ITEMS TO BE MADE AVAILABLE FOR EI MONITORING REVIEW
FACILITY BASED INDIVIDUAL PROVIDERS

All instructions and required forms are available at: http://providers.ipro.org/index/early-intervention

TO PREPARE FOR PRESENTATION AT THE ON-SITE REVIEW:

- **Child list**: The list of children's records to be reviewed, supplied by the New York State Bureau of Early Intervention (BEI), will be sent to you in a FedEx packet approximately one week prior to your review. Please alert your subcontractors, and storage facilities of this fact so that you can obtain specific records as necessary. For each child on the list, please prepare a list to identify:
  - The date the child was referred to you for each of the services the child received (i.e. supplemental evaluation, service coordination, service provision), and;
  - If you are not currently providing services for this child and family, the date of discharge.

- **Child records**: Each child record must include:
  - Complete records from the date the child was referred to you to the current date or date of discharge.
  - All billing records for the services you provide to the child, including general service billing, evaluation billing, and service coordination billing.

NOTE: All records must be reviewed on hard (paper) copy. No computer disks etc. will be accepted for review. Please ensure that you transport child records/lists in a secure manner and that child records are not left unattended.

- **Qualifications:** If you provide EI services or evaluations you must produce current licensure, certification, or registration. Please also bring a copy. The copy will be kept on file if there are any questions or concerns.

- **Service Coordinator qualifications:** If you are a service coordination provider you must provide documents that demonstrate service coordination qualifications according to EI regulations.

- **Documentation of annual health assessment signed by a health care provider** (physician, physician's assistant, or nurse practitioner).

- **Representational Sample** of toys/materials/equipment used.

- **Contracts**:
  - For providers that contract only with agencies: Executed contracts for all agencies with which your agency is currently contracted.

- **Building Compliance for provider facilities:**
  1. One of the following:
     a. Certificate of occupancy for all areas where EI services are provided;
     b. Building inspection;
     c. Letter of No Objection from NYC;

   d. Document from a local code enforcement agency stating that a Certificate of Occupancy is not needed;
   e. JCAHO accreditation.
2. Fire marshal certification or inspection issued by local government authority within the past 3 years.
3. Documentation of periodic testing of fire detection and suppression equipment.
4. Documentation of evacuation drills.

NOTE: If any of these items are not required for this building, you must provide documentation (i.e. official letter from appropriate code enforcement agency that item is not required for this particular building).

- **Written health and safety policy:** Refer to the Early Intervention Program Guidance Document, "*Health and Safety Standards for the Early Intervention Program"*. The "*Self-Assessment"* will also assist you in this task. To ensure all required written policies are assessed, please tab and label with the corresponding indicator number (example: PI-52) which may be found on the *'Self-Assessment"*.

- **Written confidentiality policy:** A copy of the BEI publication, "*Confidentiality Attachment*" lists the required components that are necessary to identify in your confidentiality policy as appropriate to your practice. The "*Self-Assessment"* will also assist you in this task. To ensure all required written policies are assessed, please tab and label with the corresponding indicator number (example: PI-42-F) which may be found on the *'Self-Assessment"*.

- **Documentation related to confidentiality practices:**
  - If personally identifiable child information is sent over the Internet, software must be used that ensures the security of these electronic records. A copy describing the software must be presented for BEI review.
  - If a professional records management organization is used for off-site storage of records, a copy of the contract with this organization must be presented for inspection.