

The New York City Early Intervention Program

For Babies and Toddlers With
Developmental Delays or Disabilities

The Earlier The Better



New York City Department of Health and Mental Hygiene
Revised May 2015 (Revised Policies Reflect The New
York Early Intervention System - NYEIS)

Chapter 1: Referral

New York City Early Intervention Program

Policy Title: Referrals to NYC Early Intervention Program (Post NYEIS)	Effective Date: For All New Referrals Starting Staten Island: 7/12/2011 Bronx: 7/26/2011 Manhattan: 8/9/2011 Queens: 8/23/2011 Brooklyn: 9/7/2011
Policy Number: 1-A.1	Supersedes: N/A
Attachments: • New York City Early Intervention Program Referral Form • Fax Confirmation of Initial Service Coordinator and Important Dates (Form Eliminated by NYEIS) • Welcome Letter for Parents • FAQ for Parents Regarding Eligibility • Your Family Rights in Early Intervention • Your Rights in Early Intervention - Spanish	Regulation/Citation: Public Health Law (§ 2542.3) 10 NYCRR 69-4.3(c) Referrals

I. POLICY DESCRIPTION:

The earliest possible identification of infants and toddlers with disabilities is a primary Early Intervention Program objective. This policy clarifies the Public Health Law (Public Health Law (§ 2542.3) and program regulations 10 NYCRR §69-4.3(c) for referral to Early Intervention Regional Offices or to the Developmental Monitoring Unit. The EIP Referral Form with directions for completion can be found on the New York City DOHMH website at: <http://www.nyc.gov/html/doh/downloads/pdf/earlyint/ei-referral-form.pdf>.

NOTE:

- **Referrals made by NYC Early Intervention providers must be made via the New York Early Intervention System (NYEIS).**
- Instruction for navigating NYEIS are denoted in *italics* in the body of this Policy

II. PROCEDURE:

Responsible Party	Action
Primary Referral Source	1. Required to refer to Early Intervention within two (2) working days children, aged birth to 36 months, suspected of having a disability or who appear at risk for a developmental delay. Primary referral sources include: • Early Intervention provider agencies; • Hospitals; • Pediatric and/or primary healthcare providers;

- Day care programs;
- Local health units;
- Local school districts;
- Local social service districts (ACS);
- Public health facilities;
- Early Childhood Direction Centers;
- Operators of any clinic approved under Article 28 of Public Health Law, Article 16 or 31 of the Mental Hygiene Law (PHL § 2541(15), 10 NYCRR § 69-4.1(a))

Note:

- Parents may refer their children to EIP at any time.
2. Must refer to EI based on two categories :
- a. Suspected of having a delay
 - i. The child has a condition with a known likelihood of leading to a developmental delay such as Down syndrome, a birth weight of less than 1,000 grams (2.2 pounds), failure of two hearing screenings or a confirmed hearing or vision loss;
 - ii. Additional conditions provided at 10NYCRR §69-4.3 (e);
 - iii. The results of a developmental screening or diagnostic procedure(s), direct experience, observation, or impression of the child's developmental progress that suggests a possible delay;
 - iv. Parent/caregiver is requesting an evaluation, or has provided information indicating the possibility of delay or disability.

Note:

- Children who meet the above criterion should be referred to the Early Intervention Program where they will receive:
 - o Initial Service Coordination (ISC),
 - o A Multidisciplinary Evaluation (MDE), and, if found eligible, an
 - o Individualized Family Service Plan (IFSP).
 - i. All Early Intervention services are at no direct cost to the family.
- b. At risk for delay:
 - i. Children who are not suspected of having a disability and do not have a diagnosed condition with a high probability of delay, but are at increased risk for developmental delay because of specific biomedical risk factors or other risk criteria (PHL §2541 (1), 10 NYCRR 69-4.3 (f));
 - ii. Children with substantiated abuse or neglect, in the ACS system;
 - iii. Children evaluated and found not eligible for Early Intervention.

Note:

- Children who meet the criteria (in b) should be referred to Developmental Monitoring (DM) in Early Intervention where they will receive:
 - o Monitoring of the child's progress using the Ages and Stages Questionnaire®. The questionnaire is completed by mail or phone. If

	the questionnaire suggests atypical development, DM will transfer the child, with parental consent, for further assessment. 3. The primary referral source does not need written consent from the parent to make a referral to the EIP (see directions for completion of Early Intervention Program referral form). However, a referral cannot be made if the parent objects. - If a parent objects to the referral, a referral source should: - Maintain written documentation of the parent's objection and follow-up actions; - Provide the parent with the name of the EIP and information on how to make a referral if parent wishes to contact the program in the future; - Make reasonable efforts to follow-up with the parent within two (2) months and, if appropriate, refer the child at that time unless the parent objects. Note: - Referrals must be made to the borough of the child's residence, the Developmental Monitoring Unit or via the ACS Referral Hotline. 4. Referrals by non Early Intervention provider referral sources are made to the NYC EIP by : - Faxing a Referral Form directly to the Regional Office (RO) in the borough of the child's residence; - Calling 311 and asking for "Early Intervention"; or - Calling the ACS Referral Hotline at 877-885-KIDZ (5439) - ONLY employees of the Administration for Children's Services (ACS) or agencies contracted with ACS can use this referral method. - All ACS referrals must be made using the designated hotline number. - Faxed forms are discouraged for ACS referrals. Note: A child's referral should be submitted via only one method, fax or phone, not both. 5. If the Referral Form is faxed, the primary referral sources should keep a copy of the faxed transmittal of the Referral Form. - Primary referral sources are responsible for ensuring the confidentiality of all information transmitted at the time of the referral. 6. Referrals made by NYC Early Intervention providers must be made via the New York Early Intervention System (NYEIS) <i>From the Home Menu button - Click on Create Referral</i> <i>Enter mandatory information</i> <i>All mandatory fields are indicated by a yellow asterisk</i> <i>Primary Referral Source will be pre-populated with the provider agency name</i> <i>Status assigned field</i> <i>Provider selects "Confirmed Diagnosed Condition" or Suspected of delay for the referral to be routed to</i>

	<i>the Regional office</i> • <i>Selecting “at risk” or “failed Initial hearing screening” will cause the referral to be routed to Developmental Monitoring</i> iv. <i>The fields in the section below "Informed Parental Consent – The provider agency must make a reasonable attempt to obtain informed parental consent to complete the remaining NYEIS fields under the following categories:</i> • <i>Child Details</i> • <i>Communication Exemption (only if applicable)</i> • <i>Suspected Delay Referral Details</i> • <i>At Risk and Failed Newborn Hearing Screening Referral Details</i> • <i>Place of Birth</i> • <i>Primary Care Physician</i> v. <i>When making a referral for a child <u>suspected of having a disability</u>, a specific Initial Service Coordinator (ISC) or ISC agency may be requested when there is “an established relationship with the child or family” (PHL 25 Title II-A 69 - 4.7 (a)) .</i> • <i>The request for a specific ISC or ISC agency must be made in the “Comments” section of the referral in order to be considered.</i> • <i>Assignment is determined by the EIP Regional Office when the referral is received.</i> c. <i>Save the referral</i> d. <i>Select the option to “View and submit the child’s referral”</i> Note: From “My Shortcuts” select “My Provider Home Page”. Select “Referrals” from the Navigation Bar to view a complete list of referrals and their status.
Early Intervention Regional Office-Referral Unit	1. Referrals will be processed within twenty-four (24) hrs of receipt. a. Any referral made 45 days or less before the child turns three years old is automatically closed in NYEIS (if submitted electronically). Or, will not be entered into NYEIS (if called or faxed in). 2. Once the referral is processed, Early Intervention will: a. <i>Assign an ISC Agency in NYEIS</i> i. <i>Indicates specific ISC preference in the “ISC Authorization Page” comments section</i>
Initial Service Coordination Agency Supervisor	1. Required to check NYEIS for new request for ISC every business day. 2. <i>From the Inbox Menu button- Click “Work Queues”</i> b. <i>Select View: _ Service Authorization</i> c. <i>Select the task ID of the case to accept/Reject Service Coordinator Service Authorization</i> d. <i>Under Supporting Information, select Service Authorization Home Page</i> i. <i>The Service Details section of the Service Authorization Home Page replaces the Fax Confirmation of Initial Service Coordinator and Important Dates Form</i>

	ii. <i>Check the comments section for the municipal assignment of ISC</i> e. <i>Under Primary Action, select: Accept/Reject Service Authorization</i> i. <i>Enter Provider Name or % (Wildcard), then Search, Select a specific ISC</i> <i>The caseload column listing the # of cases for person will be listed</i> Note: - The Service Coordination supervisor must call the Regional Office in order to obtain approval to select an ISC other than the one designed in the comments section of the Service Authorization Home page. - ISC agencies are required to accept or reject ISC assignment within one business day of receiving the request.
Early Intervention Regional Office-Referral Unit	3. Send a Welcome Letter to the parent of the referred child welcoming the family to the NYC Early Intervention Program, giving the name and telephone number of the ISC and basic information about the EI process, and including a copy of Your Rights in Early Intervention.

Approved By: 
Assistant Commissioner, Early Intervention

Date: 6/29/2011



Early Intervention Program Referral Form

FOR OFFICE USE ONLY

Date of Referral

☐ Re-open

Employees of the Administration for Children's Services (ACS) or agencies contracted with ACS must Call the Citywide ACS Referral Hotline: (877)-885-KIDZ(5439) to make a referral to the Early Intervention Program

1. REQUIRED INFORMATION

CHILD'S NAME: (Last, First, Middle)

DATE OF BIRTH:

(MM/DD/YY) ____/____/____

SEX ☐ Male
☐ Female

CHILD'S ADDRESS: (Street, Apt. No)

CITY:

Zip Code:

RACE (may select more than one if applicable):

☐ White ☐ Asian ☐ Black ☐ Native American or Alaskan ☐ Hawaiian or Pacific Islander

ETHNICITY:

☐ Hispanic ☐ Not Hispanic

MOTHER'S NAME: (Last, First, Middle)

TELEPHONE:

☐ Home (____) ____-____☐ Cell (____) ____-____☐ Work (____) ____-____

Caregiver or Alternate Contact Name: (Last, First)

Telephone: (____) ____-____

Relation to Child: ☐ Father ☐ Grandparent ☐ Foster Parent ☐ Other, Specify:

REASON FOR REFERRAL (Check only one)

☐ EARLY INTERVENTION: Child with a suspected or known developmental delay or disability. Fax to the EIP Regional Office in the child's borough of residence:

Bronx (718) 410-4504

Brooklyn (718) 722-2998

Manhattan (718) 436-0902

Queens (718) 291-1981

Staten Island (718) 420-5360

☐ DEVELOPMENTAL MONITORING: Child is developing typically but may be "at risk" for atypical development, or child missed or failed newborn hearing screening. Fax to the Child Find Citywide Office: (347) 396-6987

Person Presenting Referral to Early Intervention

Name

Agency or Facility, if any

Address (Street, Apt. No)

City, State, Zip

Telephone

Fax

(____) ____-____

(____) ____-____

Referral Source Type: ☐ Community Program or EI Agency ☐ Parent/Family
☐ Foster Care/Other ACS ☐ PCP ☐ Hospital ☐ Other (Specify):

Comments:

2. WITH INFORMED PARENTAL CONSENT

MOTHER'S DATE OF BIRTH: (MM/DD/YY) ____/____/____

PRIMARY HOME LANGUAGE:

CHILD KNOWN TO ACS:
☐ Yes ☐ No

CHILD'S DOCTOR:

DOCTOR'S TELEPHONE:

(____) ____-____

BIRTH HOSPITAL:

LOCATION:

BIRTH WEIGHT:

Pounds: ____ Ounces: ____ OR Grams: ____

Gestational:

Age: ____ weeks

DIAGNOSIS:

if known:

3. REQUIRES PARENTAL SIGNATURE

Consent to Release Information (Only this section requires written parental consent)

I authorize for a copy of the Multidisciplinary Evaluation (MDE) to be sent to the above signed referring professional (ex: Primary Care Provider)

Parent Signature

Date

Request for ISC

Requested ISC

SC ID No.

FOR OFFICE USE ONLY

ISC Request ☐ Approved ☐ Not Approved

Agency

ID No.

Assigned SC

SC ID No.

Tel.

Fax

Tel.

Fax

Reason for ISC Request

Data Entry

Date

Questions? Dial 311 and ask for Early Intervention

EIP 11/10

Instructions for Completing the Early Intervention Program Referral Form

(Please do not fax with the referral form)

NOTE TO REFERRAL SOURCE:

ACS Referral Hotline: Child with a suspected of known delay OR Child is typically developing but may be “at risk” for atypical development AND is involved in the ACS Foster Care, Protective Services or Preventative services. Early Intervention Specialists at the ACS Hotline will discuss appropriate Next steps in the Early Intervention process. **All ACS referrals must be called in using this designated hotline number.** Fax referrals are discouraged for ACS referrals.

Write legibly or type all referral information. The referral form is divided into three (3) sections.

Section 1 - Contains information fields that **must** be included when making a referral to the NYC Early Intervention Program (EIP). Section 1 does not require parental consent to submit this information. **This section should be filled out completely for the referral to be accepted.**

Note: Family has the right to refuse to have their child referred to EIP.

Section 2 - Contains information that should be transmitted only with informed parental consent. Consent can be verbal or taken from another consent form used by the referring agency.

Section 3 - Contains information that requires a parent's written signature on this Referral Form.

Although Sections 2 and 3 require parental consent, the information contained in these sections is important for appropriate routing of the referral and assignment of Initial Service Coordinator (ISC). Therefore, it is recommended that all sections be completed if possible.

Information on this form must be typed or printed legibly (other than parent signature in Section 3).

Section 1

1. Write the child's full name, last name first. Write the child's date of birth in two (2) digit month, day, and year (e.g., 03/25/09).
2. Check the box indicating the child's gender and write the full address where the child resides, including the city (or borough) and the zip code.
3. **Race and Ethnicity.** Check the appropriate box for each section. *More than one racial designation for a child can be selected.*
4. Write the name of the child's biological or adoptive mother, last name first. On the right side, write the telephone numbers where the mother can be contacted.
5. Write the name of an alternate caregiver (such as the foster parent) or contact person and that person's telephone number. Check the appropriate box to indicate the relationship to the child and specify what that is if “other” is checked.
6. **Reason for Referral.** Check Early Intervention, Developmental Monitoring or ACS Hotline. If the child is being referred because there is a particular concern, write that information in the *Comments* box (See Appendix A). **All ACS referrals must be called in using the designated hotline number. Fax referrals are discouraged for ACS referrals.**
7. **Person Presenting Referral to Early Intervention.** Write the name, agency or facility (if any), address, telephone and fax numbers of the person referring the child to NYCEIP and completing this form. Check the appropriate box for *Referral Source Type* reflecting the person who is actually making the referral. For example, check the box for Community Program or EI Agency if the person making the referral represents an EI Provider Agency or a community agency (e.g., ECDC). Additional information can be added in the *Comments* box.

Section 2

8. Write the mother's date of birth in two (2) digit month, day and year (e.g., 11/10/82).
9. Write the primary language spoken at home. This information will assist in determining whether a bilingual ISC needs to be assigned.
10. Check the appropriate box to indicate whether the family is known to ACS.
11. Write the name of child's primary health care provider and his/her telephone number.
12. Write the name of the hospital in which the child was born and the location, e.g., address, borough or city and state/country.
13. Write the child's birth weight in pounds and ounces or grams. Include the gestational age in weeks, if known.
14. If the child has a known diagnosis, write that here (e.g., autism, Down syndrome, cerebral palsy, etc.). General concerns can be written in the *Comments* box.

Section 3

15. Indicate if a copy of the Multidisciplinary Evaluation (MDE) should be sent to the referring professional *if the parent consents to the release of this information.* ***This section requires written parental consent on this form*** and no information should be provided without the parent's signature.

Request for ISC

16. If the person/agency making the referral is requesting a particular initial service coordinator (ISC), write the name of the Service Coordinator (SC), the SC's ID number, the name and ID number of the service coordination agency, and the telephone and fax numbers for the agency. Include the reason for requesting initial service coordination. According to NYS law, a specific ISC or ISC agency can be requested when there is “an established relationship with the child or family.” However, the EI Regional Office (RO) determines the assignment of ISC and documents this in the bottom right box on the form.

Note: A specific ISC or ISC agency can be requested when there is an established relationship with the child or family, but assignment is at the discretion of the EI RO.

NOTE: If there are questions about completing the form or making the referral, call the EI RO in the borough where the child resides or call 311 and ask for “Early Intervention.”

Appendix A- Reason for Referral Clarification

Section 1 contains the **REASON FOR REFERRAL** block. The individual referring the child must indicate whether the child is being referred to EIP in the child's borough of residence, **Child Find Developmental Monitoring (DM)** or the **ACS Referral Hotline**. The following indicators should assist with deciding which **REASON FOR REFERRAL** box to check and where to send the referral.

EARLY INTERVENTION: Child with a suspected or known developmental delay or disability.

This referral is sent to the EIP Regional Office (RO) in the child's borough of residence for a Multidisciplinary Evaluation (MDE). Check this box for a child with a developmental delay(s) and/or a diagnosed physical or mental condition with a high probability of a future developmental delay. The child should meet one or more of the following criteria:

- The child has a condition with a known likelihood of leading to a developmental delay such as Down Syndrome, a birth weight of less than 1,000 grams (2.2 pounds), failure of two (2) hearing screenings or has a confirmed hearing or vision loss;
- The results of a developmental screening or diagnostic procedure, direct experience, observation, and perception of the child's developmental progress indicate that he or she is not developing similarly to same age peers; or
- Parent or caregiver is requesting an evaluation or has provided information that indicates the possibility of a developmental delay or disability.

DEVELOPMENTAL MONITORING: Child is developing typically but may be "at risk" for atypical development, or child missed or a failed newborn hearing screening or re-screening (*not re-screened within seventy-five (75) days*).

This referral is sent to the citywide Child Find - DM Office. Check this box for a child who missed or failed his/her newborn hearing screening and did not return for follow-up within seventy-five (75) days. Also, check this box for a child who meets one or more of the risk criteria listed below:

Neonatal Risk Criteria	Post-Neonatal Risk Criteria	Other Risk Criteria
• Birth weight 1,000 - 1,500 grams • Gestational age less than 33 weeks • NICU stay of ten (10) days or more • CNS insult/abnormality • Asphyxia (5 min APGAR less than 4) • Growth deficiency/nutrition problems (e.g., SGA) • Presence of Inborn Metabolic Disorder • Maternal prenatal alcohol abuse • Congenital malformations • Hyper- or hypotonicity • Hyperbilirubinemia (above 15 mg/d) • Hypoglycemia (serum glucose less than 20 mg) • Maternal prenatal abuse of illicit substances • Prenatal exposure to therapeutic drugs with known risk • Venous lead level more than 19 mcg/dl • HIV infection • Maternal PKU	• Parental developmental disability or mental illness • Suspected/family history of hearing impairment • Suspected/family history of vision impairment • Other risk criteria identified by referral source (describe) • Parental concern re: development • Questionable score on Developmental/sensory screen • Illness/trauma with CNS Implications and ICU more than ten (10) days • Serous Otitis Media within three (3) months • Growth deficiency/nutritional problems, F.T.T., iron deficiency	• No prenatal care • Homelessness • Questionable score on Developmental/Sensory screen • History of child abuse or neglect* • No well child care by six (6) months • Concern re: parenting due to poor bonding, impairment in psychological/ interpersonal functioning • Significant immunization delay • Parental drug or alcohol abuse • Perinatally/congenitally transmitted Infection (e.g., HIV, hepatitis B, syphilis) • Parental developmental disability or mental illness • Other risk criteria identified by referral source (describe) * Referrals of typically developing children in ACS Foster Care who have not been screened should be sent to DM



Date: _____

Dear Parent/Guardian:

Welcome to the New York City Early Intervention Program! The Early Intervention Program (EIP) is a program for families of children under three years of age who have significant delays in development.

Your child: _____ was referred by: _____ on ____/____/____.

What happens next in Early Intervention?

The first person you will meet in Early Intervention is your **Initial Service Coordinator (ISC)**. Your Initial Service Coordinator is _____. S/he can be reached at: _____.

The ISC will contact you to set up an appointment. At this meeting your ISC will:

- Explain the Early Intervention (EI) process and answer your questions about the program.
- Explain your rights and responsibilities in Early Intervention.
- Give you a copy of The Early Intervention Program: A Parent's Guide for Children with Special Needs - Birth to Age Three, (on-line at: www.health.state.ny.us/community/infants_children/early_intervention/parents_guide/index.htm)
- Collect your child's insurance information or refer you to a Child Benefit Advisor if necessary.
- Help you choose an **Agency** to evaluate your child at no cost to you.

The Evaluation

- Your child will have a complete evaluation to find out if s/he has a delay that meets the EIP's eligibility requirements. This is called a **Multidisciplinary Evaluation (MDE)**.
 - o During the evaluation tell the evaluators what your child can do and what you would like him/her to learn.
- Your evaluation team will discuss the results of the evaluations with you. The EIP will review your child's evaluation to ensure quality and may ask the evaluators or you for more information. Children with mild delays are not eligible for Early Intervention.

The IFSP Meeting

- If the evaluation shows that your child is eligible for the EIP, an **Individualized Family Service Plan (IFSP)** meeting will be held **within forty-five (45) days from referral**. Your ISC will call you to arrange a date, time and location that is convenient for you.
- The Early Intervention Official Designee (EIOD), and the rest of the team will meet with you to decide how EI will work with you to help your child develop in the best way that he or she can. Your child learns all day long, by doing everyday things. You can help your child during those times. EI is here to help you.
- You may also have the opportunity to meet with our Department's Child Benefit Advisors. They will talk to you about benefits available for your child including health insurance.

What should you do next?

- It is very important to **keep all of your EI appointments**. Call your ISC if you cannot keep an appointment or if an evaluator misses an appointment. If you miss appointments and we don't hear from you, we may have to close your child's case.
- Have your child's doctor fill out the medical form that comes with this letter.
- Tell your ISC whenever there is a change in your contact information.
- Visit the NYC DOHMH Early Intervention Program website: Along with information about the Early Intervention Program, you can also find the list of agencies contracted with NYC to provide service coordination, evaluations, and services: <http://www.nyc.gov/html/doh/html/earlyint/earlydirectory.shtml>

If you have questions your Service Coordinator cannot answer, you need other help, or you do not receive A Parent's Guide call the Early Intervention Regional Office at 347-396-6182 and ask for an Assistant Director. You can also call the Early Intervention Director of Consumer Affairs at 347-396-6828.

Sincerely,

Director, Regional Office

NYC EARLY INTERVENTION PROGRAM
INFORMATION FOR PARENTS ABOUT ELIGIBILITY
QUESTIONS AND ANSWERS

Q: My child was found not eligible for the Early Intervention Program (EIP). S/he isn't doing things like other children his/her age. Why isn't s/he eligible?

A: The Early Intervention Program, by law, only provides services for children who have significant delays in development.

It is normal for children to develop skills at different times and at their own pace. For example, one child may start to walk at 11 months while another child starts at 16 months.

Difficulties eating new foods and temper tantrums can also be a normal part of early child development.

These children are not eligible for Early Intervention.

Q: The reports that I got said that my child has a delay. They recommended that s/he gets therapy. But I was told that s/he is not eligible for Early Intervention. How can that be?

A: While your child might have a delay, it might not be significant enough for Early Intervention. According to the State Department of Health, a severe delay in communication may be seen when a child has:

- no single words at 18 months,
- fewer than 30 words at 24 months
- no two word combinations at 36 months.

The program does not serve children who are “late talkers” or “late walkers”.

Your child might still benefit from therapy. You can bring the reports to your doctor, and ask if your doctor could recommend therapy paid for by your health insurance.

Your Service Coordinator can also help you find low cost therapy services. Some graduate school programs have clinics that provide therapy on a sliding scale. These schools are listed below.

Q: I am still concerned. What can I do?

A: Ask your Service Coordinator for a referral to the EIP Developmental Monitoring. You will be contacted on a regular basis to complete an Ages and Stages Questionnaire (ASQ). This will tell you if your child is still developing within age limits or if he/she should be re-evaluated.

Resources for Parents

Low Cost Speech Services - Many colleges and universities in NYC have free or low-cost speech clinics:

Brooklyn College – 718-951-5186
Lehman College – 718-960-8138
LIU – Brooklyn Campus – 718-780-4122
New York University – 212-998-5230
Queens College – 718-997-2930
Touro College – 718-787-1602 x 200

Day Care Referrals - If you are interested in finding day care services, you can call the numbers below:

The New York City Child Care Resource and Referral Consortium: 888-469-5999

Child Care Inc.

322 Eighth Avenue, 4th Floor
New York, NY 10001
212-929-7604
212-929-5785 (Fax)

Child Development Support Corporation

352-358 Classon Ave, 2nd Fl
Brooklyn, NY 11238
718-230-0056
718-398-6182 (Fax)

Chinese-American Planning Council

165 Eldridge Street
New York, NY 10038
212-941-0030 ext. 597
212-343-9567 (Fax)

Committee for Hispanic Children and Families

110 William Street, Suite 1802
New York, NY 10011
212-206-1090
212-206-8093 (Fax)

Child Care Council of New York, Inc.

12 West 21st Street , 3rd Floor
New York, NY 10010
212-206-7818
212-206-7836 (Fax)

Early Head Start (EHS) – A community based program for low income families with infants and toddlers and pregnant women. It seeks to enhance the development of very young children and promote healthy family functioning. To locate EHS programs in NYC go to: <http://eclkc.ohs.acf.hhs.gov/hslc/HeadStartOffices>

Early Childhood Direction Centers (ECDC) - Provide information, referral and support to families and professionals working with children, both typically developing and those with special education needs, ages birth through five.

Bronx Early Childhood Direction Center

2488 Grand Concourse, Room 405
Bronx, NY 10458
718-584-0658
718-584-0859 (Fax)

Brooklyn Early Childhood Direction Center

UCP of NYC, Inc.
SHARE Center
160 Lawrence Avenue
Brooklyn, NY 11230
718-437-3794
718-436-0071 (Fax)

Manhattan Early Childhood Direction Center

New York Presbyterian Hospital
435 East 70th Street, Suite 2A
New York, NY 10021
212-746-6175
212-746-8895 (Fax)

Queens Early Childhood Direction Center

Queens Centers for Progress
82-25 164th Street
Jamaica, NY 11432
718-374-0002 X 465
718-969-9149 (Fax)

Staten Island Early Childhood Direction Center

Staten Island University Hospital
242 Mason Avenue, 1st Floor
Staten Island, New York 10305
718-226-6670
718-226-6385 (Fax)

Resources for Children with Special Needs - Works for families and children with all special needs, across all boroughs, to understand, navigate, and access necessary services to ensure that all children have the opportunity to develop their full potential.

116 E. 16th Street - 5th floor
New York, NY 10003
212-677-4650
212- 254-4070 (Fax)

YOUR FAMILY RIGHTS IN EARLY INTERVENTION

The New York City Early Intervention Program (EI) recognizes that the family is an essential part of the early intervention team. The program will do its best to meet the needs of your family and your child. However, you may have concerns that you feel are not being addressed, or disagreements with decisions. Your family has rights that are guaranteed by the Individuals with Disabilities Education Act (IDEA):

- You have the right to say yes or no to having your child screened or evaluated.
- You have the right to choose the evaluator and on-going service coordinator.
- You have the right to say yes or no to any EI service without risking your right to other services.
- You have the right to look at and request a change to your child's written record.
- You have the right to keep information about your family private.
- You have the right to be told about and to appeal any possible changes to your child's evaluation or any other early intervention service before changes are made.
- You have the right to take part in – and ask other people of your choice to attend – all meetings where decisions will be made about changes in your child's evaluation or services.
- You have the right to an explanation of how your insurance may be used to pay for early intervention services.
- You have the right to due process (appeal) procedures mediation, impartial hearing or systems complaint to resolve concerns: (*see below).
- You have the right to use due process procedures if your child is not found eligible for early intervention services.

If you have concerns or do not agree with a decision:.

- **First, discuss your concern or disagreement with your Service Coordinator. S/he will explain your options and rights in further detail.**
- **You can call the Early Intervention Official Designee (EIOD) or an Assistant Director in the Early Intervention Regional Office at the number below:**

<u>Brooklyn:</u>	<u>Queens:</u>	<u>Staten Island:</u>
718 722-3310	718 480-2249	718 420-5357
<u>Bronx:</u>	<u>Manhattan:</u>	
718 410-4110	212 436-0900	
- **Or, you can call the EI Director of Consumer Affairs, Beverly Samuels, at (347) 396-6828.**

Due Process – If you still have a concern or disagreement, you can appeal the decision by requesting:

- **Mediation** – This is a way to discuss your concerns and reach agreement with a mediator and the Early Intervention Program. Your Service Coordinator can help request mediation, or you can send a letter to the address below.
- **Impartial Hearing** – This is another way to settle disagreements. It is more formal and carried out by hearing officers who are administrative law judges (ALJs) assigned by the NYS Department of Health. The ALJs make the final decision about the complaint. You can send a letter to address below.
- **Systems Complaints** – This is a way to request that the NYS Department of Health investigate how the Early Intervention Program is working. If you believe that your Early Intervention Official, service provider, or service coordinator is not doing their job under the law (IDEA), you can write to the address below.

