

**NYS DOH EARLY INTERVENTION PROGRAM**  
**Quality Improvement Monitoring Review - Self Assessment Tool**  
**Home and Community Based Providers**

**Instructions:** If the service type listed in the left column, "Section" is provided by you/your agency, the indicator may apply to your practice. If the item is marked "N/A" (Not Applicable), that documentation/observation will not apply to the monitoring review.

**Key:**                   ISC - Initial Service Coordinator                   MDE - Multidisciplinary Evaluator  
                           OSC - Ongoing Service Coordinator                   Supplemental - Supplemental Evaluator  
                           All - Indicator applies to all provider types.                   Service Provider - Provides services such as Special Instruction, OT, PT, etc.

Section	Indicator	Practice/ Procedures are in Place	Written Policy is in Place	Documentation Found in Child Records	Other Documentation	Observation
ISC	<b>PI-2</b> The initial service coordinator shall promptly arrange a contact with the parent in a time, place and manner reasonably convenient for the parent and consistent with applicable timeliness requirements. 10NYCRR 69-4.7(b)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
ISC	<b>PI-3</b> At the initial contact with the parent, the initial service coordinator ensures that the parent has a copy of "The Early Intervention Program: A Parent's Guide," reviews this guide with the parent, and documents this review in the child's record. 10NYCRR69-4.7(c) 10NYCRR 69-4.7(c)(1)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
ISC	<b>PI-4</b> The initial service coordinator provided parents with information regarding rights and entitlements under the Early Intervention Program and documented the information provided in the child's record. 10NYCRR 69-4.7(c)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
ISC	<b>PI-5</b> The initial service coordinator shall assist the parent in identifying and applying for benefit programs for which the family may be eligible, including: Medical Assistance Program; Supplemental Social Security Income Program; Physically Handicapped Children's Program; Child Health Plus; and Social Security Disability Income. 10NYCRR 69-4.7(i)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
ISC	<b>PI-6</b> The initial service coordinator (ISC) reviews all options for evaluations and screening with the parent from the list of approved evaluators including location, types of evaluations performed and settings for evaluations (e.g., home vs. evaluation agency). 10NYCRR 69-4.7(j)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A
ISC	<b>PI-7</b> The initial service coordinator provided parents with information regarding funding of EI services, i.e., at no cost to parent, and use of Medicaid/third party insurance, including protections when Medicaid and/or third party insurance are used. 10NYCRR 69-4.7(g) 10NYCRR 69-4.7(g)(1)(2)(3)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
ISC	<b>PI-9</b> The initial service coordinator discussed the IFSP process with parents and provided required information and documented the information provided in the child's record. 10NYCRR 69-4.7(o)(1-7)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
ISC	<b>PI-10</b> The initial service coordinator discussed options for early intervention services with parents. 10NYCRR 69-4.7(p)(1) 10NYCRR 69-4.7 (o)(7)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
MDE Supplemental	<b>PI-11</b> The evaluator obtained written informed parental consent prior to the evaluation and/or screening. 10NYCRR 69-4.8(a)(1)(ii) 10NYCRR 69-4.8(a)(2)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A

