



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

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

AS SOON AS POSSIBLE, AND NO LATER THAN 3 WEEKS PRIOR TO THE REVIEW

- **(Agency Only) Personnel list:** E-mail a list of all employees and contractors who currently provide early intervention services, completed according to attachment entitled, “*Instructions for Completion of Personnel List for Agency Monitoring Review.*”

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:
 - **(Agency Only)** For multidisciplinary evaluators, the date the child was referred to you for multidisciplinary evaluation;
 - 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 external drives 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.

- **(Agency Only) Personnel records:** Complete records for all personnel listed on your personnel list (see above) must be produced for inspection at the time of the review, and must include:
 1. SCR clearance letter, or State Central Register Database Check Form if awaiting clearance, for all EI personnel who will have regular and substantial contact with children. Application must have been filed through your agency.
 2. Documentation of provider credentials (certification and/or licensure) required for all evaluators and service provision personnel.
 3. Documentation of New York State Department of Health approval status (approval letters) for all services delivered, for the agency and for all contracted evaluators, service coordinators, and service provision personnel.
 4. Documentation of annual health assessment signed by a health care provider (physician, physician’s assistant, nurse practitioner, nurse midwife, advanced practice nurse or doctor of osteopathic medicine) for all personnel. Please note that tests, lab work, etc. alone are not sufficient evidence of an annual health assessment.
 5. Documents demonstrating that service coordinators are qualified according to Early Intervention regulations, including each service coordinator’s resume.
- **Individual Provider Credential and Annual Health Assessment:**
 1. Documentation of provider credentials (certification and/or licensure) required for all evaluators and service provision personnel.
 2. Documentation of annual health assessment signed by a health care provider (physician, physician’s assistant, or nurse practitioner, nurse midwife, advanced practice nurse, or doctor of osteopathic medicine) for

all personnel. Please note that tests, lab work, etc. alone are not sufficient evidence of an annual health assessment.

- **Building Compliance for provider day care facility:** Day Care license.
- **Building Compliance for provider facilities not licensed by Day Care:**
 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.
- **(Agency Only) Quality Assurance Plan:** a plan for each type of service offered by the agency. In addition, a completed QA Plan Chart to be presented at the time of the review.
- **(Agency Only) MDE Health Assessment Capacity:** documentation to demonstrate the capacity to provide or obtain a supplemental evaluation if needed to provide the child’s health assessment component of the MDE.
- **(Agency Only) Enrolled status in medical assistance program:** All agencies shall provide documentation of the provider’s enrolled status as providers in the medical assistance program (Medicaid). If the application has been submitted but notice of enrollment has not been received present the application, date the application was submitted and agency NPI number.