Mediation Requests

Director of Consumer Affairs
NYC Early Intervention Program
Gotham Center #12, 42-09 28th St., 18th Floor
Queens, NY 11101
347 396-6828 (Phone)
347 396-89 77 (Fax)

Impartial Hearing or Systems Complaints

NYS Department of Health
Bureau of Early Intervention
Corning Tower, Empire State Plaza
Albany, NY 12237
518 473-7016 (Phone)
518 486-1090 (Fax)

Sus Derechos como Padres en el Programa de Intervención Temprana

El Programa de Intervención Temprana de la Ciudad de Nueva York (EI) reconoce que la familia es una parte esencial del equipo de intervención temprana. Mientras el programa tratará de hacer todo lo posible para satisfacer las necesidades de su familia y su hijo(a), usted pueda que tenga preocupaciones que sienta que no han sido resueltas. Su familia tiene derechos garantizados por el Acta de Educación de Individuos con Incapacidades (IDEA):

- Usted tiene el derecho de decir si o no a una evaluación o examen de su hijo(a)
- Usted tiene el derecho de escoger un evaluador y después que elegibilidad para el Programa sea establecido y un plan de servicios individualizado para su familia sea escrito, un coordinador de servicios
- Usted tiene el derecho de decir si o no, a cualquier tipo de servicio de intervención temprana sin arriesgar su derecho a otros tipos de servicios
- Usted tiene el derecho de examinar y modificar el registro escrito de su hijo(a) bajo el Programa de Intervención Temprana
- Usted tiene el derecho de mantener privada la información de su familia
- Usted tiene el derecho de ser informado de cualquier cambio posible en la evaluación u otros servicios de intervención temprana, antes de que se hagan los cambios.
- Usted tiene el derecho de participar y pedir a otros que participen en todas las reuniones donde se tomen decisiones acerca de los cambios en la evaluación o servicios de su hijo(a)
- Usted tiene el derecho de recibir una explicación de cómo se utilizará su seguro para pagar por los servicios de intervención temprana
- Usted tiene el derecho de usar el proceso debido para resolver quejas (apelación) a través de mediación, audiencia imparcial o quejas sobre el sistema (citados abajo)
- Usted tiene el derecho de apelar si su hijo(a) no es encontrado elegible para recibir servicios de intervención temprana

Si algo le preocupa o esta en desacuerdo con una decisión, hay varias entidades con quien puede hablar.

- **Primero, discuta su preocupación o de lo que esta en desacuerdo con su coordinador de servicios. El/Ella le explicará sus opciones y derechos con mayor detalle.**
- **Usted puede llamar al Oficial Designado de Intervención Temprana (EIOD) o a un Asistente de Director en la oficina Regional de Intervención Temprana, del condado donde reside, a uno de los números siguientes:**

Brooklyn:
718 722-3310

Queens:
718 480-2249

Staten Island:
718 420-5357

Bronx:
718 410-4110

Manhattan:
212 436-0900

- **O puede llamar a la Directora de Asuntos de Consumidores, Beverly Samuels, al (347) 396-6828.**

Apelaciones – Si todavía tiene preocupaciones o aun esta en desacuerdo con una decisión tomada, puede apelar la decisión mediante pedir:

- **Mediación** – Una forma de discutir sus preocupaciones y llegar a un acuerdo con un mediador y el Programa de Intervención Temprana. Su coordinador de servicios puede ayudarle a pedir mediación, o usted puede mandar una carta a la dirección alistada abajo.
- **Audiencia Imparcial** – Esta es otra forma de resolver desacuerdos. Es más formal y es llevado a cabo por un funcionario de audiencias quien es juez de ley administrativa (ALJ), asignado por el Departamento de Salud del Estado de Nueva York. Estos funcionarios toma la decisión final sobre la queja presentada. Usted puede mandar una carta a la dirección alistada abajo.
- **Quejas sobre el Sistema** – Esta es una forma de pedir que el Departamento de Salud del Estado de Nueva York investigue como el Programa de Intervención Temprana esta trabajando. Si usted cree que el oficial de Intervención Temprana, su proveedor de servicios, o su coordinador de servicios no esa haciendo su trabajo bajo la ley (IDEA), usted puede escribir a la dirección siguiente:

Mediación Request

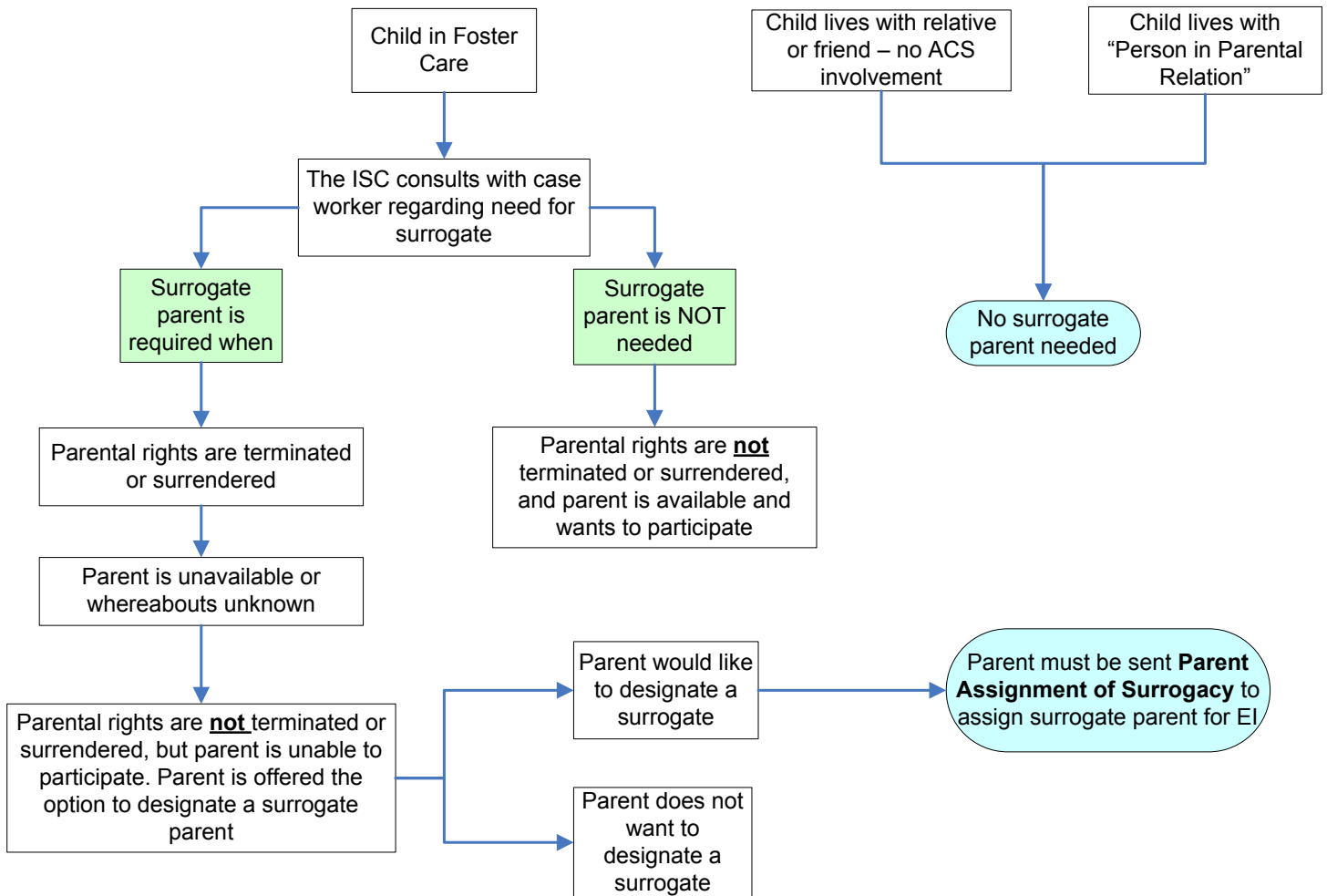
Director of Consumer Affairs
NYC Early Intervention Program
Gotham Center #12, 42-09 28th St., 18th Floor
Queens, NY 11101
347 396-6828 (Tel)
347 396-8977 (Fax)

Impartial Hearing or Systems Complaint

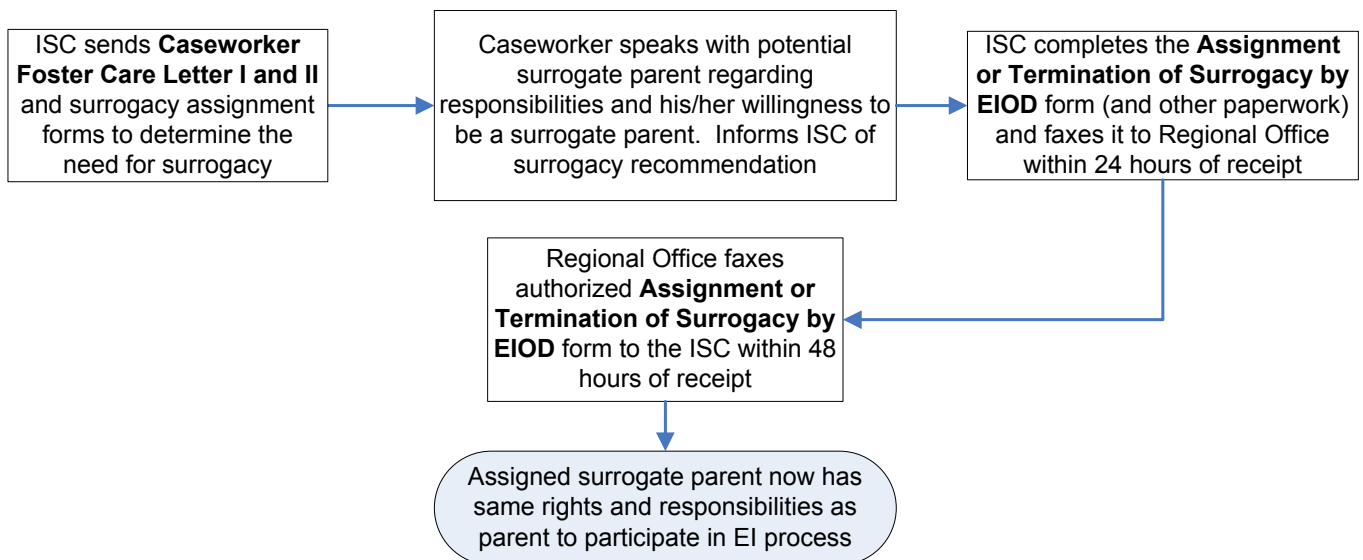
NYS Department of Health
Bureau of Early Intervention
Corning Tower, Empire State Plaza
Albany, NY 12237
518 473-7016 (Tel)
518 486-1090 (Fax)

Chapter 2: Foster Care and Surrogacy

NYC EARLY INTERVENTION PROGRAM DETERMINING NEED FOR A SURROGATE PARENT & ASSIGNMENT OF SURROGATE PARENT IN EARLY INTERVENTION



IF THE APPOINTMENT OF A SURROGATE PARENT IS REQUIRED



New York City Early Intervention Program

Policy Title: Determining The Need For Assigning A Surrogate Parent	Effective Date: July 1, 2010
Policy Number/Attachment: 2-A	Supersedes: N/A
Attachments: Applicable Forms: • Fax Confirmation of Initial Service Coordinator and Important Dates • Referral Form Surrogacy Forms: • Steps Taken to Determine Need for Surrogate Parent for Children in Foster Care Form • Foster Care Letter Part I • Foster Care Letter Part II • Surrogate Parent Designation by Parent Form.	Regulation/Citation: NYS Regs. 69-4.15 Children in Care (a) – (k)

I. POLICY DESCRIPTION:

The New York City Early Intervention Program (EIP) is committed to ensuring that children in foster care receive a timely Multidisciplinary Evaluation (MDE) to establish eligibility. Once eligibility has been established, an Individualized Family Service Plan (IFSP) meeting will be held within **forty-five (45) days** of referral to the EIP.

When the parent(s)' availability to participate in the Early Intervention (EI) process is limited due to life circumstances, including the child's placement in foster care, the Initial Service Coordinator (ISC) must:

- Facilitate the parent's involvement in the EI process;
- Determine whether the parent will be involved or whether a surrogate parent is needed; and
- Inform the EIP of the need for a surrogate.

Note: This policy also applies to instances when a child, already in the EIP, should need a surrogate parent for the first time.

II. PROCEDURE:

Responsible Party	Action
Initial Service Coordinator	1. Reviews the Referral Form to determine if a child resides with a biological parent. • Referral Form – Section 1 – Relation to Child; • Referral Form - Section 1 –Referral Source Type; • Referral Form – Section 2 – Child Known to ACS; 2. Contacts the Referral Source, ACS and/or the foster care agency to determine the availability of the parent.

- a. If the child is **not in foster care and there is a "person in parental relation,"**:

i. **10NYCRR69-4.1 (1) (ah) defines *parental relation* as:**

- the child's legal guardian;
- the child's standby guardian appointed by the Surrogate Court;
- the child's custodian; a person shall be regarded as the custodian of a child if he or she has assumed the charge and care of the child because the parents or legally appointed guardian of the minor have died, are imprisoned, are mentally ill, or have been committed to an institution, or because they have abandoned or deserted such child or are living outside the state or their whereabouts are unknown; or
- Persons acting in the place of a parent, such as a grandparent or stepparent with whom the child lives (person in parental relation), as well as persons who are legally responsible for the child's welfare

ii. **A person in parental relation** may sign all consents, including the **Consent for Evaluation**.

iii. A surrogate parent does not need to be assigned.

Note: When a child is a ward of the State, and lives with a foster parent, the child may need a surrogate parent.

- b. For children **in foster care**, the steps described below should be followed in a timely manner.

i. All steps must be thoroughly documented on the **Steps Taken to Determine Need for Surrogate Parent for Children in Foster Care Form**.

Steps to Determine Need for Surrogate

1. Sends to child's Foster Care Caseworker (FCC) the **Foster Care Letter Parts I and II** within **two (2) days** of receipt of the **Fax Confirmation of Initial Service Coordinator and Important Dates, and Referral Forms** for a child in foster care from the Regional Office.
 - a. If the FCC was the primary referral source, the **Foster Care Letter Part I** will:
 - i. Serve as confirmation of the referral to EIP; and
 - ii. Provide the name and phone number of the Initial Service Coordinator (ISC).
 - b. If someone other than the caseworker made the referral (eg: foster parent, child's doctor), the **Foster Care Letter Part I** will serve as:
 - i. Notification to the FCC that a referral to EI has been made; and
 - ii. Provide the name and phone number of the ISC.
2. Calls the FCC **no later than three (3) business days** after the letter is sent to confirm receipt and discuss whether a surrogate parent needs to be appointed.
 - a. If the FCC has not yet received the **Foster Care Letters**, a copy

	must be faxed to him/her. Note: - If the ISC cannot reach the FCC, s/he should speak with a supervisor. If the supervisor cannot be reached, the ISC can contact the RO for assistance. - Ask the FCC if parental rights have been terminated or voluntarily surrendered. - If parental rights have been terminated or voluntarily surrendered: - The parent must not be contacted and a surrogate parent must be assigned; - Refer to Policy on <i>Assignment a Surrogate Parent</i>. - If parental rights have not been terminated or voluntarily surrendered: - ISC must request that the FCC contact the parent(s) within three (3) business days.
Foster Care Caseworker	- Contacts the parent within three (3) business days of speaking with the ISC in order to: - Notify him/her of the referral to EI; - Determine whether s/he will participate in the EI process: - If the parent wants to participate in EI, the FCC will: - Inform the ISC and provide the parent's contact information; - Give the parent the ISC's contact information; - Let the parent know that the ISC will be contacting him/her to discuss the parent's participation in the IFSP process or the designation of a surrogate parent. - If the parent is unable to participate in EI and wants to designate a surrogate, the FCC will inform the parent that: - The ISC will contact him/her; or - S/he can call the ISC; or - S/he can give the name of the surrogate to the FCC who will then convey the information to the ISC. - If the parent is unable to participate in EI, and does not want to designate a surrogate, the FCC will: - Contact ISC to discuss who should be designated as a surrogate. - If the parent objects to the child's participation in EIP, the FCC will inform the parent that: - The ISC will contact him/her to discuss EI with them. - Complete Foster Care Letter Part II and send it to the ISC.
Initial Service Coordinator	<u>If the parental rights have not been terminated:</u> - Receives completed Foster Care Letter Part II from the FCC. - Contacts the parent within three (3) business days of being notified by the

	FCC to discuss the parent's choice to participate in EIP, to assign a Surrogate Parent or to close the child's case: a. If the parent would like to participate in EIP: i. Discusses the parent's role in the EI process. b. If the parent is unable to participate but would like to designate a <u>specific person</u> to be the surrogate parent: i. Completes the Surrogate Parent Designation by Parent Form with the name provided by the parent (or by the caseworker on behalf of the parent); and ii. Sends the form to the caseworker to complete with the parent; or iii. Sends the Surrogate Parent Designation by Parent Form to the parent for completion along with a self-addressed, stamped envelope and instructions to complete and return the form to the ISC as soon as possible. c. If the parent notifies the caseworker that s/he objects to the child's participation in EI: i. Discusses the EIP with the parent. If the parent continues to object to the child's participation in EIP: • Notifies the FCC that the parent continues to object or if the ISC was unable to reach the parent; • Closes the Case (see Closure Policy).


Approved By:
Assistant Commissioner, Early Intervention

Date: 4/28/2010

New York City Early Intervention Program

Policy Title: Assignment of Surrogate Parents	Effective Date: July 1, 2010
Policy Number/Attachment: 2-B	Supersedes: N/A
Attachments: • Steps Taken to Determine Need for Surrogate Parent for Children in Foster Care • Surrogate Parent Designation by Parent Form • Foster Care Letter Part I • Foster Care Letter Part II • Assignment or Termination of Surrogate Parent Assignment by EIOD • Child Information Change Form	Regulation/Citation: NYS Regs. 69-4.16 (c) -(f), (i), (j), (k)

I. POLICY DESCRIPTION:

Once the need for a surrogate has been established by the Initial Service Coordinator (ISC) or Ongoing Service Coordinator (OSC) and Foster Care Caseworker (FCC), the surrogate parent must be named and appointed by the Early Intervention Regional Office. An evaluation agency may not conduct the Multidisciplinary Evaluation (MDE) if a child's parental status is unknown.

The surrogate parent may not be an employee of any agency involved in the provision of EI or other services to the child, including staff from the New York City Administration for Children's Services (ACS) or the foster care agency serving the child. A foster parent is not considered to be a "person in parental relation" and technically is not an employee of a foster care agency. Therefore, a foster parent may be selected as the surrogate parent after consultation with the FCC or another representative from the foster care agency.

Other choices for surrogate parent are:

- a person voluntarily designated by the parent;
- a relative who has an ongoing relationship with the child;
- a friend of the parent who has an ongoing relationship with the child; and
- if no suitable individual is identified, a qualified volunteer.

The surrogate parent has the same rights and responsibilities as the parent in the Early Intervention Program (EIP) and represents the child in all matters related to:

- screening, evaluation, and assessment of the child;
- development and implementation of the IFSP, including **six (6) month** and annual

- reviews;
- the ongoing provision of EI services;
- the right to request mediation or an impartial hearing in the event of a dispute; and
- any other rights accorded to families in the EIP.

II. PROCEDURE:

Responsible Party	Action
Initial/Ongoing Service Coordinator	<u>If the parent rights have been terminated, voluntarily surrendered, or the parent cannot be contacted (See Determining Need for a Surrogate Parent):</u> - Faxes the following documents within two (2) business days of receiving Foster Care Letter Part II from the FCC, to the Assistant Director/EIOD: Steps Taken to Determine Need for Surrogate Parent for Children in Foster Care; Foster Care Letter Part I; Foster Care Letter Part II; Child Information Change Form (when needed); and Assignment or Termination of Surrogacy by EIOD. <u>If the parental rights have not been terminated:</u> - Faxes the following documents within two (2) business days of contacting the parent, and receiving Foster Care Letter Part II from the FCC, to the Assistant Director/EIOD: Steps Taken to Determine Need for Surrogate Parent for Children in Foster Care; Foster Care Letter Part I; Foster Care Letter Part II; Assignment or Termination of Surrogacy by EIOD; Child Information Change Form (when needed); and Surrogate Parent Designation by Parent Form (if the parent decided to designate a surrogate).
Regional Office Assistant Director/EIOD	- Reviews the submitted information and indicates his/her approval of the surrogate assignment by signing the Assignment/Termination of Surrogacy by EIOD. - Faxes it to the ISC <u>within two (2) business days of receipt</u>.
Initial Service Coordinator/Ongoing Service Coordinator	- Receives approved Assignment/Termination of Surrogacy by EIOD. - Meets with surrogate parent to obtain consents.

	3. Faxes approved Assignment/Termination of Surrogacy by EIOD Form to the Evaluation Agency with ISC paperwork: a. Refer to the Initial Service Coordinator Responsibilities Policy.
Evaluation Site	1. Receives the approved Assignment/Termination of Surrogacy by EIOD form with the ISC packet of forms from the ISC. a. The surrogate parent is now authorized to sign the Consent for Evaluation and other consents that parents would sign. b. The evaluation process can proceed.
Initial Service Coordinator	1. At the conclusion of the IFSP meeting: a. Ensures that the OSC and all service providers receive a copy of the approved Assignment/ Termination of Surrogacy by EIOD form with the IFSP.
Initial Service Coordinator/Ongoing Service Coordinator	If a change in surrogate parent is necessary: 1. The Service Coordinator does not need to reissue the Foster Care Letters Part I and Foster Care Letters Part II. 2. The SC must: • Complete a new Assignment/Termination of Surrogacy by EIOD and Child Information Change Form; • Obtain the EIOD's written authorization, and send the approved forms to all service providers; and • Send the Assignment/Termination of Surrogacy by EIOD Form to the newly assigned surrogate parent, Foster Care Caseworker, and the evaluation agency and/or service provider(s) (as needed). Note: - If, at any time, the birth parent wants to assume responsibility, the SC should complete a new Assignment/Termination of Surrogacy by EIOD and Child Information Change Form, obtain the EIOD's written authorization, and send the approved forms to all service providers. - If, while the child is receiving EI Services, there is a need to newly assign a surrogate parent: • Refer to the Determining the Need for Assigning a Surrogate Parent Policy for the appropriate steps to follow.


 Approved By:
 Assistant Commissioner, Early Intervention

Date: 4/28/2010

New York City Early Intervention Program

Policy Title: Foster Care Information in Child Records	Effective Date: July 1, 2010
Policy Number/Attachment: 2-C	Supersedes: N/A
Department/Unit: Bureau of Early Intervention	Regulation/Citation: Early Intervention Program & Administration for Children's Services Agreement; State Department of Health Guidance 2000

I. POLICY DESCRIPTION:

At the inception of the New York City Early Intervention Program (EIP) in 1993, EIP and the Administration for Children's Services (ACS) agreed upon a policy regarding children's addresses. Early Intervention (EI) records would contain the names, addresses, and telephone numbers of foster care agencies but not the addresses or phone numbers of foster parents. This procedure prevented parents, who have the right to review their child's records, from obtaining information that might otherwise be unavailable to them. Subsequently, State Department of Health (SDOH) provided guidance in a letter dated January 27, 2000, **that it is permissible to maintain foster home contact information in EI files, if it is removed prior to releasing foster children's EI records to parents.**

II. PROCEDURE:

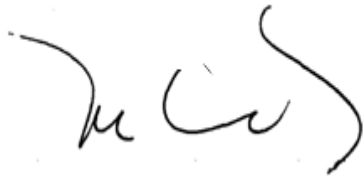
Responsible Party	Action
Service Coordinators/ Regional Office Staff	<u>Foster Care Information Maintenance</u> 1. Foster home contact information is maintained in EI files, a. Names, addresses and other identifying information of foster parents can be used on all EI forms and paperwork. This includes: i. Referral form; ii. All consent forms; iii. Initial, Review and Annual Individualized Family Service Plan (IFSP); and iv. The Family Information Form in the "Child Lives With" section. 2. Foster care agency information will be documented where appropriate on all EI forms. Foster care agency information includes but is not limited to: a. Agency name, address, telephone and fax numbers; and b. Caseworker name and telephone number.

Request for Records for Children in Foster Care

1. A record of a child in foster care is requested by a parent:
 - a. Identifying information of a foster care placement (name, phone number, and address) **must** be removed by the sending party (through the use of a black marker or white redaction tape, and subsequent photocopying) prior to release of any records to the parent.
 - i. Identifying information must be completely obscured and not readable.

Note:

- Upon request, the service coordinator (SC) should share all records with the Foster Care Caseworker (FCC), including, but not limited to: Evaluations; IFSPs; and Progress reports.
- The SC should also invite the ACS/FCC to IFSP meetings and scheduled conferences.



Approved By:
Assistant Commissioner, Early Intervention

Date: 5/28/2010

SURROGACY FORMS

STEPS TAKEN TO DETERMINE NEED FOR SURROGATE PARENT FOR CHILDREN IN FOSTER CARE

Child's Name: _____ EI # _____
(Last) (First)

The service coordinator (SC) must complete this form, keep a copy in the child's case file and send a copy to the Regional Director/EIOD

1. a. Upon receipt of the referral of a child in foster care, the SC must send the **Foster Care Letter Parts I and II** to the child's Foster Care Caseworker (FCC).
- b. If the child is already in Early Intervention and has been removed from the home, the SC must send the **Foster Care Letter Parts I and II** to the child's FCC.

Date **Foster Care Letter Parts I and II** sent: ____/____/____

Comments:

2. The SC must call the FCC to discuss whether a surrogate parent needs to be appointed and, if so, who it should be.

Date of phone call to FCC: _____ / _____ / _____

Result of discussion:

3. The SC must send to the Regional Director/EIOD the **Foster Care Cover Letter Part II; Surrogate Parent Designation By Parent** form (if done); completed **Assignment or Termination of Surrogacy by EIOD** form; **Child Information Change Form** (if needed); and a copy of this form completed through Section 3.

Date forms sent: / /

Comments:

4. The Regional Director/EIOD will review the information submitted and indicate his/her approval of the surrogate by signing the form and returning it to the SC.

Date approved: / /

Date Assignment/Termination of Surrogacy by EIOD form received from Regional

Director/EIOD: / /

Comments:

5. The SC will send copies of the approved form to the surrogate parent, the evaluation agency/or service providers, and the FCC.

Date copies of this form sent to the above: / /

Comments:

INSTRUCTIONS FOR COMPLETION

STEPS TAKEN TO DETERMINE NEED FOR SURROGATE PARENT FOR CHILDREN IN FOSTER CARE

The **Initial Service Coordinator (ISC)** must use this form to document the steps taken to assess the need for a surrogate parent for a child in foster care. When completed, a copy should be kept in the service coordinator's case record and a copy sent to the Regional Director/EIOD. Refer to the **Surrogate Parent Assignment Process** for guidance in following the steps outlined on this form.

Sections 1, 2 and 3 document the steps the ISC must follow from referral through possible assignment of a surrogate parent. A copy of this form completed through Section 3, with the other forms listed in this section, must be sent to the EIOD/Regional Director when completed.

When this form is completed through Section 5, copies of this form and the approved **Assignment of Surrogacy by EIOD** must be sent by the ISC to the:

- Surrogate parent
- Evaluation site
- Foster Care Caseworker

NOTE: If, due to a change in life circumstances, a child currently participating in the Early Intervention Program needs to have a surrogate parent assigned for the first time, all of the steps noted in this form must be taken by the Ongoing Service Coordinator.

NYC EARLY INTERVENTION PROGRAM

FOSTER CARE LETTER PART I

RE: Child's Name (Last, First):	
EI #:	DOB: / /
Foster Care Agency:	
Address:	

Date: ____/____/____

Dear _____:
Name of Foster Care Caseworker

The above-named child, who is in foster care with your agency, has been referred to/is participating in the NYC Early Intervention Program (EIP) by _____ for service coordination, evaluation, and possible therapeutic services. Please complete the attached **Foster Care Letter Part II** and return it to me within three (3) business days.

If, when you contact the parent(s) to inform her/him of the EIP, the parent indicates a desire to participate in the Early Intervention process, please provide me with the contact information for the parent. You should also share my contact information with the parent. If I cannot reach the parent or if the parent does not contact me within three (3) business days, I will contact you.

