direct link between goal statements and child's present levels of development. For each measurable Annual Goal, the IFSP must include short-term objectives that provide the team with guidance for teaching the Annual Goal. These measurable, intermediate steps provide the IFSP Team with information about how the child is progressing during the period covered by the IFSP. The annual goals and short-term objectives must relate to meeting the child's needs that result from the disability, delay or possible delay if the child has a condition likely to result in delay. <p><u>A statement of how the child's progress toward annual goals is measured, including:</u></p> <ol style="list-style-type: none"> Criteria: How the skill will be demonstrated by the child to be considered successful. Evaluation procedures: A description of the process used to evaluate the child's performance. 				
129	<p>Family outcomes (with concurrence of family): §303.344</p> <ul style="list-style-type: none"> A statement of family priorities and concerns; A statement of family resources available or needed; Steps to address family's priorities and concerns; Timelines Person responsible for steps to address family priorities and concerns (service coordinator, etc.) Mark "NA" if there is documentation family declines. <p>34 CFR §303.344; OAR 581-015-2815</p>	O Yes	O No	O NA
<p>Guidance 129: Include:</p> <ul style="list-style-type: none"> Timelines should be specific. (do not use "as needed" or "when requested"). Person responsible (such as "ECSE Service Coordinator") in the "Steps to address family's priorities and concerns." Use the results from your family assessment to assist in completing this area. <p>Family outcomes are based on information obtained through the use of an assessment tool (see standard 109) and also through an interview of family members who elect to participate in the assessment</p>				

VII. IFSP Timelines: EI

VII. IFSP Timelines		Comments		
130	<p>EI services are provided year round. OAR 581-015-2830</p>	O Yes	O No	
<p>Guidance 130</p> <ul style="list-style-type: none"> Check the IFSP initiation and duration dates. Check the program's EI calendar to document service delivery timeline. <p>If the program is not year round, check documentation to show that interrupted services were at the parent's request.</p>				
131	<p>An EI IFSP meeting was conducted at least annually (every 365 days, but not necessarily on the same date every year). 34 CFR §303.342; OAR 581-015-2810</p>	O Yes	O No	

VII. IFSP Timelines		Comments		
<p>Guidance 131: Check the most recent IFSP date and compare to the previous year's IFSP to ensure that the IFSP was reviewed and revised within 365 days. There are no exceptions to the 365-day requirement. If this is the child's initial IFSP and a full year has not passed, mark this as "yes."</p> <p>There are no exceptions to the 365-day requirement.</p>				
132	The EI IFSP was reviewed at least every six months.	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> NA
	34 CFR §303.342; OAR 581-015-2810	Date of Review:		
<p>Guidance 132: Check that an IFSP was reviewed on or before the 6-month date of the initial or annual IFSP meeting. Mark NA <i>if this is the initial IFSP and the scheduled review date has not occurred prior to this review.</i></p> <p>If there is no change to the IFSP, the 6-month review may be carried out in any means that is acceptable to parents, including, but not limited to individual or conference calls or home visits. The 6-month review must be held at a time and place parents can attend if there are changes in the IFSP.</p> <p>Check the IFSP review schedule on the cover page of the IFSP to determine if there are additional reviews scheduled and look for documentation that the reviews were conducted. Please note the IFSP should be reviewed at least every 6 months.</p>				
133	Services were implemented by the projected start date on the IFSP or 10 days from when the parent provided consent for services.	<input type="radio"/> Yes	<input type="radio"/> No	
	34 CFR §303.344			
<p>Guidance 133: If services are listed to start on the day the IFSP was developed and consent obtained from the parents, services must begin within 10 days from that date. For example, if the IFSP/Consent date is 9/1 and that is the date services are listed as starting, services must begin by 9/10.</p> <p>If services are listed as starting at a time other than the date the IFSP was developed, services must begin by that date. For example, if the IFSP/Consent date is 9/1 and the date a service is listed as starting as 9/15, there must be documentation that service was delivered on 9/15.</p> <p>If there is a delay in services, indicate the reason in the comments section.</p> <p>Check the IFSP services starting dates (service logs, contact logs, meeting minutes, and attendance sheets) to ensure that there was no delay, without documented reason, in providing EI services.</p>				
134	The IFSP was in effect before Early Intervention services were provided to the child.	<input type="radio"/> Yes	<input type="radio"/> No	
	34 CFR §303.342; OAR 581-015-2830			
<p>Guidance 134: Check the IFSP meeting date and compare to the IFSP starting date to ensure that the starting date does not precede the IFSP meeting date. Check documentation (case notes, e.g.) to be sure the services did not start early. Review items such as service logs, contact logs, meeting minutes, attendance sheets to verify this.</p>				
135	IFSP Progress Reviews with parents:	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> NA

VII. IFSP Timelines	Comments
<ul style="list-style-type: none"> • Occurred every six months, or more frequently if warranted or the family requested; • Indicated extent to which progress was sufficient to enable the child to achieve the goals; • Indicated whether revisions of IFSP goals were necessary; • Were carried out by meeting or by another means that was acceptable to the parent; • If revisions to IFSP goals were necessary, an IFSP meeting was conducted. <p>Choose NA <u>only</u> if this is the initial IFSP and the scheduled date for the progress review has not occurred before this file was submitted. 34 CFR §303.342; OAR 581-015-2810</p>	
<p>Guidance 135: Check to see if the parents are provided with information regarding the child’s progress toward each of the annual goals. The review must indicate the extent of the progress toward each of the annual goals, and whether that progress is sufficient to enable the child to achieve the goal by the end of the IFSP period. Document progress on IFSP according to review schedules.</p> <ul style="list-style-type: none"> • Check the IFSP to ensure it contains evaluation procedures and criteria for measuring and reporting progress toward each goal; • How each goal will be measured; and • When periodic reports on the progress the child is making toward meeting the annual goals will be provided. • Progress must be described in specific, measurable terms that correlate to annual goals identified and mastered. 	