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MDE	<b>PI-13</b> The multidisciplinary evaluation team included at least two qualified personnel from different disciplines with at least one specialist in the area of suspected delay or disability. 10NYCRR 69-4.8(a)(3)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
MDE	<b>PI-14</b> The multidisciplinary evaluation and written reports were completed in sufficient time to convene the initial IFSP meeting within 45 days of the child's referral to the EI program. 10NYCRR 69-4.8(a)(9)(i)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
MDE	<b>PI-15</b> The multidisciplinary evaluation included an evaluation of the child's functioning in all five developmental domains using informed clinical opinion and age appropriate instruments and procedures. 10NYCRR 69-4.8(a)(4)(i) 10NYCRR 69-4.8 (a)(6)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
MDE	<b>PI-16</b> The evaluation included a health assessment, including a physical examination, vision and hearing screening, and where appropriate, a neurological assessment. 10NYCRR 69-4.8(a)(4)(i)(a) Early Intervention Program Memorandum 2005-02, "Standards and Procedures for Evaluation, Evaluation Reimbursement, and Eligibility Requirements and Determinations Under the Early Intervention Program"	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A
MDE	<b>PI-19</b> The multidisciplinary evaluation report included a statement of the child's eligibility, based on regulatory criteria. 10NYCRR 69-4.8(a)(9)(iii) Early Intervention Program Memorandum 2005-02, "Standards and Procedures for Evaluation, Evaluation Reimbursement, and Eligibility Requirements and Determinations Under the Early Intervention Program."	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
MDE Supplemental	<b>PI-20</b> The evaluation report and summary were written in accordance with Early Intervention Program regulations. 10NYCRR 69-4.8(a)(9)(i) 10NYCRR 69-4.8(a)(9)(ii) 10NYCRR 69-4.8(a)(15) 10NYCRR 69.4.8(a)(4)(iv) 10NYCRR 69-4.8 (a)(9)(v)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
MDE Supplemental	<b>PI-21</b> The results of the evaluation were discussed with parents by the evaluator. 10NYCRR 69-4.8(a)(9)(iv)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
MDE	<b>PI-22</b> The evaluation summary, and, upon request, the report, was sent to: the parent, the initial service coordinator and the Early Intervention Official for review before the IFSP meeting. With parental consent, report was sent to the primary health care provider. 10NYCRR 69-4.8(a)(9)(i)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
OSC	<b>PI-25</b> The ongoing service coordinator coordinated and monitored delivery of services. 10NYCRR 69-4.6(c)(1)(2)(3)(4) 10NYCRR 69-4.6(b)(3)(5)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
OSC	<b>PI-27</b> The ongoing service coordinator facilitated the development of a transition plan within required timeframes. 10NYCRR 69-4.6(c)(7) 10NYCRR 69-4.20(b)(3) 10NYCRR 69-4.11(a)(10)(xiii)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
Service Provider	<b>PI-29</b> The provider obtained prescriptions/orders for services as needed. 10NYCRR 69-4.11(a)(10)(ii) 10NYCRR 69-4.26(b)(8)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
Service Provider	<b>PI-31</b> The provider delivered services that were family-centered. 10NYCRR 69-4.9(f)(1) 10NYCRR 69-4.9(g)(4)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A