If the parent is unable to participate but would like to designate someone to be a surrogate parent, please proceed in one of the following ways:

- If the parent wants to speak with me to discuss the designation, I will contact him/her or s/he can contact me. If I am not able to speak with the parent within three (3) calendar days, I will be in touch with you.
- If the parent prefers to address the designation process with you, please contact me so that I can complete the **Surrogate Parent Designation by Parent** form with the name provided to you by the parent or send you the form to complete and return. If the parent does not designate a surrogate, the EIP will assign a surrogate parent with your input, as provided for in Article 25 of the New York State Public Health Law.

If parental rights have **not** been terminated or voluntarily surrendered **and** the parent objects to the child's participation in the EIP, check the appropriate box on the **Foster Care Letter Part II** and return it to me immediately so that I can follow up with the parent. If the parent continues to object, we will close the EI case and send you a copy of the case closure form.

I will be calling you to discuss the possible need for a surrogate parent and who your agency thinks would be most appropriate if a surrogate parent is required and not designated by the parent.

If you have any questions, I can be reached at (____)_____.

Sincerely,

SC Signature: _____

Print Name: _____

Agency/address: _____

INSTRUCTIONS FOR USE

FOSTER CARE LETTER PART I

- The **Initial Service Coordinator (ISC)** must send this letter and the **FOSTER CARE LETTER PART II** to the foster care agency within two (2) days of receipt of the referral when a child who is in foster care has been referred to the NYC Early Intervention Program (EIP).

If the referral source was someone other than the ACS or Foster Care Caseworker (FCC) (such as the foster parent or a primary health care provider), this letter serves as a way of informing the foster care agency of the child's referral to the EIP. If the FCC made the referral, this letter serves as confirmation of EIP's receipt of the referral.

The ISC must monitor the time frames to ensure that the child receives a timely evaluation.

- **The Ongoing Service Coordinator (OSC)** must send this letter and the **FOSTER CARE LETTER PART II** to the foster care agency within two (2) days of notification that a child currently receiving Early Intervention services has been placed in foster care

The letter informs the FCC of the steps required for the child to continue the Early Intervention (EI) process. It also specifies the time frames for the FCC's responsibilities and response to the service coordinator.

NYC EARLY INTERVENTION PROGRAM FOSTER CARE LETTER PART II

RE: Child's Name (Last, First):	
EI #:	DOB: / /
Foster Care Agency:	
Address:	

Date: ____ / ____ / ____

Dear _____:
(Name of Service Coordinator)

- ☐ Parental rights have been terminated or surrendered. Surrogate Parent assignment is necessary.
OR
☐ I have attempted to contact the parent(s) of the above-named child to discuss the referral to the NYC Early Intervention Program.

The parent(s) responded/did not respond in the following manner (check one):

- ☐ **Response received - parent wants to participate in the IFSP process.**
Contact the parent (parent's name) _____ at (____) _____. If you cannot reach the parent, contact me so that I can assist.
- ☐ **Response received - parent is unable to participate in the IFSP process and wants to designate someone to be the surrogate parent.** Contact the parent (parent's name) _____ at (____) _____. If you cannot reach the parent, contact me so that I can assist.
- ☐ **Response received- parent is unable to participate in the IFSP process and wants to designate someone to be the surrogate parent.** Parent stated that s/he will call you by ____ / ____ / ____ to discuss the designation. If you do not hear from the parent by this date, please call the parent (parent's name) _____ directly at (____) _____ or contact me.
- ☐ **Response received - parent is unable to participate in the IFSP process and wants to designate someone to be the surrogate parent.** Send me a copy of the surrogate parent designation form, and I will return the form to you or call you with the name of the surrogate parent.
- ☐ **Response received - parent is unable to participate in IFSP process and did not designate someone to be the surrogate parent.** A surrogate parent is needed.
- ☐ **No response from parent.** Surrogate parent is needed.
- ☐ **Response received - parent objects to the child's participation in the Early Intervention process.** Contact the (parent's name) _____ at (____) _____. If the parent continues to object, I understand that you will close the EI case, and send me a copy of the Closure Form.

Name of Foster Care Caseworker:	
Phone #:	Fax#:
Name of Supervisor	Phone #:

INSTRUCTIONS FOR COMPLETION

FOSTER CARE LETTER PART II

To determine whether a Surrogate Parent is needed:

- If parental rights **have been terminated** or **voluntarily surrendered**, **do not attempt to contact** the parent. The Service Coordinator (SC) should consult with the Foster Care Caseworker (FCC) to determine who would be an appropriate surrogate parent.
- If parental rights have **not** been terminated or voluntarily surrendered, the FCC must make a good faith effort to contact the parent to discuss whether s/he wants to be involved or wishes to designate a surrogate parent

After the attempt to contact the parent(s) [refer to the **Surrogate Parent Assignment Process** for guidelines] the FCC must use this form (**Part II**) to notify the SC of the response or lack of response by the parent(s) by checking the appropriate boxes.

When the parent wants to participate in the process, the SC should contact the parent to discuss his/her involvement. The parent may also contact the SC. If the contact between the parent and SC does not occur within three (3) business days, the ISC should immediately call the FCC to discuss whether the assignment of a surrogate parent has become necessary and if so, who should be assigned.

If the parent wants to designate a surrogate parent, the SC should contact the parent or the parent may contact the ISC. When the parent(s) wants to call the SC to discuss the designation of a surrogate parent, the FCC should give the parent(s) a deadline of three (3) business days by which s/he must make the call. If the contact between the parent and SC does not occur within three (3) business days, the SC should immediately call the FCC to discuss whether the assignment of a surrogate parent has become necessary and, if so, who should be assigned. Alternately, the parent can tell the FCC who s/he would like designated, and the FCC can provide the name of that person to the SC or complete the **Surrogate Parent Designation by Parent** form and return it to the SC.

When the SC sends the **Foster Care Letter Part I** to the FCC, the **Foster Care Letter Part II** should be attached.

INSTRUCTIONS FOR COMPLETION

SURROGATE PARENT DESIGNATION BY PARENT

NOTE: This form need only be used when parental rights have not been terminated or voluntarily surrendered. If parental rights have been terminated or surrendered, the parent(s) should not be contacted.

This form is to be completed by:

- The parent *or*
- An NYC Early Intervention Program (EIP) staff person or a Foster Care Caseworker (FCC) when they have information provided by the parent who is unable to participate in the IFSP process or make decisions about the EIP and would like to designate a particular person to serve as the surrogate parent.

For children in foster care, the address of the person designated by the parent may be confidential and in those cases, should not be shared with the parent. In addition, if at any time the parent requests to withdraw or change his/her designation, the service coordinator should notify the FCC.

The service coordinator (SC) is responsible for ensuring that the parent has been offered the option of voluntarily appointing a surrogate parent. However, the parent is not required to designate a specific person. (If the parent does *not* name a surrogate parent, the SC will follow the surrogacy procedures described in the [**Determining the Need for Assigning a Surrogate Parent policy.**](#))

The SC must keep a copy of this form in the child's case record and send a copy to:

- The Regional Director/EIOD
- The evaluator(s)
- The service provider(s).

NYC EARLY INTERVENTION PROGRAM

ASSIGNMENT or TERMINATION OF SURROGACY BY EIOD

RE: Child's Name (Last, First):	
EI #:	DOB: / /
Foster Care Agency:	
Caseworker:	

To: Assistant Regional Director/EIOD: _____ Date: ____/____/____

☐ ASSIGNMENT

After consulting with the above Foster Care Caseworker, it has been agreed that

_____ **Print Name of Surrogate Parent** **Relationship to Child**

may be assigned as the surrogate parent for the above-named child. I have discussed the Early Intervention Program (EIP) with her/him, and s/he is willing to be the child's surrogate parent. I have explained the rights and responsibilities of the surrogate parent in the EIP. **Child Information Change Form** is attached

☐ TERMINATION

Name of Surrogate: _____ is currently assigned. This assignment will need to be terminated as of ____/____/____

☐ Please assign the following person for the reasons indicated below. **Child Information Change Form** is attached.

_____ **Print Name of New Surrogate** **Relationship to Child**

REASON FOR CHANGE IN SURROGACY:

☐ No new surrogate assignment is necessary; the parent is now available and wants to participate. **Child Information Change Form** is attached.

Signature of Service Coordinator	
Print Name	Telephone Number:
Telephone Number:	Fax Number

☐ Approved
☐ Denied

EIOD Signature: _____ Date: ____/____/____

INSTRUCTIONS FOR COMPLETION

ASSIGNMENT or TERMINATION OF SURROGACY BY EIOD

Initial Service Coordinator (ISC)

- The ISC must obtain the information requested and complete this form after consultation with the Administration for Children's Services (ACS) or the foster care agency involved with the child.
- The ISC must send the completed form to the Regional Director/EIOD for approval before the surrogate parent may sign **any consents** and the evaluation can be initiated.
- After a surrogate parent is assigned, that person is authorized to sign all consents that a parent would sign.

A foster parent may be assigned as a surrogate parent only after consultation with ACS or the foster care agency. Other possible choices for surrogate parent are:

- a person voluntarily designated by the parent (use the **Surrogate Parent Designation by Parent form**)
- a relative or friend(s) of the parent who has an ongoing relationship with the child
- if no suitable individual is identified from these choices, a qualified volunteer.

Refer to the **Surrogate Parent Assignment Process** for more information on the selection of a surrogate parent.

Ongoing Service Coordinator (OSC)

1. When reviewing the IFSP at the Six (6) Month or Annual Review or at other appropriate times, the EIOD shall, in consultation with the foster care caseworker, determine whether there have been any changes in circumstances that warrant a review of the appointment of a particular surrogate parent. If a change in surrogate parent is found to be necessary, the EIOD will appoint a new surrogate and will indicate the termination of the previous surrogate parent on the **Assignment/Termination of Surrogacy by EIOD** form.

2. When a child, already in the Early Intervention Program should need a surrogate parent for the first time due to changes in life circumstances, the SC should complete this form, along with the other necessary surrogacy forms. Refer to the **Determining the Need for a Surrogate Parent Policy**, and the **Assignment of a Surrogate Parent Policy**.

The SC must complete a **Child Information Change Form** and submit it with the **Assignment/Termination of Surrogacy by EIOD** form whenever there is a change in the surrogate parent assignment.

NOTE: When the child is not in foster care, his/her birth or adoptive parents are unavailable, and the child has no one in parental relation, the Regional Director/EIOD shall appoint a qualified surrogate parent.

The surrogate parent assignment may be changed at any time upon written request by the birth or adoptive parent(s), the surrogate parent or the Regional Director/EIOD. The SC must keep a copy of the approved form in the child's case record and send copies to the evaluation site and/or all service providers.

Chapter 3:

Before the Individualized Family Service Plan (IFSP)

New York City Early Intervention Program

Policy Title: Initial Service Coordinator Responsibilities- (Post NYEIS)	Effective Date: For All New Referrals Starting Staten Island: 7/12/2011 Bronx: 7/26/2011 Manhattan: 8/9/2011 Queens: 8/23/2011 Brooklyn: 9/7/2011
Policy Number: 3-A.1	Supersedes: N/A
Attachments: • Consent to Initial Service Coordination Form • Surrogate Parent Assignment by EIOD Form (if applicable) • Consent to Release/Obtain Information Form • Family Information Form (eliminated by NYEIS) • Insurance Information Form (eliminated by NYEIS) • Information and Parental Consent for Use of Insurance to Cover Early Intervention Services (NEW) • Parent Refusal to Provide Insurance Information Form (if applicable) • “Your Rights in Early Intervention” • Reason for Delay in Evaluation Completion/MDE Submission Form (if applicable) • Family Concerns, Priorities, and Resources Form	Regulation/Citation: NYCRR 69-4.7(a) (b)

I. POLICY DESCRIPTION:

“Upon referral to the Early Intervention official of a child thought to be an eligible child, the early intervention official shall promptly designate an Initial Service Coordinator 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.” NYS Regs 69-4.7 (a) (b).

Note:

- Instruction for navigating NYEIS are denoted in *italics* in the body of this Policy

II. PROCEDURE:

Responsible Party	Action
Initial Service Coordinator (ISC)	1. <i>Check NYEIS for new assigned cases every business day by clicking on the My Cases Menu Button – Click to select the “Case Reference” for the case you wish to work on.</i> a. <i>Selecting the “Case Reference” will navigate to the “Integrated Case Home Page”</i> • <i>Note the referral date (displayed as the “Child’s Integrated</i>

	<i>Case Start Date”)</i> • <i>NYEIS automatically tracks the 45-day clock.</i> • <i>The end date of ISC service authorization is pre-calculated as the 45th day</i> ii. <i>Click on the “Case Reference” under the service coordination service authorizations section to see:</i> • <i>ISC units authorized under the “Service Details Section”</i> Note: The Assignment of Initial Service Coordinator and Important Dates Form is eliminated by NYEIS 2. Contact the parent/caregiver within two (2) days of the child’s referral to the Early Intervention Program in order to set up an appointment at a time and place convenient to the parent. The appointment must take place within seven (7) calendar days from referral. Note: • In all contacts with the family, emphasizes that Early Intervention (EI) is a family-centered program designed to enhance the capacities of families to meet their child’s needs, with services provided in the child’s natural environment. <u>Initial Meeting with the Parent(s)/Caregiver(s):</u> 1. Introduce the role of the Service Coordinator (SC) to the parent/caregiver; 2. Give a brief overview of the NYC Early Intervention Program (EIP): a. Provides a copy of Your Rights in Early Intervention; b. Informs parents of their rights and responsibilities in the EIP: i. Explains the voluntary nature of the EIP. 3. Provide a copy of the SDOH booklet The Early Intervention Program: A Parent’s Guide: a. Review the EI process with the parent(s) and their rights to due process; b. Copies of this handbook in English can be obtained from the State Department of Health by writing to Publications, NYS Department of Health, Box 2000, Albany, New York 12220, and requesting “A Parent’s Guide,” Code #0532. Please note that this handbook is available in multiple languages. Go to: www.health.state.ny.us/forms/order_forms/eip_publications.pdf for the listing of available languages. 4. If the child is in Foster Care: a. Refer to the policies for <i>Surrogate Parent Assignment</i> in the Surrogacy chapter of this manual. 5. Obtain the parent’s signature on: a. Consent to Initiate Service Coordination Form; b. Consent to Release/Obtain Information Form: 6. Explain to the family that services are at no cost to parents, and use of Medicaid and/or third party insurance for payment of services is required under the EIP: a. <i>Completes the “Insurance Coverage” screen in NYEIS</i> i. <i>Click on “My Cases” from the Menu Bar</i> ii. <i>Select “Primary Client” in the case list</i> iii. <i>Select “Insurance Coverage” from the navigation page</i>

iv. *Select any of the following insurance actions:*

- *Enter new commercial insurance*
- *Enter new Medicaid coverage, or*
- *check Medicaid eligibility.*

v. *When completing the “Commercial Coverage” screen, find the parent’s insurance provider by following the following steps:*

- *Enter the wildcard “%” into the “Insurance Provider” field to obtain a complete list of insurers.*
- *Select the correct insurer.*
- *Click on the magnifying glass to select the correct address for the selected insurer.*
- *Enter the Insurance Sequence Number to indicate whether this insurance should be billed first or*
 - *Commercial Insurance must be billed before Medicaid and therefore would be first.*

Note: **The Insurance Information Form** should only be used if the Insurance Provider Name cannot be found on the Insurance Provider search screen

b. Ensure that the **Information and Parental Consent for Use of Insurance to Cover Early Intervention Services** or **Parent Refusal to Provide Insurance Information Form** is completed when necessary.

7. Inform the parents that they will be asked to provide the Social Security numbers for their child and themselves at the IFSP meeting, if their child is found eligible for EI services:

a. Refer to the *Collection of Social Security Numbers Policy*.

8. *Complete the following fields in NYEIS to capture family information*

a. *From the Menu Bar – Click on “My Cases”*

b. *Select “Primary Client” in the case list*

c. *From the Child Homepage select “edit” and complete the fields in the following categories:*

i. *Child’s Information*

ii. *Family Information*

iii. *Insurance Information*

- *Check this field ONLY when the refusal to provide insurance information form is attached to the child’s Integrated Case*

iv. *Primary Care Physician*

v. *Child’s Place of Birth*

vi. *Foster Care*

vii. *Click on “save” once information is complete*

d. *If the parent has a communication exception where one method of communication cannot be used, ensure it is documented by:*

i. *Selecting “Communication Exceptions” from the Child Homepage*

- *Select “new”*

- *Complete all the mandatory fields marked with an asterisk (*)*

Note: The **Family Information Form** is eliminated by NYEIS.

9. If the child does not have health insurance, contact the DOHMH Office of Health Insurance Services in the Division of Health Care Access and Improvement (call 311

to be connected with the Office).

10. Ask the parent in a sensitive manner if s/he would like assistance in identifying and applying for other benefit programs for which the family may be eligible, such as WIC, SSI, etc.
11. Explain the evaluation and screening process to the family, including location, types of evaluations performed, and setting for evaluations (e.g., home vs. evaluation agency):
 - a. Provide the parent with a list of evaluation agencies in contract with the NYC EIP;
 - b. Refer to the *Parental Choice of Evaluation Site Policy*.
12. If the child was previously receiving EI services in another NYS county:
 - a. Refer to the *Transfers to NYC from Another NYS County Policy*.
13. If the child appears to have an immediate need for EI services:
 - a. Refer to the *Interim IFSP Policy*.

After the Initial Meeting with Parent/Caregiver:

1. At the parent's request, assist the parent in arranging for the child's evaluation.
2. Attaches the following documents to the Child's Integrated Case in NYEIS
 - a. **Surrogate Parent Assignment by EIOD Form** (if applicable) (and other foster care forms outlined in the Surrogacy Chapter of this manual):
 - i. **No evaluations can begin before the surrogate parent has been assigned.**
 - b. **Consent to Initiate Service Coordination Form;**
 - c. **Consent to Release/Obtain Information Form;**
 - d. **Information and Parental Consent for Use of Insurance to Cover Early Intervention Services or the Parent Refusal to Provide Insurance Information Form** ; and
 - e. **Reason for Delay in Evaluation Completion Form** (if applicable).
 - f. *Attach the documents in NYEIS by:*
 - i. *From the Inbox Menu Button – Click on “My Cases”*
 - ii. *Select the “Case Reference” will navigate to the “Integrated Case Home Page”*
 - iii. *Select “Attachments” and Select “New”*
 - iv. *On the Create Attachment screen:*
 - *Browse for the file to attach.*
 - *File size cannot be more the 1.5MB*
 - *Complete the fields under “File Details”*
 - *DO NOT enter any information in the location and Reference fields*
 - *Select the Document type*
 - *Document type for all documents above is “signature”*
 - *Receipt date must be the date that the attachment is made*
 - *Complete the Attachment Description field by listing the name of the form being attached*
 - *Click “Save” or “Save and New” to add additional*

attachments

3. Send the following documentation to the Evaluation Agency(ies):
 - a. **Consent to Release/Obtain Information Form**;
 - b. **Reason for Delay in Evaluation Completion Form** (if applicable).
4. Follow-up with the evaluator and parents to ensure that the evaluations are proceeding in a timely fashion.

After the Evaluation:

1. Ensure that the family understood the results of the evaluation, and assist them in obtaining clarification from the evaluation team, if needed.
2. If the child is found ineligible for the EIP, discuss the following options with the parent:
 - a. The case can be closed:
 - i. Refer to the **Closure Policy**.
 - a. The child can be referred to Developmental Monitoring for continued surveillance;
 - b. The parents can request a re-evaluation;
 - c. The parents can exercise their due process rights.
3. If the child is found eligible for the EIP:
 - a. Discuss the Individualized Family Service Plan (IFSP) meeting with the family, including:
 - i. The composition of the IFSP team;
 - ii. Parental right to invite participants of their choosing;
 - iii. Importance of parent/caregiver involvement in the IFSP process;
 - iv. Right to select an Ongoing Service Coordinator (OSC);
 - v. The range of options for service delivery;
 - vi. The parent and the EIOD will make the final decisions about the services;
 - vii. Remind the parent/caregiver that their participation in the EIP is voluntary;
 - viii. Review the IFSP Screens in NYEIS and review how the meeting will be conducted.
 - b. Stress to the family that their priorities, concerns and resources shall play a major role in the establishment of outcomes and strategies among the parent, evaluator, service coordinator and the EIOD.
 - i. Assist the family in identifying their concerns, priorities, and resources by completing the **Family Concerns, Priorities and Resources (CPR) Form**.
 - ii. The **CPR Form** is attached to the child's Integrated Case in NYEIS by the ISC to guide the development of IFSP outcomes and strategies.
 - Refer to the **Initial IFSP Policy** for details.

Note:

- Ensure that the Evaluation Site forwards the results of the evaluation to the parent(s).
- Ensure that Evaluation Agency completes and submits the MDE packet in NYEIS **within thirty (30) days of the referral to the EIP.**

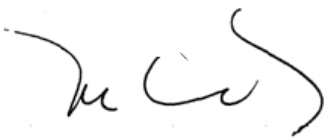
4. Arrange for an IFSP meeting:
 - a. Refer to the *IFSP Scheduling Policy*;
 - b. If the parents are deaf, request a sign interpreter if needed:
 - i. Refer to the *Requesting a Sign Language Interpreter Policy*.

After the IFSP Meeting:

1. If the Initial Service Coordinator (ISC) is named as the OSC at the IFSP meeting:
 - a. Calls the Service Provider agency(ies) to ensure that the following attachments are reviewed in NYEIS once the Service Provider agency(ies) are located and assigned in NYEIS:
 - i. **Consent to Obtain/Release Information Form:**
 - *Attached to the IFSP in NYEIS*
 - *From the Inbox Menu Button – Click on “My Cases”*
 - *Select the “Case Reference” will navigate to the “Integrated Case Home Page”*
 - *Select the “Case Reference” for the IFSP which will take to the “IFSP Home Page”*
 - *Select Attachments*
 - *Click “View” to access the necessary attachment*
 - ii. **The evaluation packet:**
 - *Attached to the MDE attachment in NYEIS*
 - *From the Inbox Menu Button – Click on “My Cases”*
 - *Select the “Case Reference, which will navigate to the “Integrated Case Home Page”*
 - *Select “Child's Completed Evaluations” from the Navigation bar*
 - *Select “view” the accepted evaluation*
 - *Select “MDE Attachments”*
 - *Click “view” to access the necessary attachment*
 - iii. **The IFSP:**
 - *From the Menu Bar – Click on “My Cases”*
 - *Select the “Case Reference” will take you to “Integrated Case Home Page”*
 - *Select the “Case Reference” for the IFSP, which will take you to the “ IFSP Home Page”*
 - *Scroll to the bottom of the “IFSP Home Page” and select each service authorization to access details.*
2. If the ISC was not named as the OSC:
 - a. Calls the OSC chosen by the parent(s) at the IFSP meeting to make sure he/she views the documents in NYEIS.

Note:

- In the event that the ISC cannot contact or remain in contact with a family, refer to the **Closure Policy**.
- All of the above described activities must be clearly documented in the SC activity notes.


Approved By:
Assistant Commissioner, Early Intervention

Date: 6/29/11

NYC EARLY INTERVENTION PROGRAM

PARENTAL CONSENT TO INITIATE SERVICE COORDINATION

Child's EI ID No.: _____ Child's DOB: ____/____/____

Child's Name: _____
Last First

I have been informed by the Early Intervention Service Coordinator (ISC) of the various programs and services the Early Intervention Program (EIP) can provide to my child. I have also been informed that in order to provide such services it will be necessary for the Program to coordinate and exchange information with other appropriate service providers.

☐ I consent to the planning and coordination of services for my child.

Signature of Parent/Guardian Date: ____/____/____

Signature of Initial Service Coordinator Date: ____/____/____

Service Coordinator ID Number

- ☐ I give permission for my child's service coordinator to send a copy of the following to his/her physician(s): ☐ initial IFSP.
- ☐ I do not give permission for my child's service coordinator to send a copy of the following to his/her physician(s): ☐ initial IFSP.

Service Coordinator Must Complete:

Date ISC agency received assignment from Regional Office: ____/____/____
Date ISC provided parent(s) the EIP Parent's Guide or directed parent to Guide on SDOH website: ____/____/____
Date ISC reviewed "Your Parent's Rights in the EI Program": ____/____/____
Date ISC reviewed list of evaluation sites and discussed choice of evaluation site with parent: ____/____/____
Name of evaluation site selected by parent: _____
Date referral made to evaluation site: ____/____/____

Note:

- **ISC must ensure that a copy of the Parent's Guide is sent to the family within seven (7) business days of referral.**
- **If parental consent is obtained, a copy of the IFSP should be sent by the ISC upon its completion.**

INSTRUCTIONS FOR COMPLETION

PARENTAL CONSENT TO INITIATE SERVICE COORDINATION

All fields on this form must be completed. This form must be signed by the parent when service coordination (SC) first begins. At this time, the parent confirms that s/he gives permission for SC. If the SC is not able to meet with the parent, s/he should mail this consent form to the parent, preferably with a self-addressed, stamped envelope. **This action should be documented in the service coordination activity notes.**

For a child in foster care, the assigned surrogate parent or the biological parent would be the appropriate person to sign this form.

A copy of this form remains with the ISC and must be placed in the child's service coordination case record. The ISC must send a copy to the Evaluation Agency(ies) together with the other forms listed in the ISC Responsibilities Policy.

After NYEIS implementation, this form is attached to the child's "Integrated Case Home Page". Refer to the ISC [**Responsibilities Policy - Post NYEIS**](#)

**NYC EARLY INTERVENTION PROGRAM
CONSENT TO RELEASE/OBTAIN INFORMATION**

Child's Name: _____ EI #: _____ DOB: ____/____/____

Address: _____ Apt #: _____

City/Town: _____ State: New York Zip Code: _____

I, (Parent/Guardian's Full Name) _____, seek services for my child from the NYC Early Intervention Program. I understand that the providers (including evaluators, service providers and service coordinators) offering Early Intervention (EI) services to my child and family may need to exchange information to develop and carry out the Individualized Family Service Plan (IFSP).

(Check one)

☐ I authorize for the information below to be released ☐ I authorize for the information below to be obtained

Specific information to be released/obtained:

☐ *EI Medical Form* ☐ *Multidisciplinary Evaluation* ☐ *Supplemental Evaluation(s) Specify:* _____

_____ ☐ *Individualized Family Service Plan* ☐ *Provider Progress Notes*

☐ *Session Notes* ☐ *Other:* _____

I authorize for the information to be **(check/complete either A, B, or C):**

A. ☐ Released to all EI providers providing evaluation, service coordination, or services to my child and family

B. Released to the Individual/Agency below:

(Name/ Organization)

(Street Address, Borough/City, Zip Code)

(_____) _____

(Telephone Number)

(_____) _____

(Fax Number)

C. Obtained from the Individual/Agency below:

(Name/ Organization)

(Street Address, Borough/City, Zip Code)

(_____) _____

(Telephone Number)

(_____) _____

(Fax Number)

The information will be sent to:

(Name/ Organization)

(Street Address, Borough/City, Zip Code)

(_____) _____

(Telephone Number)

(_____) _____

(Fax Number)

D. The purpose of the requested information is to: (check all that apply)

☐ Establish Early Intervention eligibility

☐ Develop an Individualized Family Service Plan

☐ Start, coordinate and monitor Early Intervention services

☐ Inform the child's physician about my child's services and

☐ Other: _____

I understand that this release can be withdrawn at any time upon written notice to my Service Coordinator.

This release ends on the date of my next scheduled IFSP (or, if sooner, specify date ____/____/____).

Signed: _____ Date: ____/____/____

Relationship to Child: _____

NOTE: A reproduced copy of this signed form is deemed to have the same force and effect as the original. A new Consent to Release Information form must be signed at the initial IFSP meeting and at each IFSP review and annual meeting. Blank consent forms should never be signed by the parent.

Consent to Release/Obtain Information Revised 12/10

INSTRUCTIONS FOR COMPLETION CONSENT TO RELEASE/OBTAIN INFORMATION

This form may be used to release Early Intervention (EI) information about the child, or to obtain information from agencies/individuals outside the Early Intervention Program (EIP), (for example, physicians, hospitals, private therapists).

NOTE: A parent must never be asked to sign a blank **Consent to Release/Obtain Information form**.

1. Complete the demographic information about the child at the top of the page.
2. Check whether this form is being used to **either** release information or to obtain information.

Consent to Release Information must be completed at the following times:

- After referral, at the Initial Service Coordinator (ISC)'s first visit;
- At the Interim Individualized Family Service Plan (IFSP), if there is one;
- At the Initial IFSP;
- At each subsequent Annual and Review IFSP;
- Whenever a parent agrees to release information to a specific person, such as the child's health care provider.

NOTE: The parent must be given a choice of signing a general release ("A") or a selective release ("B"). If the parent decides to sign a selective release, each provider or individual must be specified on a separate form.