EI Corrective Action by Standard

100	<ol style="list-style-type: none"> 1. Send Procedural Safeguards to parents immediately. Document date safeguards were provided to parents in SPR&I. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
101	<ol style="list-style-type: none"> 1. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each. 2. If this was a translation issue, provide translated Prior Written Notice to parents.
102	<ol style="list-style-type: none"> 1. Review additional files where this event occurred after the incidence of noncompliance and list in SPR&I the compliance status for each.
103	<ol style="list-style-type: none"> 1. Get consent from parent and date it when received. Do not back date consent. Document Date of consent in SPRI. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
104	<ol style="list-style-type: none"> 1. Reconvene team with required members to review appropriate content and complete missing information. Document in SPR&I the date that the review was conducted. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
105	<ol style="list-style-type: none"> 1. Reconvene team with required members to review appropriate content and complete missing information. Document in SPR&I the date that the review was conducted. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
106	<ol style="list-style-type: none"> 1. Reconvene team with required members to review appropriate content and complete missing information. Document in SPR&I date that the review was conducted. 2. Review additional files where this event occurred after the incidence of noncompliance and list in SPR&I compliance status for each.

107	<ol style="list-style-type: none"> 1. Reconvene team with required members to review appropriate content and complete missing information. Document in SPR&I the date team met and missing information was completed. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
108	<ol style="list-style-type: none"> 1. Conduct additional evaluation beginning with the evaluation planning process. Document in SPR&I the dates that assessment was conducted in all areas of the suspected disability that was evaluated. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
109	<ol style="list-style-type: none"> 1. Conduct additional evaluation beginning with the evaluation planning process. Document in SPR&I the date additional evaluation was completed. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
110	<ol style="list-style-type: none"> 1. Reconvene team with required members to establish ineligibility. Document in SPR&I the date evaluation was completed. 2. Review additional files where this event occurred after the incidence of noncompliance and list in SPR&I the compliance status for each.
111	<ol style="list-style-type: none"> 1. Reconvene team with required members to evaluate in areas suspected but not evaluated. Document in SPR&I the date additional evaluation was completed. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each
112	<ol style="list-style-type: none"> 1. Reconvene team with required members. Document in SPR&I the date the team met. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
113	<ol style="list-style-type: none"> 1. Reconvene eligibility team with required members with sufficient notice to parent. Document in SPR&I the date the team met. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
114	<ol style="list-style-type: none"> 1. Reconvene team with required members to confirm eligibility. Document in SPR&I the date the team met. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
115	<ol style="list-style-type: none"> 1. Send evaluation/eligibility report to parent immediately. Document in SPR&I the date report was sent to parents. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
116	<ol style="list-style-type: none"> 1. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
117	<ol style="list-style-type: none"> 1. Reconvene team with required members. Document in SPR&I the date the team met or documentation gathered. (If parents did not attend and program has made sufficient efforts to have them attend, document in SPR&I the attempts and the date that parents signed the IFSP.) 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
118	<ol style="list-style-type: none"> 1. Reconvene team with required members. Document in SPR&I the date the team met or documentation gathered. (If parents did not attend and program has made sufficient efforts to have them attend, document in SPR&I the attempts and the date that parents signed the IFSP) 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
119	<ol style="list-style-type: none"> 1. Reconvene team by required members or gather required documentation. Document in SPR&I the date the team met or documentation gathered. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
120	<ol style="list-style-type: none"> 1. Reconvene team by required members or gather required documentation. Document in SPR&I the date the team met or documentation gathered. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
121	<ol style="list-style-type: none"> 1. Reconvene team by required members or gather required documentation. Document in SPR&I the date the team met or documentation gathered. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
122	<ol style="list-style-type: none"> 1. Reconvene team by required members or gather required documentation. Document in SPR&I the date the team met or documentation gathered. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
123	<ol style="list-style-type: none"> 1. Review and revise IFSP by reconvening team. Document in SPR&I date IFSP was revised. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
124	<ol style="list-style-type: none"> 1. Review and revise IFSP by reconvening team. Document in SPR&I date IFSP was revised. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
125	<ol style="list-style-type: none"> 1. Review and revise IFSP by reconvening team. Document in SPR&I date IFSP was revised. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
126	<ol style="list-style-type: none"> 1. Review and revise IFSP by reconvening team. Document in SPR&I date IFSP was revised.

	2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
127	1. Review and revise IFSP by reconvening team. Document in SPR&I date IFSP was revised. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
128	1. Review and revise IFSP by reconvening team. Document in SPR&I date IFSP was revised. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
129	1. Review and revise IFSP by reconvening team. Document in SPR&I date IFSP was revised. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
130	1. Reconvene team to assure services are provided year round. Document in SPR&I date IFSP was revised. 2. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
131	1. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each
132	1. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
133	1. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
134	1. Review additional files where this event occurred after incidence of noncompliance and list in SPR&I compliance status for each.
135	1. Send parent most recent progress report. If items in standard were not addressed in progress report, they must be added. Document in SPR&I date progress report sent. 2. Review additional files where this event occurred after the incidence of noncompliance and list in SPR&I compliance status for each.