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ISC, OSC, Service Provider	<b>PI-32</b> The provider maintains original session/service coordination notes that include minimum content requirements. 10NYCRR 69-4.22(c) 10NYCRR 69-4.26(c) 10NYCRR 69-4.26(c)(iii) 10NYCRR 69-4.26(d) Early Intervention Program Memorandum 2003-1, "Guidance on Early Intervention Program Records"	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
Service Provider	<b>PI-33</b> The provider maintained the documentation required to fully disclose the extent of services. Medicaid regulation 18NYCRR 541.1 10NYCRR 69-4.22(c) 10NYCRR 69-4.26(b)(5)(10)(13) Early Intervention Program Memorandum 1993-2, "Medicaid Billing"	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
ISC and OSC	<b>PI-36</b> All early intervention service coordinators shall fulfill those functions and activities necessary to assist and enable an eligible child and parent to receive the rights, procedural safeguards and services that are authorized to be provided under State and federal law. 10NYCRR 69-4.6(a) 10NYCRR 69-4.6(c)(5)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
All	<b>PI-38</b> Provider maintained documentation for each service billed. 10NYCRR 69-4.9(g)(6)(7) 10NYCRR 69-4.22(c) Title 10: Rules and Regulations 10NYCRR 69-4.30(b)(c) Early Intervention Program Memorandum 2003-1, "Guidance on Early Intervention Program Records"	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
ISC and OSC	<b>PI-39</b> Service coordinators bill for reimbursable activities according to Early Intervention Program regulations. Title 10: Rules and Regulations 10NYCRR 69-4.30(c) (3) 42 CFR 441.18(c) Early Intervention Program Memorandum 94-4, "Service Coordination" Early Intervention Program Guidance Document June 2011, "Billing for Initial and Ongoing Service Coordination Activities in the EIP"	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
Service Provider	<b>PI-41</b> The provider delivered services as authorized in the IFSP. 10NYCRR 69-4.9(g)(1) 10NYCRR 69-4.9(g)(2) 10NYCRR 69-4.9(g)(2)(i)(ii) 10NYCRR 69-4.9(g)(2)(ii)(a) Early Intervention Memorandum 1993-2 "Medicaid Billing"	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A
All	<b>PI-42</b> Requirements of Title 34 of Code of Federal Regulations and other applicable legal requirements for confidentiality were followed. 10NYCRR 69-4.17(c)(d)(e)(1)(2)(3) 10NYCRR 69-4.17(c)(3)(iv)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	N/A	N/A
All	<b>PI-42B</b> All records containing personally identifiable information are maintained in secure locations and disposed of appropriately. 10NYCRR 69-4.17(c)	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO
All	<b>PI-42C</b> All records containing personally identifiable information are maintained securely when stored off-site. 10NYCRR 69-4.17(c)	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A
All	<b>PI-42E</b> Confidentiality of electronic records that are stored on computer is maintained. 10NYCRR 69-4.17(c)	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	N/A
All	<b>PI-42F</b> Confidentiality is maintained when e-mail is used. 10NYCRR 69-4.17(c)	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A
All	<b>PI-42G</b> Confidentiality of faxed information is maintained. 10NYCRR 69-4.17(c)	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	N/A

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All	<b>PI-42I</b> A record is kept of any individual, other than authorized individuals, who access a child's record, along with the date and purpose for which the record was accessed. 10NYCRR 69-4.17(c)	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A
All	<b>PI-42J</b> Parents are notified of the process that they must follow to inspect and review all records pertaining to their child. 10NYCRR 69-4.17(c)	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	N/A
All	<b>PI-42K</b> Parental access to their child's record is ensured including review, and upon request an explanation and interpretation of material and copies of records. 10NYCRR 69-4.17(c)	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	N/A
All	<b>PI-42M</b> The procedure to address amendment of their child's records, or to request a hearing, protects the parent's rights. 10NYCRR 69-4.17(c)	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	N/A
All	<b>PI-42O</b> Written parental consent is obtained before any disclosure of personally identifiable information is disclosed to anyone other than authorized individuals. 10NYCRR 69-4.17(c)	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A
All	<b>PI-42Q</b> Provider adheres to all legal requirements that protect records containing sensitive information. 10NYCRR 69-4.17(c)	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	N/A
All	<b>PI-42T</b> Provider assures that all employees, independent contractors, consultants, and volunteers with access to personally identifiable information are informed of and are required to adhere to all confidentiality requirements related to this information. 10NYCRR 69-4.17(c)	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A
All	<b>PI-43</b> The provider maintains required documentation to demonstrate State approval status for services delivered. 10NYCRR 69-4.5(a) 10NYCRR 69-4.1(ak) 10NYCRR 69-4.5(f) 10NYCRR 69-4.5(h) 10NYCRR 69-4.5(a)(1)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A
All (Individual Providers)	<b>PI-44</b> Individual providers maintain documentation of current licensure, certification, or registration, as appropriate, and are qualified to deliver EI services, including service coordination. 10NYCRR 69-4.1(ak)(1-22) 10NYCRR 69-4.9(d)(2) 10NYCRR 69-4.5(f) 10NYCRR 69-4.4(a)(1)(2)	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A
All (Agencies)	<b>PI-45</b> Agency providers maintain documentation that their employees and contractors have current licensure, certification, or registration, as appropriate, and are qualified to deliver EI services, including service coordination. 10NYCRR 69-4.1(ak)(1-22) 10NYCRR 69-4.9(d)(2) 10NYCRR 69-4.5(f) 10NYCRR 69-4.4(a)(1)(2) General Standard 3.3 of the Health and Safety Standards for the Early Intervention Program and Frequently Asked Questions Revised – February 2010	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A
All (Agencies)	<b>PI-46</b> Agency providers maintain policies/procedures to screen employees and subcontracted individuals through the New York State Central Register of Child Abuse and Maltreatment (SCR), as appropriate. 10NYCRR 69-4.9(d)(1) NYS Social Services Law Section 424-a	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A