- a. Check the appropriate box(s) to indicate the **specific information to be released**.
 - b. Complete "A" to indicate the parent's **general** consent to release information to Early Intervention evaluation, service coordination, or services provider.
- OR
- c. Complete "B" to indicate the name and contact information of the individual/agency that the information is being released to.
 - d. Check the appropriate box(s) at "D" to detail **the purpose of the requested information**.
 - e. If the parental consent is for a limited period of time, specify the date by which the consent ends. If no date is specified, the consent will be valid until the next scheduled IFSP.
 - f. The parent/guardian/surrogate parent must sign and date this document and indicate his/her relationship to the child.

Consent to Obtain Information must be completed at any time in order to obtain information from individuals/agencies outside the EIP **such as:**

- To request an evaluation report conducted by a non-EI provider; or
 - To request medical reports.
- a. Check the appropriate box(s) to indicate the **Specific information to be obtained**.
 - b. Completed "C" to indicate the name and contact information of the individual/agency that the information is being obtained from **and** the name and contact information of the individual/agency that the information is being sent to.
 - c. Check the appropriate box(s) listed under "D" to detail **the purpose of the requested information**.
 - d. If the parental consent is for a limited period of time. Specify the date by which the consent ends. If no date is specified, the consent will be valid until the next scheduled IFSP.
 - e. The parent/guardian/surrogate parent must sign and date this document and indicate his/her relationship to the child

NOTE: A reproduced copy of this signed form is deemed to have the same force and effect as the original. The Consent to Release Information form must be signed at the initial IFSP meeting and at each Review and Annual IFSP meeting.

NYC EARLY INTERVENTION PROGRAM

NOTICE OF PARENT REFUSAL TO PROVIDE INSURANCE INFORMATION

CHILD'S NAME: _____ EI ID #: _____
(Last, First and Middle)

1. The NYC Department of Health and Mental Hygiene is notifying the NYS Department of Health that the following parent has declined to provide health insurance information to the Early Intervention Program.
2. The parent has not provided evidence that the insurance policy under which their child is covered is not governed under New York State laws and regulations.
3. The parent has been informed that the NYC Department of Health and Mental Hygiene has the right to access insurance information if the plan is subject to NYS Insurance Law.

Parent's Name: _____ Relation to child: _____

Address: _____ Apt. #: _____ Borough: _____ Zip code: _____

Home Phone: () _____ Alternate Phone: () _____

The parent declined for the following reason(s): _____

Initial Service Coordinator Name: _____ Number: _____

Agency: _____

Address: _____

Phone: () _____

Ongoing Service Coordinator Name: _____ Number: _____

Agency: _____

Address: _____

Phone: () _____

I/we certify that the following actions were taken in an effort to obtain insurance information from the parent:

- The service coordinator requested the information of the parent.
- The service coordinator reviewed the protections in Public Health Law and Insurance Law that assures use of insurance is at no cost to the parent and will not be applied toward insurance policy lifetime or annual limits.
- The parent was asked and could not or would not provide documentation from their insurer that insurance coverage applicable to their child is not governed under New York State laws and regulations.
- The parent has been informed and understands that this notice will be sent to the New York State Department of Health Early Intervention Program.

Parent Signature

Date

Initial/Ongoing Service Coordinator Signature

Date

EIOD Signature

Date

FAMILY CONCERNS, PRIORITIES, & RESOURCES

Discuss the sections below after the child's eligibility has been established at the contact before the IFSP meeting.

<i>Family's Routine Activities</i> <i>(What is the activity?)¹</i>	<i>Currently Looks like</i> <i>(What happens during the activity?)</i>	<i>Would Like to Look Like²</i> <i>(Learning Opportunities)</i>	<i>Family Priority²</i> <i>(Why is it important?)</i>

Family's Strengths/Resources available to meet priorities: ☐ Characteristics ☐ Knowledge ☐ Time ☐ Strategies ☐ Social Supports ☐ Community Connections
☐ Material Resources ☐ Formal Supports ☐ Other

Specify how their Strengths/ Resources will help:

Resources Needed help the family meet their priorities: ☐ Information ☐ Time ☐ Strategies ☐ Social Supports ☐ Community Connections ☐ Material Resources
☐ Formal Supports ☐ Other

Specify what the family will need:

¹ IFSP page 3, #1

² IFSP page 3, #2

FAMILY CONCERNS, PRIORITIES, & RESOURCES INSTRUCTIONS FOR COMPLETION

Purpose: The service coordinator is responsible for assisting the family in identifying their concerns, priorities, and resources in order to guide the development of the IFSP. Complete this form after the MDE is completed and eligibility is established. DO NOT COMPLETE THIS FORM if eligibility has not been established.

- The attached Routine Activities Worksheet can guide your discussion.

1. **Family's Routine Activities:** Routine activities are what the child does during his/her day. Routine activities are individualized to each family, and identified by the family. Routine activities *might* include, but are not limited to, the Routine Activities specified on the Routine Activities Worksheet (feel free to use the family's own words). For children in child care (ex: day care), routine activities are what the child does during child care, as well as activities at home and in the community.
 - a. Ask the family to identify routine activities that are:
 - i. Enjoyable for the family/caregiver and child. These times are prime opportunities for learning as the child is already interested and engaged.
 - ii. Difficult for the family/caregiver or child. These times are important to make easier for families by supporting the child's development within them.
 - iii. New. These activities have not yet been tried by the family, but they are interested in attempting with the child.
 - b. Gather this information by asking questions like:
 - What are times of the day that are enjoyable for you and your child? What's your child's favorite time of the day?
 - What are times of the day that are hard for you and your child? What are your child's least favorite times of the day?
 - What else does your child do during the day?
 - What activities would you like to do with your child, but have not been able to yet?
 - You said you came to early intervention because you were worried about.... When are times during the day when your child needs to be able to...? (see response to "What brought you to Early Intervention?" to individualize question)

*NOTE: Families do not need to identify **all** the activities of the day; just those they feel are important to share. These activities can be documented in the sample attached Routine Activities Worksheet.*
 - c. Ask the family to identify which routine activities they might want to focus on in early intervention – times when they think (1) intervention support could be helpful and (2) the family has the time and can focus on the intervention both when the teacher/therapist is present, and when s/he is not. Document those identified in Noted Routine Activities.
2. **Currently Looks Like:** Family concerns and priorities emerge from a conversation around the identified routine activities. Gather this information by asking questions about what the activity *Currently Looks Like* **to understand what interventionists need to build on**. Ask questions like:
 - What does your child do now during the routine activity?
 - What is happening now?What are you (or other adults) doing?
3. **Would like to look like:** This question identifies how the activity could look different - what the family would like the child to be able to do. **This may become the behavioral part of an Outcome at the IFSP.** Ask questions like:

- What can your child learn during these times? [Consider prompting with, “Based on why you came to early intervention...”]
- What would you like to be happening instead?
- What would you like your child to be able to do then? What would that look like?

4. **Family Priority:** Why the learning opportunity is important to the family. For any learning opportunities identified (i.e., *Would like to look like*), ask the family to identify *why* it’s important to *them* that the child learn the outcome behavior.

Note: During this conversation, families might change their mind regarding which routine activities to focus early intervention supports.

5. **Strengths/Resources Available to meet priorities, and Needed to meet priorities:**

- a. Help the family identify the strengths and resources the family **already has available** that enhance their capacity to meet their priorities and concerns that are important to note for use in designing the intervention plan.
- b. Help the family identify the additional resources **needed** by the family to further meet those concerns and priorities.

These resources can be:

- Characteristics: Features internal to family members, (e.g., good at problem solving, communicating with others, or soothing the child)
 - Knowledge/Information: Understanding the child, the child’s learning characteristics, the child’s diagnosis, how early intervention works, what other supports are available
 - Time: To focus on supporting the child’s learning and development
 - Strategies: To promote their child’s learning and development
 - Social Supports: Family and friends
 - Community Connections: Either community activities the family already participates in, or would like to participate in for the child to learn (e.g., library story time or a specific time parents gather in the park), or community resources for the family (e.g., parents with similar interests getting together)
 - Material Resources: Including financial or objects/equipment
 - Formal Supports: Agencies or programs designed to provide a specific service
- i. Check off any resource types discussed as available or needed. The same resource type can be checked as both available and needed.
 - ii. Describe the specific resources within the resource types checked off. Describe how the resources help/could help the family meet their priorities related to enhancing their child’s development.

ROUTINE ACTIVITIES WORKSHEET

Routine Activities (RAs)	Specify Activity/ies	Is the Activity
1. Eating meals/snacks		☐ Enjoyable ☐ Difficult ☐ New
2. Hanging out		☐ Enjoyable ☐ Difficult ☐ New
3. Playing with others		☐ Enjoyable ☐ Difficult ☐ New
4. Playing with objects		☐ Enjoyable ☐ Difficult ☐ New
5. Playing outside		☐ Enjoyable ☐ Difficult ☐ New
6. Engaging in nurturing, comforting		☐ Enjoyable ☐ Difficult ☐ New
7. Dressing/Undressing/Diapering		☐ Enjoyable ☐ Difficult ☐ New
8. Reading books		☐ Enjoyable ☐ Difficult ☐ New
9. Going for a walk		☐ Enjoyable ☐ Difficult ☐ New
10. Playing in community activities		☐ Enjoyable ☐ Difficult ☐ New
11. Running errands		☐ Enjoyable ☐ Difficult ☐ New
12. Participating in family outings		☐ Enjoyable ☐ Difficult ☐ New
13. Transitioning between activities		☐ Enjoyable ☐ Difficult ☐ New
14. Leaving the house		☐ Enjoyable ☐ Difficult ☐ New
15. Getting ready for bed/Going to bed		☐ Enjoyable ☐ Difficult ☐ New
16. Taking a bath		☐ Enjoyable ☐ Difficult ☐ New
17. Completing morning routine		☐ Enjoyable ☐ Difficult ☐ New
18. Doing chores		☐ Enjoyable ☐ Difficult ☐ New
19. Traveling around in community		☐ Enjoyable ☐ Difficult ☐ New
20. Competing disability needs*		☐ Enjoyable ☐ Difficult ☐ New
21. Other:		☐ Enjoyable ☐ Difficult ☐ New
22. Other:		☐ Enjoyable ☐ Difficult ☐ New
23. Other:		☐ Enjoyable ☐ Difficult ☐ New
24. Other:		☐ Enjoyable ☐ Difficult ☐ New
25. Other:		☐ Enjoyable ☐ Difficult ☐ New

* Caretaking routines that are a result of the child's disability.

New York City Early Intervention Program

Policy Title: Choice of Evaluation Site (Post-NYEIS)	Effective Date: For All New Referrals Starting Staten Island: 7/12/2011 Bronx: 7/26/2011 Manhattan: 8/9/2011 Queens: 8/23/2011 Brooklyn: 9/7/2011
Policy Number: 3-B.1	Supersedes: N/A
Attachments: - Active Providers: Language and Specialties List - Reason for Delay in Evaluation Completion (Revised)	Regulation/Citation: 10NYCRR69-4.1 (j); 10NYCRR69-4.1 (k); 10NYCRR69-4.1 (l).

I. POLICY DESCRIPTION:

“The Initial Service Coordinator (ISC) shall review all options for evaluation 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). Upon selection of an evaluator by the parent, the ISC shall ascertain from the parent any needs the parent may have in accessing the evaluation.”

“The ISC shall at the parent's request assist the parent in arrangement of the evaluation after the parent selects from the list of approved evaluators.”

“If the parent has accessed an approved evaluator prior to contact by the ISC, the ISC shall contact the parent to assure that the parent has received information concerning alternative approved evaluators and ascertain from the parent any needs the parent may have in accessing the evaluation.”

Note:

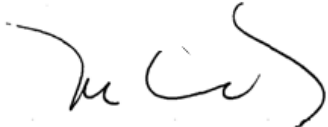
- Instructions for navigating NYEIS are denoted in *italics* in the body of this Policy

II. PROCEDURE:

Responsible Party	Action
Initial Service Coordinator (ISC)	1. Review the Active Evaluation Providers: Language and Specialties List with the parents, and assist them in selecting an Evaluation Agency: a. Service Coordinators (SC) must be familiar with specific information about each evaluator, including: i. Available settings for evaluations (e.g. home vs. facility); and ii. Languages spoken: • If upon review of the Active Evaluation Providers:

	Language and Specialties List, an appropriate evaluation agency cannot be located, the ISC will inquire if the evaluation agency can find an interpreter; • Refer to the Bilingual Evaluations Policy. - Types of evaluations performed; - Expertise with special populations; and - Ability of the Evaluation Agency to complete the Multidisciplinary Evaluation (MDE) and send it to the Regional Office (RO) within thirty (30) days of referral to the Early Intervention Program (EIP). - Contact the Evaluation Agency to notify them that they have been selected as the evaluation site by the family. <i>Assign the Evaluation Agency in NYEIS</i> <i>From the Inbox Menu Button – Click on “My Cases”</i> <i>Select the “Case Reference” will navigate to the “Integrated Case Home Page”</i> <i>Click on “Assign Evaluator for MDE” for the NYEIS navigation menu</i> <i>Click New</i> <i>Click on the magnifying glass to search for Evaluation Agency Name,</i> <i>Enter Evaluation Agency Name or % (Wildcard), then Search,</i> <i>Select an Evaluation Agency Name.</i> <i>Enter Evaluation Due Date</i> <i>Due date must be 30 days from the referral to the Early Intervention Program (EIP)</i> <i>Enter type of evaluation (initial or ongoing).</i> <i>Save.</i> Note: Do not assign an Evaluation Agency in NYEIS before confirming the agency’s availability by phone. - If a parent chooses an evaluator knowing that there is a waiting list for evaluations: - Inform the parent that by waiting for a specific evaluator, the Initial IFSP meeting may not be able to be held within forty-five (45) days of referral and the start of Early Intervention (EI) services may be delayed. - Document the family’s informed choice in the service coordination activity notes; - Complete the Reason for Delay in Evaluation Completion Form. - Obtain parent signature. - Attach the form to the Child’s Integrated Case in NYEIS • Refer to the ICS Responsibilities Policy for a detailed walkthrough of attaching documents to the Child’s Integrated Case - If the parent has accessed an approved evaluator before being contacted by

	the ISC: - Contact the parent/caregiver to ensure that the parent has received information concerning other approved Evaluation Agencies; and - Determine if the parent/caregiver needs assistance in the evaluation process. Note: - All of the above described activities must be clearly documented in the SC activity notes.
Evaluation Agency	<i>Accept MDE assignment in NYEIS</i> <i>From the Inbox Menu Bar – Click on Work Queues</i> <i>Select View: (Borough)_Evaluations work queue</i> <i>Every action in NYEIS is assigned a Task ID #</i> <i>Select the Task ID of the case you wish to work on.</i> <i>Under Primary Action, select: Accept/Reject MDE</i> <i>Click on Accept.</i> Note: <i>If the Evaluation Agency selects “Reject MDE Assignment”, the case disappears form the Agency’s work queue and is automatically returned to the assigned EIOD</i> - Notify parent and ISC if: - The evaluations cannot be completed within thirty (30) days from the child’s referral to the EIP. - Explain the following to the parent: - The reason that evaluations will not be provided in a timely manner; - The right of the parent to choose another Evaluation Agency. - Enter the reason for delay in NYEIS: - From the Inbox Menu Bar – Click on Work Queues - Select View: (Borough)_Evaluations work queue - Every action in NYEIS is assigned a Task ID # - A task will appear titled “ Notice of Overdue Evaluation for (child name)” - Select “View” and enter the reason for delay Note: - The “Notice of Overdue Evaluation” will only be generated when the MDE has not been submitted within thirty (30) days of referral. - NYEIS will not allow the evaluator to submit an MDE if the “notice of overdue evaluation” is not resolved. Section II of the Reason for Delay in Evaluation Completion/ MDE Submission Form is eliminated by NYEIS.

Approved By: 
Assistant Commissioner, Early Intervention

Date: 6/29/2011

**NYC EARLY INTERVENTION PROGRAM
(POST-NYEIS) REASON FOR DELAY OF EVALUATION COMPLETION FORM**

Child's Name:	DOB:
EI Number:	Date of Referral to EI: ____/____/____

This form is to be filled out by the Initial Service Coordinator (if needed) and submitted to the Evaluation Agency with the other required paperwork as outlined in the Initial Service Coordination Responsibilities Policy

Parents chose: _____
(Evaluation Site Name) (Provider #)

which was/will be unable to complete the child's evaluation within thirty (30) days of the date of referral to the NYC Early Intervention Program due to the following reason (s):

☐ 1. Waiting List ☐ 2. Evaluator backlog/delay ☐ 3. Other reason (s): _____

The child is now scheduled for an evaluation on (date): ____/____/____ at _____

(Evaluation Site Name) (Provider #)

Initial Service Coordinator Signature: _____

Date: ____/____/____ Agency: _____ Phone number: _____

Parent Acknowledgement

I understand that my child is entitled to an evaluation and to the convening of an IFSP meeting within forty-five (45) days of the date of referral to the New York City Early Intervention Program (EIP). I understand that the evaluation site I have selected will not be able to complete the evaluation and send the required report to me and the NYC EIP so that this timeline can be met.

Parent signature: _____ Date: ____/____/____

Parents must never be asked to sign this form before any delays occur.

**NYC EARLY INTERVENTION PROGRAM
(POST-NYEIS) REASON FOR DELAY OF EVALUATION SUBMISSION FORM
INSTRUCTIONS FOR COMPLETION**

This form should only be completed if delays occur for any child in NYEIS

The contract between the New York City Early Intervention Program (NYCEIP) and provider agencies requires submission of the complete Multidisciplinary Evaluation (MDE) to the Regional Offices (RO) within thirty (30) days of the date the child was referred to the NYCEIP. The Initial Service Coordinator is responsible for monitoring the completion of the evaluation and assisting the evaluation site and/or parent in the timely completion/submission of all evaluations.

The Initial Service Coordinator (ISC) must clearly document the reason for any delay if the selected Evaluation Provider has indicated that it will be unable to complete the evaluation in a timely fashion.

Complete this form if the parent chooses an evaluation site that was unable to complete the evaluation within thirty (30) days of the referral to the Early Intervention Program.

- a. It is the responsibility of both the evaluation site and the ISC to clearly explain to the parent that by choosing an evaluation site that is unable to complete and submit an evaluation within thirty (30) days of referral, an IFSP meeting will not be held within forty-five (45) days of referral.

The Service Coordinator (SC) should indicate:

- a. The name of the evaluation site initially chosen by the parent;
- b. The agency reason(s) for the delay of evaluation submission;
- c. The date that the evaluation is now scheduled; and
- d. If the parent chooses another evaluation site, the name of that agency.

The ISC must sign the form and obtain the parent's signature.

The Evaluation Provider Agency will document the reason for any delay in **completing or submitting the Multidisciplinary Evaluation (MDE)** in NYEIS.

Parents must never be asked to sign this form before any delays occur.

New York City Early Intervention Program

Policy Title: Requests for Sign Interpreters	Effective Date: 12/13/10
Policy Number/Attachment: 3-C	Supersedes: N/A
Attachments: – Request for a Sign Language Interpreter Form – Fax Confirmation of Sign Language Interpreter Assignment – Fax Confirmation of IFSP Meeting with Sign Language Interpreter – Request for Cancellation of Sign Language Interpreter Form	Regulation/Citation:

I. POLICY DESCRIPTION:

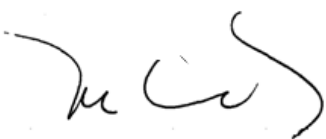
Accurate Communications, Inc. has been contracted by Department of Citywide Administrative Services to perform sign language interpretation for the Department of Health and Mental Hygiene. This is the only agency that the Department can reimburse for sign interpreting for the Early Intervention Program.

Please note that the Department authorizes sign interpreters for **Initial IFSP meetings only**. It is assumed that by the time the child is receiving services that agency personnel will be able to communicate with the parent without the use of an interpreter (as in the case of all families speaking languages other than English).

II. PROCEDURE:

Responsible Party	Action
Initial Service Coordinator (ISC)	1. Contacts the Director of Consumer Affairs (DCA) or designee no later than 48 hours prior to IFSP meeting using the Request for Sign Language Interpreter Form: a. Requests only apply to Initial IFSP meetings. 2. Informs DCA at 347-396-6828 and Accurate Communications Inc. at 877-682-1333 if the IFSP meeting is cancelled for any reason: a. Notifies the DCA of meeting cancellation by faxing the Request for Cancellation of Sign Language Interpreter Form no later than 48 hours of scheduled meeting. NOTE: • Initial Service Coordinators (ISCs) may not request a sign language interpreter directly from Accurate Communications, Inc.
Director of	1. Receives the completed Request for Sign Language Interpreter Form.

Consumer Affairs or Designee	2. Receives a confirmation from an Accurate Communications, Inc. representative by Email or fax. 3. Sends a Fax Confirmation of Sign Language Interpreter Assignment to the ISC, and copies the RO office manager immediately after receiving confirmation of assignment.
Early Intervention Regional Office	1. Reminds the ISC to send a Request for Cancellation of Sign Language Interpreter Form if an IFSP meeting is canceled.
Initial Service Coordinator	1. Completes the Fax Confirmation of IFSP Meeting with Sign Language Interpreter and returns it to the DCA within 12 hours of the scheduled meeting.


 Approved By:
 Assistant Commissioner, Early Intervention

Date: 11/10/10

NYC EARLY INTERVENTION PROGRAM

**REQUEST FOR SIGN LANGUAGE INTERPRETER FORM
FOR INITIAL IFSP MEETINGS ONLY**

I. Individualized Family Service Plan (IFSP) Information	
Is this an Initial IFSP meeting? ☐ Yes ☐ No	
Was this meeting rescheduled from an earlier date? ☐ Yes ☐ No	
Date of this IFSP Meeting: / /	
Time: From: To:	Location:
II. Child Information	
Child's Name:	
EI ID Number:	DOB:
Name of Deaf Individual:	Relationship to child:
III. Initial Service Coordinator (ISC) Information	
ISC Name:	
ISC Agency:	
Telephone #:	Fax #:
IV. Individual to be Contacted the Day of the IFSP Meeting	
Name:	
Telephone #:	

Notification of cancellation for any reason MUST be made by the Service Coordinator no later than 48 HOURS before the date of the IFSP meeting by calling both Beverly Samuels at 347-396-6828 AND Accurate Communications, Inc. at 877-682-1333.

Fax this form to Beverly Samuels at 347-396-6982

INSTRUCTIONS FOR COMPLETION

REQUEST FOR AN INTERPRETER FOR THE DEAF FOR INITIAL IFSP MEETINGS ONLY

This form must be sent to the Director of Consumer Affairs as soon as an IFSP meeting is scheduled when a sign language interpreter is needed. Requests received less than 48 hours before the meeting will not be honored.

NYC Early Intervention Program will provide sign interpreters for Initial IFSP meetings **only**.

This form must be completely filled out and faxed to 347-396-6982. Please follow-up with a phone call to 347-396-6828 to ensure that the form was received.

Confirmation of assignment with the sign interpreter's name will be faxed back to the Service Coordinator as soon as an assignment has been made.



NEW YORK CITY DEPARTMENT OF
HEALTH AND MENTAL HYGIENE
Thomas Farley, MD, MPH
Commissioner

Marie B. Casalino, MD, MPH
Assistant Commissioner

Bureau of Early Intervention
Gotham Center, CN #12
42-09 28th Street, 18th floor
Queens, NY 11101-4132

347-396-6974 tel
347-396-6982 fax

Fax Confirmation of Sign Language Interpreter Assignment

TO: _____, Service Coordinator

AGENCY:

FAX:

FROM: Beverly Samuels, Director of Consumer Affairs

PHONE: 347-396-6828

TOTAL NUMBER OF PAGES (including cover): 3

MESSAGE: IFSP meeting for_____.

- Notification of cancellation for any reason **MUST** be made by the Service Coordinator at least **48 HOURS** before the date of the IFSP meeting by calling Accurate Communications, Inc. at 1-888-342-1650 and Beverly Samuels at 347-396-6828.

Interpreter's name:

- The Service Coordinator **MUST** fax the attached questionnaire **(Fax Confirmation of IFSP Meeting with Sign Language Interpreter)** to Beverly Samuels at 347-396-6982 within **12 hours** of the scheduled meeting.

This transmission and any attachments may contain confidential and privileged information for the use of the designated recipient named above. If you are not the intended recipient, you are hereby notified that you have received this communication in error and that any review, disclosure, dissemination, distribution or copying of it or its contents is prohibited. If you have received this communication in error, please notify us immediately by telephone. Thank you.



NEW YORK CITY DEPARTMENT OF
HEALTH AND MENTAL HYGIENE
Thomas Farley, MD, MPH
Commissioner

Marie B. Casalino, MD, MPH
Assistant Commissioner

Fax Confirmation of IFSP Meeting with Sign Language Interpreter

Bureau of Early Intervention
Gotham Center, CN #12
42-09 28th Street, 18th floor
Queens, NY 11101-4132

347-396-6974 tel
347-396-6982 fax

TO: Beverly Samuels, Director of Consumer Affairs

FAX: 347-396-6982

FROM: _____, Initial Service Coordinator

PHONE:

RE: Sign Interpreting services for initial IFSP meeting for:
Child:
EI ID #:
Date of Meeting:

The Service Coordinator must return this form within **12 hours** of the scheduled meeting.

- ☐ The IFSP meeting ☐ took place ☐ did not take place.
☐ The parent cancelled/did not show, (circle one if appropriate).
☐ If the meeting did not take place for any reason, please explain:

- ☐ The sign interpreter was/was not present.
☐ Sign interpreter (name) _____
☐ There were no problems with the sign interpreter.
☐ There were the following problems with the sign interpreter:

Other comments:



- ☐ Regular
☐ Emergency

Beverly Samuels – Director,
 Consumer Affairs
 (MHAA-9-0093)
 Phone: (347) 396-6828
 Fax : (347) 396-6982
 e-mail: bsamuel1@health.nyc.gov
 Lori Gallo (347) 396-7049

New York
Request for Cancellation of Sign Language Interpreter
Agency: Dept of Health & Mental hygiene
Division: Early Intervention Program
PO # 20090920237

Today's Date:	
Client Name:	
Case Manager:	
Called in by:	
Title:	
Phone Number:	Ext:
Fax Number:	
E-mail:	
Cancellation Requested: ☐ ASL Interpreter ☐ Cued Speech Transliterator ☐ Other Language	
Assignment Date and Time:	
Assignment Number:	
Assignment Type:	
Number of Interpreters:	
Location Information:	
Name of Person on Site:	

*****For Office Use Only*****

Entered in System by :
Date:
Interpreter Notified by:
Date:
Confirmation to Agency sent by:
Date Sent:
Copy of e-mail or fax attached: ☐ Yes ☐ No
Notes:

New York City Early Intervention Program

Policy Title: Initial Service Coordinator Requests For Additional Units or Extension of Service Authorization (NYEIS Policy)	Effective Date: For All New Referrals Starting Staten Island: 7/12/2011 Bronx: 7/26/2011 Manhattan: 8/9/2011 Queens: 8/23/2011 Brooklyn: 9/7/2011
Policy Number: 3-D	Supersedes:
Attachments: Regulation/Citation:	

I. POLICY DESCRIPTION:

Service Coordination (SC) units are approved by the Regional Office when a child first enters the Early Intervention Program and, at IFSP meetings. These units are based on the needs of the family and the amount of time a SC will need to assist the family throughout the authorization period. If it appears that the number of units authorized is not sufficient, the SC must submit a request for additional units prior to the end of the authorization period

Please be advised that additional units can not be utilized without the formal approval of the EI/OD/Assistant Director.

Note:

- Instructions for navigating NYEIS are denoted in *italics* in the body of this Policy

II. PROCEDURE:

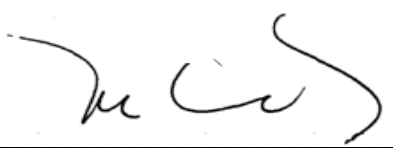
Responsible Party	Action
Initial Service Coordinator	<i>Requests an extension of the authorization period for initial service coordination (ISC) in NYEIS when there is a delay in convening the IFSP meeting within 45 days of the date of referral:</i> <i>From the Inbox Menu Bar – Click on “My Cases”</i> <i>Select the “Case Reference” number for the case</i> <i>The “Service Coordination Service Authorizations” section displays the Initial Service Coordination Service Authorization (SA)</i> <i>Click the “Case Reference” link</i> <i>Under the Manage section, select “Extend”</i> <i>Extending an SA adds 30 calendar days to the authorization period</i> <i>Select the appropriate reason under “Reason For Extension”</i> <i>Select “Save”</i> <i>Requests additional ISC units:</i>

- a. *Enter the request in NYEIS*
 - i. *From the Inbox Menu Bar – Click on “My Cases”*
 - ii. *Select the “Case Reference” number*
 - iii. *The “Service Coordination Service Authorizations” section displays the initial service coordination Service Authorization (SA)*
 - iv. *Click the “Case Reference” link*
 - v. *Under the Manage section, select “Edit”*
 - vi. *On the “Amend Service Authorization” screen, under the amend details heading, select: “The Reason for Modification”*
 - vii. *Under the Service Details heading, modify the “Start” and/or “End” date, and/or the “Number of Units”*
 - viii. *Click on “Submit”*
 - ix. *“EIOD Review Required” will display as the SA status.*
 - b. *Complete a letter of justification on SC agency letterhead describing the reason for request of additional units. Justifications might include, but are not limited to:*
 - i. *Difficulty in determining surrogacy in Foster Care*
 - ii. *Family reasons*
 - c. *Attach the letter in NYEIS*
 - i. *From the Inbox Menu Bar – Click on “My Cases”*
 - ii. *Select the “Case Reference” number*
 - iii. *The “Service Coordination Service Authorizations” section displays the initial service coordination Service Authorization (SA) details*
 - iv. *Click the “Case Reference” link.*
 - v. *Select “Attachments”, then select “New”*
 - *On the Create Attachment screen:*
 - *Browse for the file to attach. File size cannot be more the 5MB*
 - *Complete the fields under “File Details”*
 - *DO NOT enter any information in the “Location” and “Reference” fields*
 - *Select the Document type*
 - *Document type for all documents above is “supporting documentation”*
 - *Receipt date must be the date that the attachment is made*
 - *Complete the Attachment Description field by listing the name of the document as “ Justification for increase in ISC units”*
 - *Click “Save”*
3. Requests must be submitted **no later than 1 week** prior to the end of the relevant authorization period
4. Additional units cannot be utilized without formal authorization in NYEIS by the EIOD/ AD

Note: The EIOD can enter these modifications directly into NYEIS by following the steps above

Early Intervention Official Designee Assistant	1. Reviews request by: a. <i>From the Menu Bar – Click on “Inbox”</i> b. <i>Select “Assigned Tasks” and select the associated SA task.</i> c. <i>Under the Primary Action heading, click on “Review SA Amendment”/ “Review SA Extension Details”</i> i. <i>If reviewing a request to extend the authorization period:</i> • <i>Select Approve or Reject form the review screen</i> ○ <i>When approving, the EIOD Assistant can choose to enter comments related to the approval (comments on approval not mandatory)</i> • <i>If selecting “Reject”</i> ○ <i>Enter the rejection reason on the NYEIS screen that appears (“Confirm rejection of SA extension Request”)</i> ii. <i>If reviewing a Service Authorization Amendment</i> • <i>Review the request under the “Requested Amendments” heading</i> • <i>From the Menu Bar – Click on “My Cases”</i> • <i>Select the “Case Reference” number for the amendment request for the case. The “Service Coordination Service Authorizations” section displays the Initial Service Coordination Service Authorization (SA)</i> • <i>Select the “Case Reference” link</i> • <i>Select “Attachments”</i> • <i>Review the attached justification for additional ISC units</i> iii. <i>After the justification has been reviewed:</i> • <i>From the Inbox Menu Bar – Click on “Inbox”</i> • <i>Select “Assigned Tasks” and selecting the associated SA task.</i> • <i>Under the “Primary Action” heading, click on “Review SA Amendment”.</i> • <i>Under the “Requested A mendments” Heading, check the appropriate box to approve individual amendments or click "Select All"</i> • <i>Click on the “Save” or “Reject All” button,</i> • <i>If “Save” is selected:</i> ○ <i>The “Save” button results in the creation of a new SA with “Approved” status reflecting the revised date ranges and number of units. The previous SA will now have a “Closed” status.</i> • <i>If “Reject All” is selected:</i> ○ <i>He/she must document the reason in the mandatory rejection comment box.</i> 2. The EIOD may request additional information if insufficient information was provided. a. <i>The EIOD Assistant will request additional justification by “Rejecting” the request and indicating what additional</i>

	<i>documentation (ISC Notes) should be faxed to in the Regional Office in the "Rejection Reason"</i> 3. If the EIOD Assistant rejects the request, the EIOD Assistant will return the denied request to the Service Coordinator within 5 days of the rejection with an explanation.
Service Coordinator	1. <i>Alerted to the approval of the request to extend an authorization period/ request for additional ISC units by:</i> a. <i>A new SA with "Approved" status reflecting the revised date ranges and/or number of units will appear on the "Service Coordination Service Authorizations" section on the child's "Integrated Case Page"</i> i. <i>From the Inbox Menu Bar – Click on "My Cases"</i> ii. <i>Select the "Case Reference" number to view the "Integrated Home Page"</i> b. <i>The previous SA will now have a "Closed" status.</i> 2. <i>Rejections are visible by checking the Notes associated with the specific SA. To see these notes:</i> a. <i>From the Menu Bar – Click on "My Cases"</i> b. <i>Select the "Case Reference" number to view the "Integrated Home Page"</i> c. <i>The "Service Coordination Service Authorizations" section displays the ISC SA</i> d. <i>Click the "Case Reference" link.</i> e. <i>Select "Notes" from the navigation bar</i> f. <i>Read the rejection reason entered in this note section</i>

Approved By: 
Assistant Commissioner, Early Intervention

Date: 6/29/2011

Chapter 4: Evaluation and Eligibility

New York City Early Intervention Program

Policy Title: Screening	Effective Date For All Referrals Starting Staten Island: 7/12/2011 Bronx: 7/26/2011 Manhattan: 8/9/2011 Queens: 8/23/2011 Brooklyn: 9/7/2011
Policy Number/Attachment: 4-A	Supersedes:
Department/Unit: Bureau of Early Intervention	Regulation/Citation: 69-4 1(am), 69-4.8(a)2(iv); EI Memorandum 2005-2

II. POLICY DESCRIPTION:

According to 69-4 1(am) a *Screening* means a process involving those instruments, procedures, family information and observations, and clinical observations used by an approved evaluator to assess a child's developmental status to indicate what type of evaluation, if any, is warranted.

While parents always have the option to pursue a multidisciplinary evaluation for their child upon referral to the EIP, there are some circumstances when performance of a screening is appropriate. Screening tests are generally intended to be brief, easy to administer, and lead to a yes/no decision as to whether or not a developmental problem is likely and further in-depth assessment/evaluation is needed. The evaluator is responsible for determining what type of screening should be conducted (for example, whether a screening should address one or more domains of development, or if the screening should address a specific concern, such as potential hearing loss).

Circumstances under which it may be appropriate for an evaluator to conduct a screening include when there are concerns about only one area of development (e.g., communication development, physical development, etc.), or if there is a *generalized concern* about the child's development, a screening may be conducted to determine whether the child is typically developing or whether there are indications of problems that require further evaluation and assessment; or, very specific concerns for which procedures exist to clearly "rule out" or identify a problem (e.g., hearing loss).

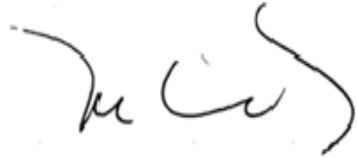
The IFSP meeting must be convened ***within 45 days*** from the date the child was referred to the NYCEIP. In order for the meeting to be scheduled, the screening and multidisciplinary evaluation (if completed) must be completed and the necessary forms and reports, as described in this Policy, must be submitted through NYEIS, and the parent(s) ***within 30 days*** of the child's referral.

II. PROCEDURE:

Responsible Party	Action
Initial Service Coordinator (ISC)	1. At the Initial meeting with the parent(s)/caregiver(s) a. Explains the difference between the evaluations and screenings to the family b. Refer to the Initial Service Coordination Responsibilities Policy for additional explanation of the ISC role

Evaluation Agency	1. At the initial meeting with the parent, explains the differences between screening and evaluation to the parent. a. Refer to Appendix A: Screening vs. Multidisciplinary Evaluation in this chapter of the Manual. b. Screenings should not be done if: i. The parent requests an evaluation ii. The child has a diagnosed condition with a high probability of developmental delay. • (refer to SDOH Memorandum 2005-2 Standards and Procedures for Evaluations, Evaluation Reimbursement, and Eligibility Requirements and Determination Under the Early Intervention Program) 2. If the parent agrees to a screening: a. Screening must be completed in a timely manner as to ensure that the screening documentation and other MDE documentation or closure documents are submitted to the regional office within 30 days of the children referral to Early Intervention. b. If a screening indicates cause for concern, a MDE must be completed to determine whether child is eligible for the EIP Note: - An approved evaluator may bill for both a screening and a Multidisciplinary evaluation for the same child only when the screening is performed in the child’s home or child care site. - When a screening and evaluation are performed at the approved evaluator’s site, the evaluator may bill only for the Multidisciplinary evaluation. 3. Discusses the results of the screening with the parent, and at the parent’s request, the ISC. a. Explains the results of the screening to the family. i. If the child does not pass the screening: • Discuss the composition of the evaluation team with parent • Complete a full Multidisciplinary evaluation. Refer to the Policy on Multidisciplinary Evaluations ii. If the child passes the screening • If there are concerns about possible future delays, discusses with the parent a referral to the EIP Child Find Unit for ongoing developmental monitoring. a. Inform the initial Service Coordinator if the parent/caregiver agrees Note: The parent can request a full MDE at any point in the screening process. 4. Submits the necessary screening and MDE (if necessary) documents via NYEIS no later than 30 calendar days after the child’s initial referral to EIP

	a. Refer to the Multidisciplinary Evaluations Policy for a detailed walkthrough of submission requirements Note: Copies of the screening report or MDE is sent to the child's primary health care provider only if the parent has signed the Consent to Obtain/Release Information form.



Approved By: _____
Assistant Commissioner, Early Intervention

Date: _____ 7/19/2011 _____

New York City Early Intervention Program

Policy Title: Multidisciplinary Evaluations Policy	Effective Date: For All Referrals Starting Staten Island: 7/12/2011 Bronx: 7/26/2011 Manhattan: 8/9/2011 Queens: 8/23/2011 Brooklyn: 9/7/2011
Policy Number: 4-B	Supersedes:
Attachments: Parental Consents for Evaluation and Screening Core Evaluation Data Entry Form (Eliminated by NYEIS) Multidisciplinary Evaluation Data Entry Form (Eliminated by NYEIS) Supplemental Evaluation Data Entry Form (Eliminated by NYEIS) MDE/Screening Summary Reason for Delay in Evaluation Completion/MDE Submission (Section II Eliminated by NYEIS) MDE Checklist	Regulation/Citation: 10 NYCRR 69-4.1 10 NYCRR 69-4.8 Memorandum 1999-2 Memorandum 2005-02

I. POLICY DESCRIPTION:

A multidisciplinary evaluation shall be performed to determine the child's initial and ongoing eligibility for early intervention services...The evaluator shall obtain informed parental consent to perform the evaluation and screening prior to initiating the evaluation procedures. (10NYCRR69-4.8 (a) (2))

The IFSP meeting must be convened ***within 45 days*** from the date the child was referred to the NYCEIP. In order for the meeting to be scheduled, the multidisciplinary evaluation must be completed and the necessary forms and reports, as described in this Policy, must be submitted to the Regional Office through NYEIS, the parent(s), the child's primary care provider (with parental consent), and to the Administration for Children's Services (if applicable) ***within 30 days*** of the child's referral.

The MDE is necessary to:

- determine eligibility for the EIP
- assess the status of the child's physical, cognitive, communication, social-emotional and adaptive functioning
- identify areas of developmental strengths and needs
- determine and understand parent's resources, priorities and concerns

For a child who is eligible based on a diagnosed condition with a high probability of leading to a developmental delay/disability, an MDE is required to assist with the development of an

Individualized Family Service Plan (IFSP). An MDE may also be required to confirm on-going eligibility when considerable progress has been made and/or there is a question about the child's on-going eligibility.

Public Health Law defines an eligible child as an infant or toddler from birth through age two with a disability. A disability is defined as a developmental delay or diagnosed physical or mental condition with a high probability of resulting in developmental delay (**10NYCRR69-4.1(h)**) e.g., low birth weight, Down Syndrome, sensory impairments.

A child is automatically eligible for the EIP where there is a confirmed diagnosis of a physical or mental condition with a high probability of the condition resulting in a developmental delay or disability ([Refer to Early Intervention Memorandum 1999-2 - Reporting of Children's Eligibility Status Based on Diagnosed Conditions with High Probability of Developmental Delay](#)). It is the responsibility of the evaluator to confirm that the child has the diagnosed condition and is therefore eligible for the Early Intervention Program. For children eligible on the basis of the diagnosed condition, the primary purpose of early intervention is to mitigate the impact of the condition on a child's developmental progress. **The child does not have to demonstrate a delay to receive early intervention services if he has a condition with a high probability of developmental delay.**

If a referred child does not have a confirmed diagnosis which would establish automatic eligibility in New York State ([refer to Memorandum 2005-02 - Standards and Procedures for Evaluations, Evaluation Reimbursement, and Eligibility Requirements and Determination Under the Early Intervention Program](#)), consistent with federal regulations under Part C of IDEA, s/he must exhibit a significant developmental delay to be eligible for early intervention services. Developmental delay as defined by PHL 69-4 means that the child has not attained developmental milestones expected for the child's chronological age adjusted for prematurity in one or more of the following areas of development: cognitive, physical (including vision and hearing, oral motor feeding and swallowing disorders), communication, social/emotional or adaptive functioning as measured by qualified professionals using appropriate diagnostic instruments and/or procedures, and informed clinical opinion.

To be initially eligible for early intervention based upon a developmental delay, the following criteria must be met:

- A 12-month delay in one or more functional domains, or
- A 33% delay in one functional domain, or
- A 25% delay in **two** or more functional domains, or
- For children who have been found to have a delay only in the communication domain and if no standardized test is available or appropriate for the child, or the tests are inadequate to accurately represent the child's developmental level in the informed clinical opinion of the evaluator, a delay in the area of communication shall be a severe delay or marked regression in communication development as determined by specific qualitative evidence-based criteria articulated in clinical practice guidelines issued by the Department articulated in 10NYCRR69-4.23.

Or, when appropriate standardized tests are used:

- Two standard deviations (2.0SD) below the mean in one functional domain, or
- One and a half standard deviations (1.5SDs) below the mean in **two** or more functional domains.

The five functional domains include: cognition, communication, physical, adaptive and social/emotional.

Eligibility **cannot be** established based on isolated difficulties, e.g., feeding, sensory integration, articulation unless there is a significant impact on the child's development in one or more of the five functional domains. This must be documented in the MDE report.

Note: An isolated feeding problem in and of itself may not be sufficient to establish a child's eligibility for the Early Intervention Program. Feeding and swallowing problems often co-occur in children who have motor disorders, and may be an early indicator of a motor or other developmental health problem. Difficulties with feeding and swallowing are signs and symptoms, and it is important to determine the underlying cause. If the central concern for a child is feeding dysfunction, the MDE must provide sufficient evidence that the feeding problem is significantly impacting on the child's developmental status. The nature of the feeding dysfunction must be documented in the MDE report, including the statement of the child's eligibility for the Early Intervention Program. (Refer to Clinical Practice Guidelines Motor Disorders pgs. 66-77 for more in-depth information on the assessment of feeding disorders.)

-Instruction for navigating NYEIS are denoted in *italics* in the body of this Policy and in the **NYEIS MDE Crosswalk**

II. PROCEDURE:

Responsible Party	Action
Evaluation Agency	1. Notified by the ISC or parent/caregiver that they have been selected as the evaluation site by the family. 2. Accepts the MDE assignment in NYEIS a. Refer to the Choice of Evaluation Site Policy for specific NYEIS directions 3. Evaluation/Screening process begins unless the child is awaiting surrogacy determination. a. The Evaluation or Screening process cannot begin until the evaluation agency receives Surrogate Parent Assignment by EIOD Form (if applicable). Note: • The ISC will send the Evaluation Site the Consent to Obtain/ Release Information Form • Above forms must be kept in the child's record • Since all parent consent forms are now attached in NYEIS, it is NO LONGER the responsibility of the Evaluation Agency to submit any forms completed by the ISC since the ISC directly attaches the forms to the "Childs Integrated Home Page" NYEIS.

I. First Contact with the Parent:

1. Determine if a screening is necessary before an MDE is conducted.
 - a. Refer to *Appendix A: MDE vs. Screening*
 - b. Refer to the **Screening Policy** in this chapter of this manual.
2. Determine the components of the MDE based on parent concerns.
 - a. Parent's primary concern should be part of the Core evaluation
3. Obtain parent/caregiver signature on the **Consent for Evaluation and Screening Form**.
 - a. One consent is signed for a Core Evaluation
 - b. One consent is signed for a Screening
 - c. Every Supplemental Evaluation must have a separate signed consent.
4. Ask the parent if a recent health assessment was conducted **and** if the parent has appropriate health assessment documentation from the child's primary care provider
 - a. If a recent health assessment was not conducted or health assessment documentation obtained:
 - i. Obtain parental signature on the **Consent to Obtain/Release Information**.
 - ii. Contact the child's physician to assist parent/caregiver with obtaining a health assessment and health assessment documentation.
 - iii. If the child does not have a primary care provider, a health assessment should be conducted as a supplemental physician evaluation

II. Multidisciplinary Evaluation (MDE) Components

1. An MDE is made up of a Core Evaluation (identified as the Developmental Assessment in NYEIS) and, when necessary, Supplemental Evaluation(s).
 - a. The MDE team is composed of at **least** two qualified personnel, one of whom is a specialist in the developmental area that is of concern for the child.
 - b. A MDE Core Evaluation consists of
 - i. An assessment of the five developmental domains: cognitive, physical (including vision and hearing, oral motor feeding and swallowing disorders), communication, social-emotional, and adaptive
 - ii. An assessment of the specific area of concern in development identified at the time of referral:
 - The qualified personnel who conduct the core evaluation should have sufficient expertise to assess the developmental area of the parent's primary concern/ reason for referral
 - iii. A review of pertinent records related to the child's current health status, developmental concerns and medical history is required.
 - Conducted with parental consent
 - iv. A parent interview about the family's resources, priorities,

and concerns related to the child's development and about the child's developmental progress.

- Parent interview may be incorporated as part of the core evaluation report or submitted as a standalone document. In either scenario the parent interview cannot be billed for separately.
- v. A separate family assessment focusing on the resources, priorities and concerns of the family related to enhancing the development of the child (optional on the part of the parent).
 - A family assessment includes identifying formal and informal support services
 - Offered and conducted with parental consent
 - The family assessment cannot be billed for separately
- vi. An evaluation of the child's level of functioning and assessment of the unique needs of the child in each developmental domain.
 - This includes the identification of services that may be appropriate to meet those needs
- vii. An evaluation of the transportation needs of the child, including:
 - Parent/caregiver ability to provide transportation
 - Child's special needs related to transportation and safety issues
 - Parental concerns related to transportation
 - o Refer to the **Assessing Transportation Needs Policy** in this chapter of the manual.

Note: In many cases, the Core Evaluation (Developmental Assessment), on its own, will contain sufficient information to determine if a child is eligible for EI services.

c. Supplemental Evaluations

- i. Supplemental evaluations are conducted based on the written justification of the core evaluation team.
 - It is expected that, in most cases, the core team will be equipped to assess all five developmental areas, and will not need to seek an additional evaluator and supplemental evaluation.
 - Supplemental evaluations **should not** be routinely provided to all children in the EIP (NYS DOH EIP Memorandum 2005-02).
- ii. NYS Guidance Memorandum 2005-02 pp. 23-24 specify justifiable circumstance for recommending supplemental evaluations, including:
 - If the MDE team identifies the need for an in-depth assessment of a child's strengths and needs in a

	specific area. The supplemental evaluation may be necessary to provide direction as to the specific early intervention services that may be needed by the child. • If, at the time of referral, a child has no established primary health care provider, a supplemental physician evaluation or non-physician evaluation may be used to complete the health assessment required as part of the child’s physical development. • If, at the time of referral, a child is suspected of having a diagnosed condition with a high probability of developmental delay, which necessitated the involvement of an expert qualified to evaluate and diagnose the condition, a supplemental evaluator qualified to conduct an in-depth assessment resulting in a diagnosis may be considered. d. Supplemental evaluations may not be conducted before the Core evaluation is completed. i. Supplemental evaluations must be recommended by the core evaluation team, e. May also be conducted when authorized after the child’s initial IFSP. <u>II. Conducting the Multidisciplinary Evaluation</u> <i>Parental Involvement</i> 1. The evaluation process, including clinical observation, should be conducted in an environment appropriate to the unique needs of the child, with consideration given to the preferences of the parent. Such settings may include: a. Natural settings (e.g., the child’s home or daycare setting) b. Unstructured (e.g., play room) c. Structured (e.g., clinic, office, foster care agency) 2. The child’s parent(s) must be given the opportunity to be an active participant in the evaluation process, as should other family members and other individuals who care for the child (e.g., daycare, nanny, foster parent, guardian, and caregiver) with parental consent. a. Recognizing the family as an integral member of the evaluation team ensures that parental concerns and priorities regarding the child’s development remain the focal points. b. Parent partnership validates the parents’ understanding of the child’s current functioning and his/her strengths and developmental needs. <i>Evaluation Procedures</i> 1. Evaluation procedures should be objective, professional, and individualized and consider each child’s unique developmental strengths and needs.

2. MDEs should include *informed clinical opinion*, and employ age-appropriate instruments and procedures.
3. Nondiscriminatory evaluation and assessment procedures must be used in all aspects of the evaluation and assessment process. Evaluation and assessment procedures must be responsive to the *cultural and linguistic background of the family*. (Refer to the [Policy on Bilingual Evaluations](#) in this chapter of the Policy and Procedures Manual.)
4. *No single procedure or instrument* may be used as the sole criterion or indicator of eligibility.
 - a. The Multidisciplinary Team must rely on information from a variety of appropriate sources:
 - i. Standardized instruments and procedures whenever appropriate and possible,
 - ii. Observations of the child,
 - iii. Parent interviews,
 - iv. Informed clinical opinion, and
 - v. Any other sources of information about the child's developmental status available with parental consent. (Refer to Memorandum 2005-02)

Assessment Instruments

1. Standardized, norm-referenced evaluation assessment and/or diagnostic instruments should be used whenever possible unless such instruments are not appropriate for:
 - Child's age
 - Child's culture or language
 - Developmental status or concern
 - a. Results should be scored according to that instrument's guidelines for scoring and reporting, and in compliance with SDOH Memorandum 2005-02.
 - b. **Age equivalents from standardized tests should not be used for eligibility determination**, unless:
 - i. The manual for the instrument supports the use of age equivalents to establish eligibility.
2. Criterion-referenced tests can be helpful in evaluating children when norm-referenced tests are not available or appropriate due to the child's age, condition, language/culture, or other factors that influence test performance.
 - a. Criterion-referenced tests usually do not provide sufficient information to determine the extent of a child's developmental delay(s).
 - b. Criterion-referenced tests can be used in conjunction with other sources of information about a child's development, including informed clinical opinion, to establish a child's eligibility if eligibility is based on the level of developmental delay.
 - c. If criterion-referenced tests are used, the evaluator must:
 - i. Be aware of how the results or age ranges are to be interpreted.
 - This is usually described in the test's instruction

	manual and must be discussed in the evaluation report. 3. The instruments used must be the <u>most recent edition</u>. Standardized tests must be reliable and valid, with appropriate sensitivity and specificity. Note: • A standardized instrument or instruments approved by the State Department of Health must be used when conducting an MDE. ○ The evaluator must provide a written justification in the evaluation report why such instrument or instruments are not appropriate or if an instrument is not available for the child, if an approved instrument is not used • Refer to <u>Memorandum 2005-02</u> p. 8-10 and Anderson, L. “Appropriate and Inappropriate Interpretation and Use of Test Scores in Early Intervention,” <i>Journal of Early Intervention</i>, 2004, Vol. 27, No. 1, p. 55-68 for further discussion. <i>Prematurity and Age Adjustment</i> 1. When evaluating a child who was born prematurely (less than 37 weeks gestation) the evaluation team will decide whether to use adjusted age, as appropriate to the clinical situation and the test/diagnostic instrument being used in the evaluation process. a. The evaluation report should clearly state the amount and type of adjustment that was made, if any. Note: Ref: Memorandum 2005-02 (p.30) and Wilson, S.L. and Cradock, M. M. (2004) <i>Journal of Pediatric Psychology</i>, 29 (8): 641-649 <i>Informed Clinical Opinion</i> 1. Informed clinical opinion is “the best use of quantitative and qualitative information by qualified personnel regarding a child and family, if applicable. Such information includes, if applicable, the child’s functional status, rate of change in development, and prognosis.” 10 NYCRR §69-4.1(w) a. Diagnostic instruments and informed clinical opinion must be used in combination to: i. Interpret results of the MDE, ii. Determine the degree of developmental delay, and iii. Formulate a statement of “eligible” or “not eligible”, stating specifically why the child does or does not meet eligibility criteria b. The use of informed clinical opinion is: i. Required by federal regulations in evaluation and assessment procedures for eligibility purposes. ii. A necessary safeguard against eligibility determination based upon isolated information or test scores alone. Note: Refer to Appendix C: Informed Clinical Opinion of this chapter of the manual

III. Immediately After an Evaluation is Complete

1. Individual evaluators should verbally share only preliminary results/impressions with the parent at the conclusion of each assessment session, explaining to the parent that the information yet to be compiled and eligibility for the Early Intervention Program is determined by the MDE team.
 - a. Evaluators should also explain that while a child may have a delay, it may not be severe enough for eligibility.
 - b. Individual evaluators should document in their reports that preliminary results were shared with the parent.

IV. Completing and Submitting the Multidisciplinary Report

1. The evaluation team is responsible for preparing an evaluation report and written MDE Summary.
 - a. **Individual evaluations** must provide sufficient information to support the finding of “eligible” or “not eligible”, including an in-depth assessment of the child’s strengths and needs in the specific areas of development that were assessed.
 - i. Refer to [*Appendix B: Best Practice Recommendations For Report Writing and Submission*](#) of this chapter.
 - ii. Refer to the [**Assessing Transportation Needs in The Multidisciplinary Evaluation**](#) policy in this chapter of the manual.

Note:

- Evaluators may make recommendations about the **type(s)** of services that the child may need, **but evaluators may not make recommendations regarding the frequency, duration, and intensity of such services.**
 - c. The **MDE Summary**
 - i. Refer to the [**MDE/Screening Summary Form**](#) in this chapter of the policy and procedure manual.

Note: If a bilingual evaluation was conducted, the summary should also be provided in the parent’s dominant or preferred language or other mode of communication of the parent, if feasible (refer to the policy on *Bilingual Evaluation* in this chapter of the manual).

2. Completes the applicable NYEIS MDE screens when ready to submit the MDE to the Regional Office.

Note: The following forms have been eliminated by NYEIS:

- **Screening Data Entry Form**
- **Core Evaluation Data Entry Form**
- **Multidisciplinary Evaluation Data Entry From**
- **Supplemental Evaluation Data Entry Form**

- a. *From the Inbox Menu Bar – Click on “Work Queues”*
- b. *Select View: (Provider ID) Evaluations work queue*

- c. *Select the “Task ID” of the case you wish to work on.*
- d. *Select “A Multidisciplinary Evaluation has been assigned to (your agency) for (child name)”*
 - i. *Select “Manage MDE” under Primary Action*
 - ii. *The complete data entry sections appear*

e. Select “Screening” from the navigation bar

Note:

- This section of NYEIS replaces the **Screening Data Entry Form**
- If the child was referred with a “confirmed eligibility diagnosis,” a screening is not permitted.
- If the child was referred with a “suspected delay”, the screening section must be completed.
 - i. *Select “New”*
 - ii. *In response to the question “Was a screening deemed necessary?”, choose either*
 - “No” or “No with diagnosed condition”: *once this is selected, the screening section is complete*
 - “Yes”: *the following screening sections must then be completed:*
 - *Evaluator Details*
 - *Screening Location*
 - *Screen Domains*
 - *Concern About Specific Domains*
 - *Reason for Screen*
 - *Parent Informed of Results*
 - *Screening Details*

- a. *Refer to the **MDE crosswalk** for a more detailed explanation of fields*

f. Select “Developmental Assessment” from the navigation bar

Note: This section of NYEIS replaces the **Core Evaluation Data Entry Form**

- i. *Select “New” under the Qualified Personnel Involved*
- ii. *Enter “evaluator name” of % (wildcard)*
- iii. *Select the names of the staff who conducted the developmental assessment (a minimum of two people must be selected)*
 - *The staff member must be already entered as a Licensed/ Certified Professional in your agency’s “Employee/Contractor” section of NYEIS.*
 - *Repeat this step for each evaluator on the developmental evaluation team*
- iv. *Enter the Developmental Domain Results by selecting “View” next to each domain*
 - *Select the qualified personnel involved in the assessment of the selected domain*
 - *Select “Edit” and complete the “Domain Status”*

	<i>field and the “Date Completed” field</i> ○ <i>Repeat this procedure for each of the five domains assessed.</i> ○ <i>If “Test Inadequately Represents Child’s Developmental Level” or “No Standardized Test Appropriate” is selected for the communication domain, the “evidence-based criteria” section must be completed</i> • <i>Select “Save”</i> v. <i>Select “Location Type” from the drop-down menu</i> • <i>Enter location address if the location is other than the “Child’s Home”.</i> vi. <i>Enter Evaluation Diagnosis Results - all fields in this section are mandatory</i> • <i>Select an “EI Eligible Diagnosis Code” if the child has an auto-eligible condition for early intervention</i> • <i>Select an “Other Eligible Diagnosis Code” if the child is eligible based on delay. A justification statement is required if an ICD-9 code is selected from this category</i> vii. <i>Enter Evaluation Methods</i> • <i>If “standardized test” is selected, the test results and scores are required</i> ix. <i>Select the “New” button above the heading “Diagnostic Tests Administered” if a test was administered.</i> • <i>Enter the mandatory information: Test Name and Date administered plus test scores. Either “Save” the data or add sub-scores and then save all the data.</i> • <i>Select “Close”</i> j. <i>Select “Family Assessment” from the navigation bar</i> i. <i>Select “Offered and Was Refused,” or “New” if accepted</i> ii. <i>If “New” is selected, select “Edit” to complete each section</i> iii. <i>Refer to the MDE Crosswalk for a detailed description of the NYEIS fields.</i> iv. <i>Select “Close” once complete.</i> <u>k. Select “Supplemental Evaluation” on the navigation bar (if applicable).</u> Note: This section replaces the Supplemental Evaluation Data Entry Form i. <i>Enter evaluator name or % (wildcard) under Search Evaluator for Assignment</i> • <i>Select the assigned Employee/Contractor</i> ○ <i>The staff member(s) must be already</i>

entered as a Licensed/ Certified Professional in your agency's "Employee/Contractor" section of NYEIS.