Section	Indicator	Practice/ Procedures are in Place	Written Policy is in Place	Documentation Found in Child Records	Other Documentation	Observation
All	<b>PI-47</b> All providers have procedures in place to report suspected child abuse and maltreatment, including notification either directly to the SCR or to an appropriate authority. 10NYCRR 69-4.9(d)(1) NYS Social Services Law Section 413-415	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	N/A
All	<b>PI-48</b> All providers must have an annual health statement in place prior to providing services. 10NYCRR 69-4.9(d)(1) 10NYCRR 69-4.9(d)(3)(iv) General Standard 4.1 of the Health and Safety Standards for the Early Intervention Program and Frequently Asked Questions Revised – February 2010	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A
All	<b>PI-49</b> Universal precautions, including infection control procedures and procedures to handle blood spills, are utilized when EI services are being delivered. 10NYCRR 69-4.9(d)(1) 10NYCRR 69-4.9(d)(3)(ii)(v) General Standards 4.2-4.4 of the Health and Safety Standards for the Early Intervention Program and Frequently Asked Questions Revised – February 2010	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO
All	<b>PI-50</b> Appropriate procedures are in place to address behavior which is injurious to the child or others. Corporal punishment, abuse, and the use of physical aversives/restraints are prohibited when providing EI services. 10NYCRR 69-4.9(i) 10NYCRR 69-4.9(d)(1) General Standards 6.3-6.4 of the Health and Safety Standards for the Early Intervention Program and Frequently Asked Questions Revised – February 2010	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A
All	<b>PI-52</b> Providers have written policies and procedures to address child and provider illness and emergencies, cancellation of sessions, and procedures for make-ups. 10NYCRR 69-4.9(d)(1) 10NYCRR 69-4.9(d)(3)(iv) 10NYCRR 69-4.9(g)(2)(i) General Standards 7.1-7.4 of the Health and Safety Standards for the Early Intervention Program and Frequently Asked Questions Revised – February 2010	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
All	<b>PI-53</b> EI provider equipment, materials, and/or toys are in good condition, and free of lead. 10NYCRR 69-4.9(d)(1) 10NYCRR 69-4.9(d)(3)(v) General Standards 8.1-8.2 and 4.5 of the Health and Safety Standards for the Early Intervention Program and Frequently Asked Questions Revised – February 2010	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO
All	<b>PI-80</b> Providers protect the general health and safety of children with respect to illness, injury, and emergencies while receiving EI services in a community setting. 10NYCRR 69-4.9(d)(1) 10NYCRR 69-4.9(d)(3)(iv)(vi) 10NYCRR 69-4.9(g)(2)(i) Community Standard 4.1 of the Health and Safety Standards for the Early Intervention Program and Frequently Asked Questions Revised – February 2010	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A
All	<b>PI-81</b> The provider has procedures in place to address unsafe conditions encountered in the home environment. 10NYCRR 69-4.9(d)(1) 10NYCRR 69-4.9(d)(3)(iv)(vi) Home Standard 1.1 of the Health and Safety Standards for the Early Intervention Program and Frequently Asked Questions Revised – February 2010	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	N/A	N/A	N/A