- ii. Select "In-Depth Assessment" **OR** "Diagnostic Evaluation"*
- iii. Select "New" under the "Developmental Domain Results"*
 - Select the developmental domain*
 - Select "Save"*
 - Enter the "Domain Status" field and the "Date Completed" field*
 - Select "Save"*
- iv. For the remainder of the Supplemental NYEIS screen, follow the procedure under the Developmental Assessment section above starting from: 3.i.v Select "Location Type"*

I. Select "External Evaluations" on the navigation bar (if applicable).

Note:

- "If an "external evaluation" is performed on a child by a licensed professional, such as a physician or psychologist, who is not approved by the Department as qualified personnel under the EIP, or who is not under contract with the municipality, a multidisciplinary evaluation that is performed by an approved evaluator under contract with the municipality is still required to determine eligibility for the EIP. The evaluator may, with parental consent, review, verify and use the findings from such an "external evaluation", provided that it adheres to existing regulations for other evaluations [10 NYCRR §69-4.8(a)(5)].
- Evaluation results from an "external evaluation" cannot serve as the sole basis for the child's eligibility or for the sole assessment of one of the five developmental domains. Although the evaluator may use findings from an "external evaluation", the findings do not replace the multidisciplinary evaluation or the requirement that the evaluator determine the child's eligibility for the EIP. If a parent disagrees with the determination of the evaluator, the parent must be advised of their due process rights in accordance with PHL §2549(1)."

- i. Evaluator Details – All information in this section is mandatory:*
 - Evaluator Name*
 - Agency Affiliation Name*
 - Profession (drop down list)*
 - Date Evaluation Conducted*
- ii. Please Check All that Apply – Identify the sources used to determine the assessment results by checking the appropriate boxes.*
- iii. Select "In-Depth Assessment" **OR** "Diagnostic Evaluation" to specify the Type of Evaluation*
- iv. Approved Evaluation Team must certify:*

- *The procedures used by the external evaluator were performed in a manner consistent with EIP requirements*
- *The findings were used to augment and not replace the evaluation to determine eligibility*
- *There are no indications present which suggest the need to repeat the tests or procedures performed by the evaluator*
- v. *Health Assessment – Certification is necessary to confirm that the external health assessment was performed recently and accurately represents the child.*
- vi. *General Health Status – Information regarding the child’s health concerns/ issues may be included.*
- vii. *The evaluation diagnosis results are mandatory and must be completed as designated by the diagnosis headers and subsequent questions.*
 - *If there has been a diagnosis established as a result of this external evaluation:*
 - *Select “Other Eligible Diagnosis Code” and search for the appropriate ICD-9 Code.*
 - *Multiple codes may be entered*
 - *Date completed is mandatory.*
 - *Indicate if the assessment was bilingual.*
- viii. *Enter Evaluation Methods*
 - *If “standardized test” is selected, the test results and scores are required in the attached report*
- ix. *General Evaluation Comments*
 - *Comments are not mandatory*
- x. *Select “Save” once completed*

m. Select “MDE Home” from the navigation bar

Note: This section of NYEIS replaces the **Multidisciplinary Evaluation Data Entry Form**

- i. *Select “View” under “MDE summary details”*
- ii. *Select “Edit”*
- iii. *Enter mandatory fields under “Eligibility”*
 - *Select “Eligibility Status” from the drop-down list*
 - *Select “Date Eligibility Determined”*
 - *If the child is eligible because of a diagnosed condition, use the date of the evaluation that determined the condition.*
 - *If the child is eligible because of a developmental delay, use the date the evaluation summary is completed.*
 - *Enter “Date Full MDE Completed”*
 - *Parent(s) Received Summary of MDE - Select Yes or No.*

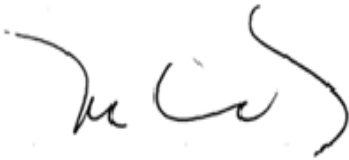
	○ <i>Parent must receive a copy of the MDE for the MDE to be submitted.</i> • <i>Parent(s) Received Summary of MDE in Their Dominant Language - Select Yes or No.</i> • <i>Parent(s) Received The Full Evaluation Report - Select Yes or No.</i> iv. <i>Enter mandatory fields under “Diagnosis Details”</i> • <i>EI Eligible Diagnosis Code - If a child has an automatic eligibility condition, the condition must be entered in this box.</i> ○ <i>NYEIS will generate a list that only includes the ICD - 9 codes entered in previous sections of the MDE</i> • <i>Date of Diagnosis - Provide the date that the diagnosis was made</i> • <i>Diagnosis Made By - Select from the drop - down list.</i> • <i>Other Eligible Diagnosis Code - The diagnosis (and ICD 9 code number) which makes the child eligible must be listed.</i> ○ <i>NYEIS will generate a list that only includes the ICD - 9 codes entered in previous sections of the MDE</i> • <i>If Other ICD Code, Justification - Provide a reason why the code was selected</i> • <i>Other Diagnosis Not Related to Eligibility - Select all other diagnoses as indicated from the developmental evaluation and supplemental evaluation(s).</i> • <i>Screening Only Diagnosis Code - Enter the appropriate “V” code</i> v. <i>Eligibility Statement - Indicate “MDE summary attached”</i> vi. <i>Child Transportation Needs - Select Yes or No.</i> vii. <i>Select “Save”</i> 3. Attaches the following documents to the “MDE Attachments” section in NYEIS 30 calendar days after the child’s initial referral to EIP: • Consents for Evaluation/Screening (one for the Core Evaluation and for each Supplemental Evaluation) signed and dated by the parent/surrogate parent • Health Assessment ○ Medical form (or electronic medical record print-out signed by doctor) • MDE Summary (and translation into the parent’s dominant/preferred language if applicable) • Full evaluation reports including:

	○ Developmental Assessment (including Parent Interview) ○ Optional Family Assessment ○ Supplemental evaluations(s) (if necessary) ○ Attestation Statements must be included in each report ● Other sources of information (w/ parent consent; ex: medical records) ● Screening Summary (if applicable) ● Screening Report (if applicable) ● External Evaluation (if applicable) Note: Evaluation agencies can use the MDE Checklist to aid them in submitting completed MDE packets and to avoid rejection of the MDE packet by the Regional Office. a. <i>Select “MDE Attachments” on the navigation bar</i> i. <i>Select “New” to add an attachment</i> ii. <i>Select the “type of Attachment” under “Evaluation File”</i> ● <i>Consents for evaluation and screening are attachment type “Evaluation Attachment”</i> ● <i>Health Assessment is attachment type “Medical Form”</i> ● <i>MDE Summary should be attachment type “Summary”</i> ● <i>Developmental Assessment and parent Interview are attachment type “Developmental Assessment”</i> ● <i>Family Assessment is attached as “Family Assessment”</i> ● <i>Supplemental evaluations should be attached as “Supplemental Evaluations”</i> ● <i>Other sources of information are attachment type “Evaluation Attachment”</i> ● <i>Screening Summary and Screening report are attachment type “Screening”</i> iii. <i>Select “Browse” to choose the file name</i> ● <i>Attachments cannot be larger than 1.5MB each</i> iv. <i>DO NOT enter any information in the “Location” and “Reference” fields</i> v. <i>Complete the “Comments” field by listing the name of the document being attached</i> vi. <i>Select “Save”</i> ● <i>A “View” option appears where the attachment can be edited or deleted before it is submitted with the MDE screens to the Regional Office</i> ● <i>Select “New” to attach another attachment</i> vii. <i>Select “MDE Validation Errors” from the Navigation bar or select “Submit” from the “MDE Home” page</i>

	• <i>NYEIS will generate a list of errors that will need to be corrected in order to submit the MDE</i> viii. <i>Select submit from the “MDE Home” page</i> 4. <i>Full MDE packet is sent to the parent, including:</i> <i>Evaluation reports</i> <i>Summary</i> <i>Print out of the information entered into NYEIS</i> <i>Select “Print MDE” from the MDE Home page</i> • <i>NYEIS generates a PDF summary document of all completed NYEIS MDE Screens.</i> Note: • Parental questions based on statements or scores included in the written MDE should be addressed by the evaluation team prior to the IFSP meeting. - o The parent MUST have the opportunity to discuss the evaluation results, with the evaluators or designated contact, including any concerns they may have about the evaluation process; and to receive assistance in understanding these results, and ensure the evaluation has addressed their concerns and observations about their child. • Copies of the MDE or screening report is sent to the child’s primary health care provider if the parent has signed the Consent to Obtain/Release Information form • Once an MDE is successfully submitted to the EIOD, the evaluation must be approved before scheduling can begin. Refer to the MDE Review Policy
Early Intervention Scheduler	1. <i>Select “Inbox” for the Menu Bar – Click on “Assigned Tasks”</i> 2. <i>Select the “Task ID” of the case you wish to work on</i> 3. <i>Under Primary action, select “Manage Submitted MDE”</i> 4. <i>Review the Submitted MDE.</i> <i>Select MDE sections via the left Navigation bar.</i> 5. <i>Review attachments in the Integrated home page</i> <i>Select “My Cases” for the Menu Bar</i> <i>Select the “Case Reference” of the case you wish to work on</i> <i>Select “Attachments” for the navigation bar</i> <i>Conduct a “Completeness Review” on the attachments based on the MDE Checklist</i> <i>Note: The EIOD view of NYEIS allows MDE attachments and attachments made to the integrated case to be viewed by selecting attachments from the integrated case homepage</i> <i>If the MDE Submission is incomplete:</i> • <i>Select “Inbox” for the Menu Bar – Click on “Assigned Tasks”</i> • <i>Select the “Task ID” of the case you wish to work on</i> • <i>Under Primary action, select “Manage Submitted MDE”</i>

	• Select “Reject” ○ Select the rejection reason code as “Incomplete” ○ List the documents missing under “Rejection Reason” ii. If the MDE Submission is complete and shows no quality issues • Select “Inbox” for the Menu Bar – Click on “Assigned Tasks” • Select the “Task ID” of the case you wish to work on • Under Primary action, select “Manage Submitted MDE” • Select “Accept” iii. If an Assistant Regional Director needs to review the MDE <u>prior to</u> “Accept MDE”(you must forward the Task and the case) • From the Inbox Menu Button – Click on Assigned Tasks • Select the Task ID of the case you wish to work on. ○ Under the Manager action, Reserve the task, and then forward the task. ○ On the Forward Task screen, click on the magnifying glass to search for the User to whom you will forward the case. ○ On the “User Search” Screen, narrow the search to “Muni Names” only. i. Enter a User First Name, Last Name or % (Wildcard), ii. Select Search, Select a User Name iii. Select Save iv. The task will be forwarded to the new User. • Assign the Case to the Assistant Director by: ○ From the Menu Bar – Click on “My Cases” ○ Select the “Case Reference” number for the case you would like to assign ○ Select “User Roles” for the Menu bar ○ Select New EIOD ○ Click on the magnifying glass to search for the User to forward the case to. ○ On the User Search Screen, narrow the search to “Muni Names” only i. Enter a User First Name, Last Name or % (Wildcard) ii. Select Search iii. Select a User Name iv. Select Save. v. The task will be forwarded to the new User
Evaluation Agency	1. Checks the “Evaluations Queue” daily to ensure that all MDE rejections are managed in a timely manner

	<i>a. From the Inbox Menu Bar – Click on “Work Queues”</i> <i>b. Select View: (Provider ID)_Evaluations Work Queue</i> <i>c. Select the “Task ID” of the case you wish to work on.</i> <i>i. A rejected MDE task appears as: “Submitted Provider Evaluation for (child name), Case Reference (number) has been rejected. Review the rejection reason(s) and comments, make necessary corrections and re-submit the evaluation</i>



Approved By: _____
Assistant Commissioner, Early Intervention

Date: _____ **7/19/2011** _____

NYC EARLY INTERVENTION PROGRAM
CONSENT FOR EVALUATION AND SCREENING

Child's Name: _____
Last First MI

EI #: _____ DOB: ____/____/____

Date of Referral ____/____/____

Dear Early Intervention Official Designee:

I authorize the evaluation of my child by: _____
Name of Evaluation Site

to determine my child's eligibility for the Early Intervention Program. I understand that several people will be involved in the evaluation process. I also understand that the evaluation site that i have selected will coordinate the evaluation(s) and is the only agency authorized to arrange an Early Intervention evaluation for my child.

I have been informed that I will be involved in my child's evaluation and, I will receive the results of all evaluations, and that a copy of all evaluations will be forwarded to the NYC Early Intervention Program. If my child is eligible for the Early Intervention Program, the evaluations will assist in developing my child's Individualized Family Service Plan (IFSP).

Signature of Parent/Surrogate Parent

_____/____/____
Date:

Signature of Evaluation Site Representative

_____/____/____
Date:

INSTRUCTIONS FOR COMPLETION

CONSENT FOR EVALUATION AND SCREENING

This form is to be signed by the birth/adoptive parent or the surrogate parent giving permission for an evaluation **before** any evaluation may be performed. A representative from the evaluation site must also sign this form. If several different EI agencies are participating in a child's evaluation, **each** agency needs a separate consent form.

It is expected that the evaluation site will clearly explain to parents their right to an evaluation within 30 days of the child's referral to the NYC Early Intervention Program, and that any evaluator accepting a child for an evaluation must make all attempts to conform to the contractual obligation of submitting a completed evaluation to the Regional Office via New York Early Intervention System (NYEIS) **within 30 days of the child's referral to the EIP.**

This form is not to be used with a foster parent unless the NYC Early Intervention Program has assigned that person to be the surrogate parent ([Refer to Chapter 2 – Foster Care & Surrogacy](#).) If the parent of a child who is in foster care is available and able to give informed consent for evaluation, that parent may sign this form.

The **Consent for Evaluation** form(s) with the appropriate signature must be submitted with the evaluation reports in NYEIS. Failure to obtain this consent from the parent, person in parental relationship, or assigned surrogate parent **prior** to the initiation of each evaluation **will affect payment for the evaluation.**

An evaluation can be reimbursed by the NYC Early Intervention Program **only** if the evaluator has a contract with NYC DOHMH and has submitted complete documentation to the Regional Office via NYEIS (i.e., **Summary of Multidisciplinary Evaluation**, and evaluation reports).

NYC EARLY INTERVENTION PROGRAM

SUMMARY OF MULTIDISCIPLINARY EVALUATION (MDE)

☐ Screening ☐ Evaluation

Child's Name: _____ Date of Evaluation: ____/____/____
EI #: _____ DOB: ____/____/____

SIGNATURE OF PERSON COMPLETING SUMMARY:

I certify that the determination of eligibility and the summary of the multidisciplinary evaluation or screening is based upon an interview with the above-named child's parent/surrogate parent (or other guardian if there is no available parent), a general assessment of the child's level of functioning in each of the five developmental domains, and an in-depth assessment in the specific domain(s) in which there is a suspected delay. I further certify that to the best of my knowledge, age-appropriate instruments and procedures and informed clinical opinion were employed in such assessments.

Signature Date: ____/____/____

Print name, title and license number

Summary of Evaluation:

- I. Name, title and disciplines of the persons performing the evaluation and assessment
- II. The child's health assessment (e.g., recent physical examination report, hospital discharge summary)
 - Describe the nature of any delay with obtaining Health Assessment Information from the child's primary care provider (if applicable)
- III. Summary of Parent Interview and optional Family Assessment
- IV. Description of the assessment process and conditions
- V. Measures and/or scores that were used, if any; and an explanation of these measures or scores
- VI. The child's responses and the family's belief about whether the responses were optimal
- VII. How informed clinical opinion was used by the evaluation team in assessing the child's developmental status and potential eligibility for the EIP
- VIII. The child's developmental status in the five developmental domains, including the unique strengths and needs in each area
- IX. A clear statement of the child's eligibility
- X. Nature of child's/family's transportation needs

If a bilingual evaluation is conducted, this summary should also be provided in the parent's dominant or preferred language or other mode of communication of the parent, if feasible.

SUMMARY OF MULTIDISCIPLINARY EVALUATION (MDE)/SCREENING

INSTRUCTIONS FOR COMPLETION

EIP regulations require the evaluation team to prepare a written summary integrating the results of all the evaluations (Core and Supplemental). Any discrepancies between the evaluations must be explained. To the extent feasible and within the parent's preference and consent regarding disclosure to the interpreter, and within confidentiality requirements, this summary should be provided in the dominant language or other mode of communication of the parent. The components of the MDE summary and reports are outlined in 10NYCRR69-4.8 (a) (9) (i-iii)

NOTE: If the evaluation found the child not eligible for Early Intervention services, the evaluation team remains responsible for completing the Summary of Multidisciplinary Evaluation/Screening.

- Check the appropriate box: **Evaluation** or **Screening** to indicate report type.
- Provide the requested identifying information for the child.

Write the date that the MDE Summary/Screening was completed.

- *The person writing the summary must, sign and date the attestation, printing his/her name, title and license number (if appropriate) below the signature.*

Note: The person completing the summary must be a member of the IFSP team (10NYCRR 69-4.8(a) (9) (i))

The Summary of the Multidisciplinary Evaluation/Screening is a narrative report containing the following information:

- I. List of the name, title, and discipline of all individuals involved in the evaluation and assessment of the child.
- II. The child's health assessment, which should include any relevant medical information, such as current health status and medical history, appropriate ICD-9 code for a diagnosed condition with a high probability of resulting in developmental delay, and any other information pertaining to the child's development.
 - a. Describe the Nature of Delay with Obtaining Health Assessment Information from the child's primary care provider (if applicable).
 - Describe the frequent and persistent attempts made to obtain health assessment information
- III. Summary of Parent Interview and optional Family Assessment:
 - a. Parent Interview: include information about the family's resources, priorities and concerns related to the child's development and developmental progress.
 - If the child is in foster care, the parent interview should include both the biological parent and foster parent with parental consent
 - b. Family Assessment (optional): identify formal supports and services available through the EIP or other service delivery systems (e.g., family training, family/parent support groups, services through the Office of People with Developmental Delays) that the family may want to access.

Identify informal supports and community resources available to the family (i.e. family and friends, playgroups that can assist the family in enhancing their child's development, etc.).

IV. Description of the assessment process and conditions:

- a. List the various types of information sources used to determine the child's developmental status (as required by regulation), such as:
 - Standardized or criterion referenced instrument(s) (Detailed in item V)
 - Direct observation of the child (Detailed in item VI)
 - Qualitative criteria for communication only evaluations
 - Interview with parent to determine perceptions of the child's abilities and performance on date(s) of testing (findings detailed in item VI)
 - Informed clinical opinion (findings detailed in item VII)
 - Any other sources of information relevant to the eligibility determination, with parental consent (e.g., medical information, report from relatives or family members, family day care or child care provider, name of foster care agency).
- b. Describe the conditions of the evaluation (required by regulation to ensure the accuracy of the results.) Include the following:
 - The style of the evaluation (e.g., arena, individual)
 - How parent/caregiver was involved
 - The evaluation setting, noting any possible impact on the child's performance
 - The child's state at the time of the evaluation (e.g., tired, irritable, hungry, alert, active).
- c. Describe how the evaluation is responsive to the cultural and linguistic background of the family (to ensure discriminatory evaluation and assessment procedures are employed). This may include:
 - A statement of the extent to which the child was exposed to different languages;
 - Whether a bilingual evaluation was indicated and conducted;
 - Whether and how an interpreter was used (the name and relationship of the interpreter to the family, if any);
 - The methodology used to conduct the bilingual evaluation with or without an interpreter and the child's response; and
 - The repertoire of words or sounds in all languages of exposure.
 - o The combined number of words in all languages that the child is exposed to need to be listed and considered together when making a determination regarding the child's developmental status.

V. Measures and/or scores that were used, if any; and an explanation of these measures or scores:

- a. Identify the instruments used and provide an explanation of the scores/ results obtained, including relevance to the child's level of functioning.
 - The instrument used must be from the SDOH preferred list of instruments
 - A justification must be provided if an instrument that is not on the preferred list is used
- b. This may include a discussion of the limitations of a tool when the evaluator has determined that the scores do not accurately reflect the child's level of functioning.
- c. For communication only where no norm referenced instrument is available or appropriate, use the qualitative criteria articulated in NYS 10NYCRR 69-4.23

VI. The child's response to the procedures and instruments used as part of the evaluation process, and the family's belief about whether the responses were optimal:

- a. Report on the child's response to all evaluation procedures. This may include the child's spontaneous response, elicited response, or facilitated response to the parent/caregiver or the evaluator, etc.
- b. Report on family's belief about whether the responses were optimal; provide individualized information.

VII. How informed clinical opinion was used by the evaluation team in assessing the child's developmental status and potential eligibility for the EIP. (As stated in Memorandum 2005-02, pg 10, and defined at 10NYCRR 69-4.1(w), informed clinical opinion, for the purposes of the EIP, is "the best use of quantitative and qualitative information by qualified personnel regarding a child, and family if applicable. Such information includes, if applicable, the child's functional status and rate of change in development and prognosis.")

- a. Based on the evaluators' professional expertise, describe any qualitative factors impacting the child's functioning.
- b. Ensure that results of procedures and instruments used from all evaluations are integrated to address discrepancies between reports, and accurately determine child's functioning ability in each developmental domain.

VIII. Report of the child's level of functioning in each of the five developmental domains; and report of the unique strengths and needs in each area.

IX. A clear statement of the child's eligibility:

If eligibility criteria are met	If eligibility criteria are not met
- A statement documenting that the child is eligible for the EIP based on a diagnosed condition with a high probability of resulting in developmental delay and associated ICD-9 code; or - A statement of developmental delay consistent with NYCRR69-4.8(a)(9)(iii) (a statement describing "the child's developmental status including objective and qualitative criteria in sufficient detail to demonstrate how the child meets the eligibility criteria for the program") and associated ICD-9 code for developmental delay	A statement documenting reasons why the child is not eligible for the EIP. <u>Examples of reasons</u>: the child's development is within acceptable limits; the child is not experiencing a developmental delay consistent with the State's definition of developmental delay (NOTE: <i>It is possible for a child to have a developmental delay and not meet the eligibility criteria for the EIP</i>)

As stated in the Memorandum 2005-02, "Eligibility cannot be made on the basis of isolated delays in specific skill areas. Rather, the MDE team must, using *their* informed clinical opinion, decide whether **composite evaluation findings, considered together**, are consistent with eligibility criteria for the EIP"

X. Nature of child's/family's transportation needs:

- a. Information includes: parents' ability or inability to provide transportation; the child's special needs related to transportation; safety issues/ parental concerns related to transportation, etc.

<u>Your Agency Name/Logo</u> Your Agency Address and Contact information Phone and Fax Number of Agency	
Regional Office:	Date:
Child's Name:	LHU:
Date of Birth:	Eligible? YES NO
The following are required for the MDE:	
Checklist Before NYEIS Implementation	Checklist After NYEIS Implementation
1. MDE Form (Multidisciplinary Evaluation Form)	<i>Not required: Replaced by NYEIS</i>
2. Medical Form/Health Assessment Information Medical form or Electronic medical record print-out signed by doctor	Required as an "MDE Attachment" in NYEIS
3. <u>Core</u> Evaluation Form	<i>Not required: Replaced by NYEIS</i>
4. Summary of MDE	Required as an "MDE Attachment" in NYEIS
5. Parent Interview	Required as an "MDE Attachment" in NYEIS
6. Parental Consent for Evaluation	Required as an "MDE Attachment" in NYEIS
7. Parental Consent to Initiate Service Coordination Agency	Not required: attached to the "Child's Integrated Home Page" by the ISC Agency
8. Parental Consent <u>to Release/Obtain</u> Information	Not required: attached to the "Child's Integrated Home Page" by the ISC Agency
9. Family Worksheet	<i>Not required: Replaced by NYEIS</i>
10. Insurance Information Form	<i>Replaced by the Information and Parental Consent for Use of Private Insurance to Cover Early Intervention Services</i> Attached to the "Child's Integrated Home Page" by the ISC Agency
The following are required for the MDE if <u>applicable</u>:	
Checklist Before NYEIS Implementation	Checklist After NYEIS Implementation
11. <u>Supplemental</u> Evaluation Form	<i>Not required: Replaced by NYEIS</i>
12. Supplemental(s):	Required as an "MDE Attachment" in NYEIS
☐ Speech Therapist ☐ Special Educator ☐ Psychologist ☐ Physical Therapist ☐ Occupational Therapist ☐ Pediatrician or Physician ☐ Audiologist ☐ Other: Language(s):	
13. Reason for Delay Form	<i>Not required: Replaced by NYEIS</i>
14. Family Assessment	Required as an "MDE Attachment" in NYEIS
15. Request for Additional Evaluations	Required as an "MDE Attachment" in NYEIS
16. Surrogate Parent Assignment by EIOD	Not required: attached to the "Child's Integrated Home Page" by the ISC Agency
17. Closure Form	Required as an "MDE Attachment" in NYEIS
Reason for Closure:	
Your Name:	Title:

Appendix A: Multidisciplinary Evaluation (MDE) vs Screenings

	Screening	Multidisciplinary Evaluation (MDE)
Description	• A brief overview of child's functioning to identify areas of concern	• A comprehensive look at child's developmental and health history • Assessment of current functioning in the 5 developmental domains
Purpose	• To determine whether a child is functioning within acceptable limits or needs further evaluation • To identify specific areas that may need to be addressed by in-depth evaluation • To identify or rule out a very specific concern (e.g. hearing loss)	• To obtain information about a child's functioning across 5 developmental domains • To determine if there is a significant delay/disorder, and if intervention is warranted • To establish initial and ongoing eligibility for Early Intervention services • To provide developmental and other information necessary to help shape recommendations for intervention • To learn and understand parent's resources, priorities and concerns
Domains	• A domain of specific concern <u>or</u> • Several domains	• Must include all 5 domains – Cognitive, Physical, Communication, Social/Emotional and Adaptive
Evaluation Personnel	• Must be conducted by a qualified personnel	• Must be conducted by qualified personnel from at least two different disciplines, one of whom shall be a specialist in the area of the child's suspected delay or disability • Evaluators must have sufficient expertise to assess all five domains, and have expertise to evaluate a particular domain in depth, as needed • Any member of the MDE team can perform parent interview
Documents Required (procedure related)	• Parental Consent(s) for evaluation(s) • Associated MDE NYEIS pages • Summary of MDE/Screening • Screening report	• Parental Consents for evaluations • Associated NYEIS pages • Evaluation reports • Parent Interview and optional Family Assessment • Summary of MDE/Screening • Health assessment • Other sources of information (w/ parent consent; e.g., medical records)

Appendix B: Best Practice Recommendations for Report Writing and Submission

When preparing the MDE report and summary, take the following best practices into account. In addition, the report and MDE summary should:

Explain any discrepancies or differences between individual evaluations, between parent report and test results, or between incidental observations of skills.

1. Describe the child's medical history including:
 - a. Birth history
 - b. Diagnosed condition (ex: Reflux)
 - c. Medications
 - d. Hospitalizations and surgeries
2. Describe the child's **recent history** when significant (separation, placement in foster care, arrival of sibling, move, hospitalization, etc.) and discuss possible impact on functioning.
3. Describe the **conditions** of the evaluation:
 - a. Setting of evaluation
 - b. Factors affecting child on the day of evaluation (sleepy, hungry, awakening from nap, etc.)
 - c. Who was present including all evaluators, if arena-style evaluation was conducted and impact on child's functioning
 - d. How the evaluator established rapport with child
 - e. How the parent's participation was facilitated
 - f. Informal and incidental observations of the child's functioning
 - g. How the child and family were introduced to the formal aspects of the evaluation process
4. Describe the child's performance through **vivid and detailed vignettes of behavior**, which will include language and behavior samples, play-based assessments, interviews with parent(s) and, when appropriate, other caregivers, to determine the child's functional developmental status.
5. Report **the family's comments** about how the child's behavior during the evaluation compares to the child's usual behavior.
6. Describe the child's **emerging skills**.
7. **Use family-friendly language**. Explain professional terms if they must be used).
8. Describe the **child's strengths** as well as **needs**.
9. When the child demonstrates a delay, explain clearly what the deficit(s) is/are, both within the context of that developmental domain as well as its impact on the child's overall development.
10. Clearly distinguish whether the delay is due to immaturity and lack of exposure and is expected to disappear with age, or is a true developmental delay.
11. **Address parental concerns clearly and fully**.
12. **Report accurately** measures, scores and any other results from the instruments that were used.

13. Provide an **explanation** of these measures, scores or results in a manner easily understandable by parents and other professionals.
14. **Interpret and integrate** information from all sources (observation of play, parent reports, other evaluations, etc.) not just tests.
15. When describing what skills the child can and cannot do, only list developmentally expected/appropriate skills.
16. **Make use of relevant available medical information** about the child to assess functioning where applicable.
17. **Always include diagnostic information** (and ICD9 code).
18. Adhere to regulations requiring use of clinical opinion in addition to formal assessment, review of pertinent health records, observations, and parental report to arrive at a determination of the **child's functioning ability**.
19. **Clearly document clinical opinion** using, where applicable, the SDOH Clinical Practice Guidelines.
20. Recommend the **types of services** that are clinically appropriate and may be needed to meet the child's needs.
 - a. **Do not make recommendations regarding frequency, duration and intensity of specific services.**
21. Make appropriate recommendations for further evaluations when concerns are raised.
22. Individualize the report. Do not use language that is "canned," "stereotyped," or inappropriate or inapplicable to early intervention (ex: "this will impact vocational skills").
23. Do not make an unwarranted prognosis beyond professional scope or expertise.
24. When eligibility status changes for any reason, ensure that reports document why child is not eligible and that an explanation has been given to the parents.

Appendix C: Informed Clinical Opinion

Developed in conjunction with the NYC Local Early Intervention Coordinating Council: Program and Services Committee (9.25.2009)

Informed Clinical Opinion (ICO) refers to a professional's use of quantitative information (based on test instruments and/or other measurable indicators), qualitative information (based on observation and interviewing) and expertise in a particular area (obtained through professional training) in order to assess an individual's overall functioning. It offers the evaluator the opportunity to utilize his/her professional knowledge in a manner that is critical in providing a better understanding of the unique strengths and needs of the individual being evaluated. In the Early Intervention Program ICO is essential for substantiating the evaluator's recommendations and should be used in conjunction with all other available information in determining eligibility for the Early Intervention Program.

ICO is a required component of every Early Intervention evaluation and Multi-Disciplinary evaluation (MDE) summary. However, it is particularly important when discrepancies exist between an evaluator's clinical impression and any of the following:

- test scores
- caregiver concerns
- findings from other evaluators.

The MDE summary, with input from all evaluators, should explain and discuss areas of agreement as well as discrepancies in order to reach a conclusion regarding the child's overall functioning and eligibility.

New York State provides the following definition of ICO:

Informed Clinical Opinion for the purposes of the Early Intervention Program is defined at 10NYCRR section 69.4.1 (w) as "the best use of quantitative and qualitative information by qualified personnel regarding a child and family, if applicable. Such information includes, if applicable, the child's functional status, rate of change in development and prognosis. When using clinical opinion the evaluator should take into consideration results of standardized instruments, clinical observation, interviews, other measures used, the concerns related to child and family and his/her own clinical background expertise."

Although these regulations underscore the importance of clinical opinion, no specific guidance is provided on how to integrate ICO into both the evaluation report and the MDE in the most useful way. The purpose of this document is to provide a resource for using ICO in the most effective manner in order to ascertain functional status, rate of change in development and prognosis and to determine eligibility for the Early Intervention Program.

Critical Factors in Formulating Informed Clinical Opinion: Individual Evaluation

Data collection

Data regarding a child's functioning is ascertained from four different sources:

1. Caregiver interview
2. Evaluator observations
3. Test performance
4. Medical and/or other relevant evaluations

1. Caregiver Interview

A caregiver interview is essential in understanding the child's functioning. The evaluator should ask open ended, non-judgmental questions regarding the child's functioning in a variety of situations which include: sleeping and eating behaviors, interpersonal relatedness, communication, adaptive skills, child behaviors (tantrums, frustration tolerance) and play activities. The information obtained from the interview should provide very specific details e.g. not only what the child likes to play with, but how the child plays with the toy. The caregiver's concerns should be investigated and responded to in the summary section of the report.

2. Evaluator Observations

The evaluator's observations are critical when substantiating clinical opinion. The evaluator should use qualitative information to create a picture of the child and describe his/her salient characteristics in a way that might not be captured in the quantitative information alone. The following information should be described in detail:

- Child's ability to attend and focus
- Quality of child's interaction with caregiver and with the examiner
- Quality of the child's independent, non-structured play with toys
- Ability of the child to transition
- Quality of the child's ability to move about in his/her environment
- Behavioral attributes, e.g., activity level
- Child's desire to explore and demonstrate curiosity about his/her environment

Whether a child can or cannot complete a specific task is important; however, equally important is the manner in which a child executes the task. Therefore, a description of the quality of the response is essential in forming a clinical opinion. The focus should be on the manner in which the child was able to complete the task: did he/she perform this task deftly and in an age appropriate manner, what strategies did the child use (e.g., using both hands when the task requires only one hand or posturing his/her body in an atypical fashion). In addition, the evaluator must understand a child's functioning within the context of normal development. How does this child's abilities compare to what is expected for his/her age?

3. Test Performance

Whenever possible, a norm referenced assessment instrument should be used to evaluate the child's functioning. However, the test score alone cannot be used to determine eligibility. State regulations require that the MDE include ICO as one of the information sources upon which eligibility is based. Norm referenced and many criterion referenced tests are standardized and can be used for the purposes of documenting a child's strengths and needs; however, they do not provide sufficient information to determine eligibility for the Early Intervention Program. Evaluators should consider the strengths and weaknesses of any test instrument and whether the needs of a specific child are best served by the test. In addition, it is important to consider the psychometric properties of a test instrument and its applicability to a particular age group. Some issues to be aware of:

- Standardized tests may contain components that inherently limit their ability to accurately assess a child's functioning. For example, a test's age range may be too broad to be sufficiently sensitive for a specific age child. Or, the test may have a low item density at the younger ages, but a more adequate density for older age groups. A low density of items may not provide sufficient information regarding the child's functioning in a specific area or an instrument has a large standard error of measurement.
- Developmental assessment instruments base their scores on developmental milestones, not on the underlying factors related to development. In some cases this may limit their ability to fully assess the child's functioning. Developmental milestones do not occur in a vacuum. They consist of many precursors within a developmental trajectory. A description of this trajectory and whether it is developmentally appropriate is critical in describing a child's functioning. For example, the number of words a child uses may be an insufficient indicator of a child's language development when considered separately from other indicators. It is equally important to assess whether the child has developed abilities necessary to form words i.e appropriate oral-motor functioning and the ability to make a variety of sounds.
- The composite or standardized score of an administered test may be rendered as relatively meaningless due to significant intra-domain discrepancies. For example, in some developmental tests fine and gross motor skills are combined into one score. This single, combined score for physical development may demonstrate a significant delay. However, the fine or gross motor scores, individually, may not demonstrate a significant delay. In these cases, an assessment of how the particular delay impacts on other developmental domains should be assessed. For example, a significant delay in the fine motor area might impact on a child's cognitive or adaptive functioning. A child with poor fine motor functioning may not be able to manipulate items in a way that helps him/her learn about his environment, thus limiting acquisition of age appropriate skills. It is critical to examine and interpret these discrepancies. The child's development should be described in comparison to how typically developing children are functioning. Any atypical abilities should be described and interpreted.

4. Medical and/or Other Relevant Evaluations

Parents may have obtained evaluations outside the EIP for their child, e.g., neurological or psychological evaluations. In addition, they may have pertinent medical records that can provide valuable information for the EIP. These evaluations cannot be used to supplant the Early Intervention Multi-Disciplinary evaluation; however, the information from these reports can and should be used to support informed clinical opinion.

Summary

Each evaluator must take the information he or she has obtained through the caregiver interview, evaluator observations, test performance and other relevant evaluations and write an evaluation report that integrates and synthesizes this information. Through this process the evaluator can then describe the significance of the evaluation and provide an interpretation of the results in a manner that can help determine eligibility.

Critical Factors in Formulating Informed Clinical Opinion: MDE Summary

The purpose of a multi-disciplinary evaluation is to assure that a child's functioning in all five domains is fully and accurately assessed to determine eligibility for the Early Intervention Program. ICO is a critical component in documenting eligibility in the MDE summary. ICO requires the integration, synthesis and interpretation of all evaluation findings. In some cases, all evaluations are in concordance and corroborate the parent's concerns. At other times, discrepancies arise among evaluations and/or the caregiver. It is the responsibility of the evaluation team to address and explain these discrepancies.

- The team should integrate information from both qualitative and quantitative data provided by each evaluator and determine the true level of functioning and address the possible reasons for the discrepancies.
- Information from the caregiver interview should be part of each separate evaluation and is an integral component in the overall assessment of the child. At times, the caregiver interview may yield discrepant information among evaluators. Each professional asks questions related to his/her field. It is not uncommon to see different perspectives of the child depending on the questions that were asked. It is the team's responsibility to review, interpret and synthesize information from the evaluators and the caregiver so that these discrepancies can be better understood and explained in the summary.
- Informed Clinical Opinion used within the context of the Team Summary can help provide information regarding how particular deficits, whether they are statistically significant or not, are impacting on the child's development across all domains and determines whether the child is eligible for therapeutic services.

New York City Early Intervention Program

Policy Title: Bilingual Evaluations	Effective Date: For All New Referrals Starting Staten Island: 7/12/2011 Bronx: 7/26/2011 Manhattan: 8/9/2011 Queens: 8/23/2011 Brooklyn: 9/7/2011
Policy Number: 4-C	Supersedes: N/A
Attachment (s): Active Providers: Language and Specialties	Regulation/Citation: 10NYCRR69-4.1 (i); 10NYCRR69-4.8 (a) (14); 10NYCRR69-4.8 (6); 10NYCRR69- 4.8 (a) (9) (v) (v); Memorandum 2005-02 FAQ 21

POLICY DESCRIPTION:

All aspects of the multidisciplinary evaluation, including any instruments, tests, and materials used in the evaluation process, must be administered in the child's dominant language unless it is clearly not feasible to do so and consider the unique characteristics of the child. In addition, nondiscriminatory evaluation and assessment procedures shall be employed in all aspects of the evaluation and assessment process. Responsiveness to the cultural background of the family shall be a primary consideration in all aspects of evaluation and assessment.

II. PROCEDURE:

Responsible Party	Action
Initial Service Coordinator	1. ISC will review the Active Providers: Language and Specialties list and allow the parent to select an Evaluation Agency with evaluators who speak the language of the child and family. a. If upon review of the <i>Language and Specialties</i> list, an appropriate evaluation agency with an appropriate MDE team cannot be located, the ISC will inquire if the evaluation agency can find an interpreter. i. The ISC assists the Evaluation Agency locate an interpreter if one cannot be located. Note: • Service Coordination notes must document the offer to family/caregiver to review the Active Providers: Languages and Specialties list in the SC notes and attempts to locate a bilingual evaluation team.
Evaluation Agency	1. Assesses the child's dominant language. a. Dominant language is defined as: the language or mode of communication used by parent or the potentially eligible child, including Braille, sign language, or other mode of communication (10 NYCRR §69-4.1(i)) b. For the purposes of the evaluation, the dominant language of the child determines the language(s) of the evaluation. (Memorandum 2005-02 FAQ 21) 2. Determines the appropriate language or languages of the Multidisciplinary

Evaluation (MDE).

3. When the child/family speaks a language other than English:

- a. Evaluation agency is expected to locate an evaluator who speaks the language(s) of the child and family to ensure that:
 - i. The child's core evaluation and any necessary supplemental evaluation(s) are performed by one or more qualified personnel who are bilingual **and if possible** familiar with the child's cultural background.

Note:

- A parent(s) **cannot** insist that the evaluation be conducted in English or refuse to have the evaluation conducted in the child's dominant language.
- If a parent does not consent to a multidisciplinary evaluation consistent with Federal and State requirements, eligibility cannot be established for the EIP and the municipality is not obligated to develop an IFSP and provide services to the child.

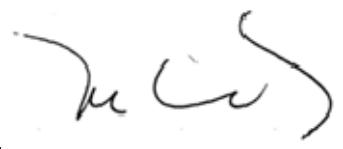
b. When a bilingual Evaluator (s) is located:

- i. Evaluator(s) should consider how the following socio-cultural factors impact the child's performance and developmental functioning:
 - Family's values, beliefs and practices
 - *Example: In some cultures, children are fed by the parent and do not have the opportunity to feed themselves until they are much older. This might look like a delay in feeding skills or adaptive development, however according to cultural practices this is the norm.*
 - Communication style
- ii. When feasible, the evaluator should use tests that have been normed and standardized on the child's linguistic and cultural group.
- iii. If a child is exposed to more than one language, the evaluation process must take the child's abilities to understand and use each language into account.
 - The receptive and expressive skills of children may develop at different rates in a bilingual/multilingual environment... Because some of the differences in language structure impact the way in which children learn the language, it may appear that a child learning English, who is also influenced by Spanish, is delayed in his language development when in fact it may be a normal variation in the learning process.
(Communication Disorders: Clinical Practice Guidelines pg. 25)

Note: Exposure to another language does not necessarily require a bilingual evaluation. SDOH memorandum 2005-2 FAQ #22

c. If the Evaluation Agency is unable to locate a bilingual evaluator:

	i. Notifies the ISC and the parent that the evaluation cannot be done using a bilingual evaluation and that an interpreter must be located. ii. Locates an interpreter who is fluent in the language(s) of the family and familiar with the culture of the family Note: Interpreter should receive information on the procedural aspects of the evaluation and how the interpretation should occur during the evaluation iii. Evaluation agency should document attempts made to locate an interpreter • The evaluation agency bills for the multidisciplinary evaluation at the bilingual rate. iii. When an interpreter is used, the evaluator should document how interpretation was provided during the evaluation and the way it may have affected the child's performance d. If the Evaluation Agency cannot locate a bilingual interpreter, a friend or acquaintance of the family who speaks both languages may be used. i. If the family is unable to locate someone who speaks the language, the parent may be used as a last resort. • Use of the parent or family member presents significant difficulties in the validity of the evaluation results. Note: • Parent cannot be required to use family members/friends as interpreters. • Prior to using an interpreter for common languages (e.g. Spanish), the evaluation agency should contact the Regional Office or Program Monitoring and Quality Improvement for assistance in locating a bilingual evaluator.
Regional Office/ Program Monitoring and Quality Improvement	1. Offer technical assistance to evaluation agencies in locating bilingual evaluators/interpreters
Evaluation Agency	Once the Evaluation is complete: 1. To the extent feasible and within the parent's preference: a. The MDE Summary and oral summary of the evaluation must be provided in the language or other mode of communication of the parent.

Approved By: 
Assistant Commissioner, Early Intervention

Date: 7/19/11

New York City Early Intervention Program

Policy Title: Assessing Transportation Needs in The Multidisciplinary Evaluation	Effective Date For All Referrals Starting Staten Island: 7/12/2011 Bronx: 7/26/2011 Manhattan: 8/9/2011 Queens: 8/23/2011 Brooklyn: 9/7/2011
Policy Number/Attachment: 4-D	Supersedes:
Department/Unit: Bureau of Early Intervention	Regulation/Citation: 10 NYCRR 69-4.8(a)(4)(v)

I. POLICY DESCRIPTION:

Evaluations conducted under the Early Intervention Program must address the issue of the transportation needs of the child, and include this information in the evaluation report without regard to the eligibility of the child for early intervention services at the time of the evaluation. The evaluation team must address the issue of transportation with parent(s) as detailed below, and document the family's responses. A discussion of the transportation needs may be incorporated into any evaluation report, or into the parent interview or family assessment, as determined by the evaluation team.

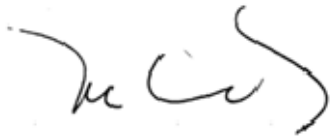
Consideration of this issue is mandated by Section 69-4.9(a)(4)(v) of the NYS Regulations, which provides that the evaluation shall include:

- (v) an evaluation of the transportation needs of the child, which shall include:
 - a) Parental ability or inability to provide transportation;
 - b) The child's special needs related to transportation; and
 - c) Safety issues/parental concerns related to transportation.

II. PROCEDURE:

Responsible Party	Action
Early Intervention Evaluator	1. Assess the transportation needs for services outside the home with the parent during the course of the Multidisciplinary Evaluation. a. The following continuum of transportation services should be discussed: i. No transportation needed ii. Parent/guardian may be able to transport child via public transportation or car iii. Parent /guardian unable to transport child – state reason iv. School bus/car service v. Special transportation due to child's medical needs vi. Other needs (e.g., which family members or a nurse will accompany child to services) – be specific.

	b. The evaluation report must address the following transportation issues: i. The child's history • Sufficient background and information must be given to justify a recommendation for the parent to accompany the child to group developmental services. i. A conclusion that the parent should or should not accompany the child will not be considered sufficient. ii. Medical needs of the child that would dictate a particular means of transportation. (e.g. wheelchair bus) iii. The need for specialized medical equipment or personnel to accompany the child should be cited. Note: • If there is no specified medical need for a certain kind of transportation, it is premature for the evaluation to recommend a particular type of transportation. • Transportation type will then be determined at the IFSP meeting when it is decided what services the child will be receiving and on what schedule. 2. Assessment of transportation need must be included in the evaluation report and the MDE summary when the full MDE packet is submitted to the Regional Office via NYEIS for review. a. Complete submission procedures are located in the Policy on Multidisciplinary Evaluations in this chapter of the manual.



Approved By: _____
Assistant Commissioner, Early Intervention

Date: 7/19/2011

NYEIS Multidisciplinary Evaluation (MDE) Crosswalk

NYEIS Multidisciplinary Evaluation Crosswalk - Screening

7/2011



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Screening Necessary: Savannah Claudio - 300348

Was a screening deemed necessary?: 1

SaveCancel



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Modify Screening: Savannah Claudio - 300348

SaveCancel

Child Details

Name: Savannah Claudio

Date of Birth: 12/23/2009

Primary Phone Number: (123) 456

Evaluation Due By: 6/29/2011

Primary Address: 16 court street
brooklyn (Kings (Brooklyn))
New York 11241

Evaluator Agency Details

Agency Name: TIPSE - Toddlers and Infants Program for
Special E

Agency State ID: 3076

Evaluator NPI: 4959414

Reviewer Name: TIPSE - Toddlers and Infants Program for
Special E

Evaluator Details

Evaluator Name:

Qualified Personnel:

Evaluator NPI:

Date Assigned:

Screening Location

If selected location is other than "Child's Home", must enter "Location Address". If location is at a provider's site, must select the "Provider Location".

Location Type: 2

Location Address: 16 court street
brooklyn (Kings (Brooklyn))
New York 11241

Provider Location:

Screen Domains 3

☐ Domain

☐ Adaptive

☐ Cognitive

Concern About Specific Domains 4

☐ Domain

☐ Adaptive

☐ Cognitive

NYEIS Multidisciplinary Evaluation Crosswalk -Screening Cont.

7/2011

Reason for Screen (Choose all that apply)

Concern about child's overall development?:	Yes	5
Concern about child's hearing?:	No	6
Concern about child's vision?:	No	7
Performed specific diagnostic screening test?:	No	8
If yes, which test?:	9	

Parent Informed

Was parent informed of results?:	Yes	10	If yes, enter date informed:	7/28/20	11

Screening Details

Date Screening Completed or Decision Not to Screen:	12	
Screening Results:	Parent Requested E	13

Save Cancel

NYSEIS Multidisciplinary Evaluation: Instructions for Completion

Note: NYEIS navigation instructions appear in *italics*

Screening - This section in NYEIS replaces the Screening Data Entry Form

- *Select “Screening” from the NYEIS navigation bar*
- *Select “New”*

1. **Was a screening deemed necessary?** Select from the drop - down list:
 - a. No - Either the parent is requesting an evaluation, or the child is suspected of having a delay in one or more functional domains
 - b. Yes - The parent may be requesting a screening, or indicating that the child may appear to be slightly delayed
 - c. No - child w/ diagnosed condition - Children with a diagnosed condition that makes them automatically eligible for the EIP should not be screened, but should proceed to an MDE.

Note:

- If the child was referred with a “confirmed eligibility diagnosis,” a screening is not permitted.
 - If the child was referred with a “suspected delay,” the screening section must be completed.
- *Select “Save” when the selection is complete*
 - *If either “No” option is selected, the screening section is complete*
 - *If “Yes” is selected, the NYEIS Screening page will appear. The fields below must be completed:*
2. **Location type** – Select the location from the drop - down list. If the location is other than “Child’s Home,” the “Location Address” must be entered. If location is a provider’s site, must select the “Provider Location.”
 3. **Screen domains** - Select all areas that were screened. These areas must be reflected in the Screening report
 4. **Concern about specific domains** - Select the area(s) for which the evaluator found a possible delay.
 5. **Concern about child’s overall development?** - Select yes or no.
 6. **Concern about hearing?** Select yes or no. If yes is selected, the MDE should address hearing
 7. **Concern about vision?** Select yes or no. If yes is selected, the MDE should address vision
 8. **Performed specific diagnostic screening test?** Select yes or no.
 9. **If yes, which test?** Select the specific test from the drop - down.
 10. **Was parent informed of the results?** - Select yes or no. The parent must be informed of the results
 11. **Date informed** - Enter the date that the screening results were discussed with the parent
 12. **Date screening completed or decision not to screen** - Enter the date that the screening was completed.
 13. **Screening results** - Select from the drop - down list:
 - a. **Passed** - No MDE needed. Child scored within normal limits and the parent does not request further testing.
 - b. **Child needs MDE** - Child is showing a possible delay in one or more developmental domains
 - c. **Parent requests MDE** - Child does not show a possible delay, but the parent wants an MDE due to continued concerns.
- *Select “Save” to complete the Screening section*
 - *The View Screening page will appear*
 - *Select “Change/ Assign Rendering Provider” to document the qualified personnel who completed the screening*

- *Enter evaluator name or % (wildcard)*
- *Select the staff member conducting the screening*
- *The staff member must be already entered as a licensed/certified professional in your agency's "Employees/Contractor" section of NYEIS.*

When screening is performed and an MDE does not need to be completed:

- *From the MDE homepage select "View" under the "MDE Summary Details" section*
- *Select "Edit"*
 - *Under the Eligibility category*
 - *Eligibility Status - Select "No MDE, screening only."*
 - *Under the Diagnosis Details category*
 - *Screening Only Diagnosis Code - Enter the appropriate "V" code (usually V79.3)*
- *Enter "Save"*
- *Attach the screening summary and screening report in the "MDE Attachments" section*
 - *Refer to the **MDE Policy** for detailed attachment instructions*
 - *The screening can now be submitted in NYEIS.*

NYEIS Multidisciplinary Evaluation Crosswalk – Developmental Assessment (Core)

7/2011

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View Developmental Assessment: Savannah Claudio - 300348

EditClose

Child Details

Name:	Savannah Claudio	Date of Birth:	12/23/2009
Primary Phone Number:	(123) 456	Evaluation Due By:	6/29/2011
Primary Address:	16 court street brooklyn (Kings (Brooklyn)) New York 11241		

Evaluator Agency Details

Agency Name:	TIPSE - Toddlers and Infants Program for Special E	Agency State ID:	3076
Agency NPI:	4959414	Reviewer Name:	TIPSE - Toddlers and Infants Program for Special E

Qualified Personnel Involved

New

Action	Date Assigned	Rendering Provider	Qualified Personnel

Developmental Domain Results

2

Action	Domain	Developmental Status	Discipline/QP	Date Completed
View Cancel	Adaptive			
View Cancel	Cognitive			
View Cancel	Communication			
View Cancel	Social/Emotional			
View Cancel	Physical			

Location

Location Type:	
Location Address:	Provider Location:

NYEIS Multidisciplinary Evaluation Crosswalk – Developmental Assessment (Core)

7/2011

Location

Location Type:

Location Address:Provider Location:

Evaluation Diagnosis Results

EI Eligible Diagnosis Code:

Other Eligible Diagnosis Code:

If other ICD code, justification:

Date of Diagnosis:

Diagnosis Made By:

Bilingual Evaluation?:

If yes, language:

If Other, description:

Date Developmental Assessment Complete:

Evaluation Methods

New

Evaluation Method

Standardized Test

Diagnostic Tests Administered

3

Action

Test Name

Date Test Administered

General Evaluation Comments

Parent Caregiver Report/Comments

Edit

Close

NYEIS MDE Crosswalk – Developmental Assessment (Core)

7/2011

navigation

recent items

Modify Developmental Domain Details: Savannah Claudio - 300348

Save

Cancel

Child Details

Name: Savannah Claudio

Date of Birth: 12/23/2009

Primary Phone Number: (123) 456

Evaluation Due By: 6/29/2011

Primary Address: 16 court street
brooklyn (Kings (Brooklyn))
New York 11241

Evaluator Agency Details

Agency Name: TIPSE - Toddlers and Infants Program for
Special E

Agency State ID: 3076

Agency NPI: 4959414

Reviewer Name: TIPSE - Toddlers and Infants Program for
Special E

Evaluator Details

Evaluator Name: Wendy Welch

Evaluator NPI: 331417

Qualified Personnel: Speech Language Pathologist

Developmental Domain Details

Developmental Domain: Communication

Domain Status: 1

Date Completed: 2

Evidence-Based Criteria

3

If no test appropriate or test inadequately represents child's developmental level, a delay in the area of communication shall be a severe delay or marked regression in communication development as determined by specific qualitative evidence-based criteria articulated in clinical practice guidelines issued by the Department. Please select all that apply.

Child younger than 18 months of age

Child 18 months of age or older

☐ Criteria

Documentation that the child has attained none of the normal language milestones expected for children in the next younger age range, and none for the upper limit of the child's current chronological age range, and the presence of a preponderance of established prognostic indicators of communication delay that

☐ Criteria

No single words by 18 months of age

☐ Criteria

Vocabulary of fewer than 30 words by 24 months of age

☐ Criteria

No two-word combinations by 36 months of age

Comments

4

Save

Cancel

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NYEIS Multidisciplinary Evaluation Crosswalk – Developmental Assessment (Core)

7/2011

NY Early Intervention System

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navigation

Modify Developmental Assessment: Savannah Claudio - 300348

SaveCancel

Location

If selected location is other than "Child's Home", must enter "Location Address". If location is at a provider's site, must select the "Provider Location".

Location Type: 1

Location Address: 2

Provider Location: 3

Evaluation Diagnosis Results

EI Eligible Diagnosis Code: 4

Other Eligible Diagnosis Code: 5

If other ICD code, justification: 6

Date of Diagnosis: 7

Diagnosis Made By: 8

Bilingual Evaluation?: 9

If yes, language: 10

If Other, description: 11

Date Developmental Assessment Complete: 12

Evaluation Methods

☐ Evaluation Method 13

☐ Clinical Assessment

☐ Informed Clinical Opinion

☐ Evaluator Observation

☐ Parent/Caregiver Report

☐ Standardized Test

☐ Criterion Referenced Test

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NYEIS Multidisciplinary Evaluation Crosswalk – Developmental Assessment (Core)

7/2011

NY Early Intervention System

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navigation

Modify Developmental Assessment: Savannah Claudio - 300348

SaveCancel

General Evaluation Comments12

Parent Caregiver Report/Comments13

SaveCancel

NYEIS Multidisciplinary Evaluation Instructions for Completion

Note: NYEIS navigation instructions appear in *italics*

Developmental Assessment (Core) - This section in NYEIS replaces the Core Evaluation Data Entry Form

- *Select “Developmental Assessment” from the NYEIS navigation bar*
- *Select “New”*
- *Select “Edit”*

1. **Qualified personnel involved** - Select “New”

- a. *Enter evaluator name or % (wildcard)*
- b. *Select the staff conducting each part of the developmental assessment (a minimum of two must be selected)*
 - i. *Only one staff member can be entered at one time. Repeat this step for each person who conducted the developmental assessment.*
- c. *The staff member must be already entered as a licensed/certified professional in your agency’s “Employees/Contractor” section of NYEIS.*

2. **Developmental domain results** - Select “View” to complete each domain

- a. *NYEIS will prompt the user to select the qualified personnel involved in the assessment of the selected domain*
- b. *Select “edit” to enter the developmental domain results*
- c. *The “Modify Developmental Assessment” screen will appear*
 - i. *Refer to the Modify Developmental Assessment Screen below on this page*

3. **Diagnostic test administered** - Select “New”

- a. *“Add Diagnostic Test Administered” will appear*
 - i. *Test Name - Select the test administered from the drop down list*
 - *The drop down list provided is the SDOH Preferred List of Tools*
 - ii. *If Other, enter test name – If a tool is used that is not on the preferred list, a justification must be provided*
 - *Justify why other test used*
 - iii. *Date Test Administered*
 - iv. *Standard Deviation*
 - v. *Percentile Rank*
 - vi. *Mean*
 - vii. *T - Score*
 - viii. *Z - Score*
 - *Complete only the necessary fields “v – viii” according to the test manual.*

Modify Developmental Domain Details

1. **Domain status** - Select from the drop - down list

- a. *No delay - development within acceptable ranges*
- b. *2.0+ SD below the mean - sufficient alone for eligibility*
- c. *1.5+SD below the mean - similar delay in another functional area needed to establish eligibility*
- d. *12 month delay - sufficient alone for eligibility*
- e. *33% or more delay - sufficient alone for eligibility*
- f. *25% or more delay - similar delay in another functional area needed to establish eligibility*
 - i. *For the communication domain:*

If a test was not administered, or does not represent the child’s functioning, select one of the following options from the drop - down list:

 - a. *No Standardized Test Appropriate, or*

b. Test Inadequately Represents Child's Developmental Level

Note: The following options are used only to evaluate for on - going eligibility:

- SD or more below the mean
- Outside expected range

2. **Date completed** - The date the evaluation for this Domain is completed
3. **Evidence - based criteria** (Communication Domain ONLY) - This section **must** be completed when the following options were chosen for the Communication Domain Status:
 - a. No Standardized Test Appropriate,
 - b. Test inadequately represents child's developmental level.
 - i. Dependent on the child's age (either younger or older than 18 months) select all applicable options in the list.

Note: The evidence - based criteria section **cannot** be completed if a numeric domain status was entered, (for example, 2.0 SD below the mean, etc.).

4. **Comments** - Comments are not mandatory, since the evaluation reports must be attached in the "MDE Attachments Section"
 - *Select "Save" once all of the information has been entered*
 - *Repeat the process to enter Developmental Assessment results for each developmental domain:*
 - *Complete the remaining Developmental Assessment fields by selecting "edit" from the "View Developmental Assessment" Screen*
 - *The "Modify Developmental Assessment" page will appear*

Modify Developmental Assessment

1. **Location type** - Select the location from the drop down list. If the location is other than "Child's Home," the "Location Address" must be entered. If location is at a provider's site, must select the "Provider Location."
2. **EI eligible diagnosis code** - If a child has an automatic eligibility condition, the condition must be entered in this box. Click the magnifying glass to search for the applicable diagnosis
3. **Other eligible diagnosis code** - The diagnosis (and ICD 9 code number) which makes the child eligible must be listed. Click on the magnifying glass to search for the appropriate code
4. **If other ICD code, justification** - Provide a reason as to why the code was selected
5. **Date of diagnosis** - Provide the date that the diagnosis was made
6. **Diagnosis made by** - Select from the drop - down list. If the diagnosis was made by an external source, documentation must be included in the MDE attachments section and the "External Evaluations" section must be completed.
7. **Bilingual evaluation** - Select Yes or No. Refer to the **Bilingual Evaluation Policy**
8. **If yes, language** - Select from drop - down list
9. **If other, description** - If language of evaluation is not found in the drop down list, please enter the name of the language.
10. **Date Developmental Assessment Complete** - Enter the date that the Core evaluation was completed.
11. **Evaluation methods** - Select all evaluation methods used for this child.
 - a. The developmental status should reflect an integration of test results, parent report, and informed clinical opinion.
 - i. If "standardized test" or "criterion referenced test" is selected, the "diagnostic test administered" must be entered from the "View Developmental Assessment screen"
12. **General evaluation comments and Parent/caregiver report comments** - Enter "No comments necessary – report attached"
 - *Select "Save"*

NYEIS Multidisciplinary Evaluation Crosswalk – Supplemental Evaluation

7/2011

**NYEIS Sandbox**
(Practice use only - no real live data)

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navigation

recent items

View Supplemental Evaluation: Savannah Claudio - 300348

EditClose

Child Details

Name:	Savannah Claudio	Date of Birth:	12/23/2009
Primary Phone Number:	(123) 456	Evaluation Due By:	6/29/2011
Primary Address:	16 court street brooklyn (Kings (Brooklyn)) New York 11241		

Evaluator Agency Details

Agency Name:	TIPSE - Toddlers and Infants Program for Special E	Agency State ID:	3076
Evaluator NPI:	4959414	Reviewer Name:	TIPSE - Toddlers and Infants Program for Special E

Evaluator Details

Evaluator Name:	Rachel Roundtree	Evaluator NPI:	446369
Qualified Personnel:	Teacher of Special Education	Date Assigned:	7/29/2011

Type of Evaluation

In Depth Assessment - Developmental Domain:	Diagnostic Evaluation - General Area:

Developmental Domain Results

New

Action	Domain	Developmental Status	Qualified Personnel	Date Completed

Location

Location Address:	Location Type:	Provider Location:

Type of Evaluation

In Depth Assessment - Developmental Domain:		Diagnostic Evaluation - General Area:	

Developmental Domain Results

Domain	Developmental Status	Qualified Personnel	Date Completed

Location

If selected location is other than "Child's Home", must enter "Location Address". If location is at a provider's site, must select the "Provider Location".

Location Address:	Location Type:	Provider Location:

NYEIS Multidisciplinary Evaluation Instructions for Completion

Note: NYEIS navigation instructions appear in *italics*

Supplemental evaluation - This section in NYEIS replaces the Supplemental Evaluation Data Entry Form

- *Select “Supplemental Evaluation” from the NYEIS navigation bar*
- *Select “New”*
- *The “Search Evaluator for Assignment” screen will appear*
 - Enter evaluator name or % (wildcard) under “Search Evaluator for Assignment”
 - Select the assigned employee/contractor
 - The staff member(s) must be already entered as a licensed/certified professional in your agency’s “Employees/Contractor” section of NYEIS.

1. Developmental domain results - Select “New”

a. Select the developmental domain

i. Select “Save”

- Enter the “Domain Status” field and then refer to the description of “Domain Status and Date Completed” in Developmental Assessment section
- “Date Completed” - Enter the date that the supplemental evaluation was completed. **Supplemental evaluations CANNOT be conducted before the developmental assessment (core)**

2. Select “In - Depth Assessment” **OR** “Diagnostic Evaluation” to complete this section to explain the purpose for the external evaluation. If an in - depth assessment for a developmental domain was needed, select the domain for which the supplemental evaluation is being conducted; **OR** if there was an area of general concern, such as hearing or vision, select the **Diagnostic Evaluation – General Area**.

Refer to the Developmental Assessment instructions for all remaining NYEIS field under the Supplemental Evaluation category

NYEIS Multidisciplinary Evaluation Crosswalk – Family Assessment

7/2011

NYEIS Sandbox: (Practice use only - no real live data)

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navigation

- MDE Home
- Screening
- Developmental Assessment
- Family Assessment

Family Assessment: Savannah Claudio - 300348

New Assessment Offered and Refused

1

Action	Date Assigned	Date Completed	Qualified Personnel	Rendering Provider	Bilingual

NYEIS Sandbox: (Practice use only - no real live data)

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navigation

recent items

View Family Assessment: Savannah Claudio - 300348

Edit Close

Child Details

Name:	Savannah Claudio	Date of Birth:	12/23/2009
Primary Phone Number:	(123) 456	Evaluation Due By:	6/29/2011
Primary Address:	16 court street brooklyn (Kings (Brooklyn)) New York 11241	Status:	Assigned

Evaluator Agency Details

Agency Name:	TIPSE - Toddlers and Infants Program for Special E	Agency State ID:	3076
Evaluator NPI:	4959414	Reviewer Name:	TIPSE - Toddlers and Infants Program for Special E

Change/Assign Rendering Provider

Evaluator Details

Evaluator Name:	Wendy Welch	Evaluator NPI:	331417
Qualified Personnel:	Speech Language Pathologist	Date Assigned:	7/29/2011

Methods Used To Conduct Family Assessment

Family Assessment Tool:	Tool name:
Other Method:	If "Other Method", describe:
Personal Interview:	

Family Participants

New

2

Action	Name	Relationship

NYEIS Multidisciplinary Evaluation Crosswalk – Family Assessment

7/2011

Methods Used To Conduct Family Assessment	
Family Assessment Tool:	1 2
Other Method:	3 4
Personal Interview:	5

Family Participants	
Name	Relationship

I want to know more about	I want help for my family in the following areas
6 7	
☐ Select Area	☐ Select Area
☐ Meeting with other families	☐ Coping with my child's disability/special needs
☐ Housing, clothing, jobs, food, telephone	☐ Modifying our home environment to help our child
☐ Finding/working with doctors/other specialists	☐ Help/training in helping my child grow/develop
☐ Planning for the future, what to expect	☐ Integrating our child into community activities
☐ My child's disability or area of need(s), what it means	☐ People who can help me care for my child
☐ People who can help me care for my child	☐ Helping my child's siblings adjust
☐ Ways to have fun as a family	
☐ Other kinds of help that might be available	Other:
☐ Equipment/supplies	
☐ Ideas for brothers/sisters/friends, extended family	
Other:	

Comments
8

Evaluation Details	
Date Family Assessment Completed:	9
Bilingual Evaluation?:	10
If yes, language:	11
If Other, description:	12

Save

Cancel

NYEIS Multidisciplinary Evaluation Instructions for Completion

Note: NYEIS navigation instructions appear in *italics*

Family Assessment

- *Select “Family Assessment” from the NYEIS navigation bar*

Note: A family assessment must be offered to all families. A family assessment is the family’s determination of their needs and strengths. A formal tool may be used, or the evaluator may use this page in NYEIS to guide a discussion with the parents. This information is used to assist in developing outcomes or service coordinator tasks for the child’s IFSP. The family assessment may be integrated into an evaluator’s report or written as an individual report.

1. Select either: “Assessment Offered and Refused” or “New”

- a. *If selecting “Assessment Offered and Refused”*
 - i. *Confirm by indicating “Yes”*
- b. *If choosing “New,” the “Search Evaluator for Assignment” screen will appear*
 - i. *Enter evaluator name or % (wildcard) under “Search Evaluator for Assignment”*
 - ii. *Select the assigned employee/contractor*
 - iii. *The staff member(s) must be already entered as a licensed/certified professional in your agency’s “Employees/Contractor” section of NYEIS.*

- *Once the evaluator has been assigned, the “View Family Assessment” screen will appear*

2. Family participants - Select “New”

- a. **Name** – Enter the name of the family member participants
- b. **Relationship** – Select the relationship of the family participant
 - *Select “Save,” or “Save and New” to enter additional participants*
 - *Once the “Family Participants” section is complete, the “View Family Assessment” screen will appear*
 - *Select “Edit” to complete the remaining family assessment fields on the “Modify Family Assessment” page*

Modify Family Assessment

1. **Family assessment tool** - Indicate whether a formal tool was used by selecting Yes or No.
2. **Tool name** - If a formal tool was used, indicate the name.
3. **Other method** - Select Yes or No.
4. **If other method, describe** - Enter how the family assessment was conducted.
5. **Personal interview** - Select yes or no.
6. **I want to know more about** - Indicate if there are other areas for which the parent needs more information.
7. **I want help for my family in the following areas** - Indicate if there are other areas in which the parent needs help
8. **Comments** - Enter any other comments or reference an evaluator’s report (for example “See social work report,” “Family assessment attached,” “Name of foster care agency involved in the evaluation,” etc.)
9. **Date family assessment completed** - Select date.
10. **Bilingual evaluation** - Select Yes or No. Refer to the [Bilingual Evaluation Policy](#)
11. **If yes, enter language** - Select the appropriate language from the drop - down list
12. **If other, description** - If language of evaluation is not found in the drop - down list, enter the name of the language.
 - *Select “Save”*

NYEIS Multidisciplinary Evaluation Crosswalk – External Evaluations

7/2011

**NYEIS Sandbox:**
(Practice use only - no real live data)

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recent items

Create External Evaluation: Savannah Claudio - 300348

SaveCancel

Child Details

Name:	Savannah Claudio	Date of Birth:	12/23/2009
Primary Phone Number:	(123) 456	Evaluation Due By:	6/29/2011
Primary Address:	16 court street brooklyn (Kings (Brooklyn)) New York 11241		

Evaluator Agency Details

Agency Name:	TIPSE - Toddlers and Infants Program for Special E	Agency State ID:	3076
Agency NPI:	4959414	Reviewer Name:	TIPSE - Toddlers and Infants Program for Special E

Evaluator Details

*Evaluator Name:	1	*Agency Affiliation Name:	2
*Profession:	3		
*Date Evaluation Conducted:	4		

Please Check All That Apply 5

☐ Obtained records with parental consent

☐ Reviewed child's records

☐ Consulted with external evaluator by phone or through correspondence

☐ Used results to establish eligibility - in-depth assessment

☐ Used results to establish eligibility - diagnostic evaluation

☐ Used results to meet requirements for the child's health assessment

Type of Evaluation 6

In Depth Assessment - Developmental Domain:		Diagnostic Evaluation - General Area:	

NYEIS Multidisciplinary Evaluation Crosswalk – External Evaluations

7/2011

Approved Evaluator Team Must Certify That 7

The procedures used by the external evaluator were performed in a manner consistent with EIP requirements:

The findings were used to augment and not replace the evaluation to determine eligibility:

There are no indications present which suggest the need to repeat the tests or procedures performed by the evaluator:

Health Assessment

If health assessment was performed, we certify that it was performed recently enough that a new assessment is not needed:

General Health Status/Health Concerns 9

Evaluation Diagnosis Result

Other Diagnosis Code:



Other Diagnosis Code:



Other Diagnosis Code:



Date Completed:

Bilingual Evaluation?:

If yes, language:

If Other, description:

Evaluation Methods 15

☐

Evaluation Method

☐

Clinical Assessment

☐

Informed Clinical Opinion

☐

Evaluator Observation

☐

Parent/Caregiver Report

☐

Standardized Test

☐

Criterion Referenced Test

General Evaluation Comments 16

Save

Cancel

NYEIS Multidisciplinary Evaluation Instructions for Completion

Note: NYEIS navigation instructions appear in *italics*

External Evaluations - Completed this section if a non-EI contracted evaluation is being included as part of the MDE.

- *Select “External Evaluations” from the NYEIS navigation bar*
- *Select “New”*

1. **Evaluator name** - Enter the name of the evaluator
2. **Agency affiliation** - Enter the agency that the evaluator works for
3. **Profession** - Select from the drop down list
4. **Enter date of evaluation** - Select date from the calendar
5. **Please check all that apply** - Indicate the manner in which external evaluation sources were used to inform the MDE
6. Select “In - Depth Assessment” **OR** “Diagnostic Evaluation” to complete this section to explain the purpose for the external evaluation. If an in - depth assessment for a developmental domain was needed, select the domain assessed by the external evaluation; **OR** if there was an area of general concern, such as hearing or vision, select the **Diagnostic Evaluation - General Area**.
7. **Approved evaluator must certify the following regarding the use of the external evaluation:**
 - a. The procedures used by the external evaluator were performed in a manner consistent with EIP requirements
 - b. The findings were used to augment and not replace the evaluation to determine eligibility
 - c. There are no indications present which suggest the need to repeat the tests or procedures performed by the external evaluator
8. **Health assessment** - Complete this section if an external medical specialist (developmental pediatrician, nephrologist, audiologist, ENT, etc.) is used. When an external medical specialist is used, certify that the health assessment was performed recently enough that a new assessment is not needed
9. **General health status/health concerns** - Indicate that the relevant health assessment documentation is included in the MDE Attachments section
10. **Other diagnosis code** - Enter ICD code indicated as a result of the external evaluation
11. **Date completed** - Select date
12. **Bilingual evaluation** - Select Yes or No. Refer to the [Bilingual Evaluation Policy](#)
13. **If yes, enter language** - Select the appropriate language from the drop - down list
14. **If other, description** - If language of evaluation is not found in the drop - down list, enter the name of the language
15. **Evaluation methods** - Choose all methods used by the external evaluator
16. **General evaluation comments** - Indicate that the report is attached

- *Select “Save”*

NYEIS Multidisciplinary Evaluation Crosswalk – MDE Summary

7/2011

**NYEIS Sandbox:**
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navigation

- MDE Home
- Screening
- Developmental Assessment
- Family Assessment
- Supplemental Evaluations
- External Evaluations
- MDE Attachments
- MDE Validation Errors

recent items

Create MDE: Savannah Claudio - 300348

Record results of the MDE using left hand navigation links prior to completing MDE Summary.

SubmitClosePrint MDE

Child Details

Name:	Savannah Claudio	Date of Birth:	12/23/2009
Primary Phone Number:	(123) 456	Evaluation Due By:	6/29/2011
Primary Address:	16 court street brooklyn (Kings (Brooklyn)) New York 11241	Reason for Delay:	

Completed Sections

Screening	No Screening Necessary
Developmental Assessment - Adaptive	Completed
Developmental Assessment - Cognitive	Completed
Developmental Assessment - Communication	Completed
Developmental Assessment - Social/Emotional	Completed
Developmental Assessment - Physical	Completed
Family Assessment	Offered and Refused

MDE Summary Details

View

1

Date Eligibility Determined:	Date Provider Completed:
Eligibility Status:	

EIO/D Evaluation Rejection Reasons

Rejection Date	Reason Code	Reason

SubmitClosePrint MDE

NYEIS Multidisciplinary Evaluation Crosswalk – MDE Summary

7/2011

(Practice use only - no real live data)

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recent items

Modify MDE Summary: Savannah Claudio - 300348

Evaluator Agency Details

Agency Name:	TIPSE - Toddlers and Infants Program for Special E	Agency State ID:	3076
Agency NPI:	4959414	Reviewer Name:	TIPSE - Toddlers and Infants Program for Special E

Evaluators Assigned

Evaluator Name	Affiliated Agency	Qualified Personnel	Individual NPI
TIPSE - Toddlers and Infants Program for Special E	TIPSE - Toddlers and Infants Program for Special E		4959414
TIPSE - Toddlers and Infants Program for Special E	TIPSE - Toddlers and Infants Program for Special E		4959414
Rachel Roundtree	TIPSE - Toddlers and Infants Program for Special E	Teacher of Special Education	446369
Rachel Roundtree	TIPSE - Toddlers and Infants Program for Special E	Teacher of Special Education	446369
Rachel Roundtree	TIPSE - Toddlers and Infants Program for Special E	Teacher of Special Education	446369
Rachel Roundtree	TIPSE - Toddlers and Infants Program for Special E	Teacher of Special Education	446369
Wendy Welch	TIPSE - Toddlers and Infants Program for Special E	Speech Language Pathologist	331417

External Evaluators

Evaluator Name	Agency Affiliation	Date of Evaluation	Profession

Eligibility

Eligibility Status:	1
Date Eligibility Determined:	2
Date Full MDE Completed:	3
Parent(s) received summary of MDE?:	4
Parent(s) received summary of MDE in their dominant language:	5
Parent(s) received the full evaluation report:	6

NYEIS Multidisciplinary Evaluation Crosswalk - MDE Summary Cont.

7/2011

Diagnosis Details	
EI Eligible Diagnosis Code:	7 
Date of Diagnosis:	8 
Diagnosis Made By:	9 
Other Eligible Diagnosis Code:	10 
If other ICD code, Justification:	11
Other Diagnosis not related to eligibility:	12 
Other Diagnosis not related to eligibility:	
Other Diagnosis not related to eligibility:	
Screening Only Diagnosis Code:	13 

Evaluation Methods Used	
Evaluation Name	Method Used
Developmental	
Supplemental	

Eligibility Statement 14
State the reason for the child's eligibility determination including evaluation methods and how informed clinical opinion was used to make this determination

Child Transportation Needs 15
Is parent able to provide transportation?:
List any special needs, safety issues and parental concerns related to transportation

NYEIS Multidisciplinary Evaluation Instructions for Completion

Note: NYEIS navigation instructions appear in *italics*

MDE Home (MDE Summary) - This section of NYEIS replaces the MDE Summary Form

- *Upon completion of the MDE, select “MDE Home” from the navigation bar. The results from the Developmental Assessment (Core), Supplemental Evaluations, Screening, and Family Assessment will be automatically populated.*

1. MDE summary details - Select “View”

- a. *The “View MDE Summary” page will appear*
 - i. *Select “Edit” to complete the MDE Summary*
 - ii. *The “Modify MDE Summary” page will appear*

Modify MDE Summary

1. **Eligibility status** - Using the results of the evaluation, indicate the status from the drop - down list.
 - a. **Eligible - Developmental delay** - The child is eligible due to delay(s) determined through evaluation.
 - b. **Eligible diagnosed condition** - The child is automatically eligible due to a medically or clinically diagnosed condition with a high probability of developmental delay. The MDE report must include documentation that the diagnosis was made by an appropriately licensed/certified professional. Please refer to the guidance document from NYS DOH (**Early Intervention Memorandum 1999 – 2 - Reporting of Children’s Eligibility Status Based on Diagnosed Conditions with High Probability of Developmental Delay**) which defines each condition and the qualified personnel who can diagnose the condition.
 - c. **No MDE - Screening only** - Select if only a screening was conducted, no evaluation
 - i. A screening may not be conducted after eligibility has been determined.
 - ii. Refer to the [Screening Crosswalk](#) for detailed instructions of entering screening information into NYEIS
 - d. **Not Eligible - Statement required** - Attach evaluation report.

Note: Ensure that the eligibility status matches the information obtained from the developmental assessment and supplemental evaluation(s)

2. Date eligibility determined

- a. If the child is eligible because of a diagnosed condition, use the date of the evaluation that determined the condition.
 - b. If the child is eligible because of a developmental delay, use the date the evaluation summary is completed.
3. **Date full MDE completed** - Indicate the date that the evaluation summary was completed.
 4. **Parent(s) received summary of MDE** - Select Yes or No. Parent must receive a copy of the MDE for the MDE to be submitted.
 5. **Parent(s) received summary of MDE in their dominant language** - Select Yes or No.
 6. **Parent(s) received the full evaluation report** - Select Yes or No.
 7. **EI eligible diagnosis code** - If a child has an automatic eligibility condition, the condition must be entered in this box.
 - a. *Click the magnifying glass*

- b. *NYEIS will generate a list that only includes the ICD - 9 codes entered in previous sections of the MDE*
8. **Date of diagnosis** - Provide the date that the diagnosis was made
 9. **Diagnosis made by** - Select from the drop - down list. If the diagnosis was made by an external source, documentation must be included in the MDE attachments section and the “External Evaluations” section must be completed.
 10. **Other eligible diagnosis code** - The diagnosis (and ICD 9 code number) which makes the child eligible must be listed.
 - a. *Click the magnifying glass*
 - b. *NYEIS will generate a list that only includes the ICD - 9 codes entered in previous sections of the MDE*
 11. **If other ICD code, justification** - Provide a reason why the code was selected
 12. **Other diagnosis not related to eligibility** - Select all other diagnoses as indicated from the developmental evaluation and supplemental evaluation(s).
 13. **Screening Only diagnosis code** - Enter the appropriate “V” code (usually V79.3)
 14. **Eligibility statement** - Indicate “MDE summary attached”
 15. **Child transportation needs** - Select Yes or No.
 - a. The Multidisciplinary Evaluation must indicate the transportation needs of the child.
 - i. Consideration shall first be given to provision of transportation by a parent of a child to early intervention services.
 - ii. Transportation may be provided or the parent may be reimbursed at a mileage rate authorized by the municipality for the use of a private vehicle or for other reasonable transportation costs, including public transportation, tolls, and parking fees.
 - iii. If the parent has indicated an inability to provide or access transportation, the evaluator must explain the reason.
 - iv. Refer to the **Assessing Transportation Needs Policy**
 - *Select “Save”*
 - *Select “Close”*

After all of the necessary NYEIS MDE screens are complete, attach the necessary MDE attachments and submit the MDE as per the **MDE Policy**.

Chapter 5: Individualized Family Service Plan (IFSP)

New York City Early Intervention Program

Policy Title: Individualized Family Service Plan Scheduling Policy	Effective Date: 6/4/2012
Policy Number: 5-A	Supersedes: 5-A – Dated June 1, 2010
Applicable Forms: - IFSP Meeting Request and Confirmation Form - Notice of IFSP Meeting (IFSP meeting notice for parents/surrogates)	Regulation/Citation: NYCRR 69-4.11(a)(1); NYCRR69-4.11(a)(5); NYCRR 69 4.20 (b)(4); Early Intervention Administrative Contract with NYS

I. POLICY DESCRIPTION:

“If the evaluator determines that the infant or toddler is an eligible child, the early intervention official shall convene a meeting within 45 days of the receipt of the child’s referral, to develop the initial IFSP, except under exceptional circumstances, including illness of the child or parent.” **(NYCRR 69-4.11(a)(1))**

“Meeting arrangements must be made with, and written notice provided to, the family and other participants early enough before the meeting date to ensure that they will be able to attend.” **(NYCRR 69-4.11(a)(5))**

“A member of the team performing the Child's Evaluation shall attend meetings for the purposes of developing and reviewing the initial IFSP of a Child. Exceptions to such attendance shall be in accordance with Section 69-4.11(a) (2) (iii) (a) of the Regulations. Under this regulation, in the event that a telephone conference call is to be done, arrangements for such shall be made before the IFSP meeting with appropriate Department employees, and where a knowledgeable authorized representative not a member of the team is to attend, this representative shall be an individual within the category of Qualified Personnel under the Regulations and shall have reviewed the findings of the Evaluation and have discussed it with the Qualified Personnel of the team who conducted the Evaluation.

If the child is over two years of age, the IFSP meeting may be combined with a transition conference (refer to Early Intervention Transition Timelines and Age-Out Dates). “With parent consent, the early intervention official shall convene a conference with the parent, service coordinator, and the chairperson of the Committee on Preschool Special Education or designee, at least 90 days prior to the child’s eligibility for services under Education Law, Section 4410, or no later than 90 days before the child’s third birthday, whichever is first to review program options and if appropriate, establish a transition plan.” **(NYCRR 69-4.20(b)(4))**

The Individualized Family Service Plan Scheduling Policy applies to all IFSP meetings.

Note:

- Instructions for navigating NYEIS are denoted in *italics* in the body of this Policy

II. PROCEDURE:

Responsible Party	Action
Regional Office Scheduling Unit	1. Checks the “My Cases” for the NYEIS Menu Bar multiple times per day to determine if any child’s case status has been updated to “MDE accepted” a. Initial IFSP scheduling should begin on the same day that the Multidisciplinary Evaluation is accepted in NYEIS by the Regional Office (RO). 2. Contacts the SC or SC agency representative, via telephone or fax, to determine the family’s preference for Individualized Family Service Plan (IFSP) meeting time and location.
Initial/Ongoing Service Coordinator (SC)	1. Responds to the ROs request for scheduling or initiates scheduling by verbally confirming the meeting time (includes the need for additional IFSP time), date, and location of meeting with: a. RO Scheduler, b. Parent/surrogate, c. ACS and/or foster care agency staff (if applicable), d. Evaluation representative or interventionist, and e. Others (with parental/surrogate consent). Note: • Scheduling is a dynamic process, depending on the case; the ISC may initiate the Initial IFSP scheduling process based on child and family circumstance. - o The ISC should initiate the discussion regarding scheduling preferences at the initial home visit with the parent/surrogate (for example: days of the week or times in the day that the parent/surrogate is not available), in order to expedite the scheduling process. • It is expected that the SC will initiate Review and Annual meeting scheduling in most cases. - o The OSC should discuss scheduling preferences via ongoing phone conversations. 2. Sends IFSP Meeting Request/Confirmation Form to the RO within 48 hours of receiving verbal confirmation. a. An evaluation representative or an interventionist must be present at Initial and Annual IFSP meetings. b. If the evaluation representative or interventionist cancels, the SC must notify the RO 24 hours before the scheduled meeting of their availability by phone. i. The SC will notify the RO by completing and faxing Section IV of the IFSP Meeting Request/Confirmation Form. c. If the evaluation site representative/interventionist is available by phone, s/he should be available for the pertinent portions of the meeting as required by the EIOD (at a minimum: the discussion of the evaluation, progress, outcome determination, and recommendations for services). i. In the rare circumstance that an evaluation site representative or interventionist is not available in person or by phone, a written report must be made available in advance of the meeting. • The SC must contact the RO at least one (1) business day before the IFSP to obtain approval for convening the IFSP

SC Cont.	in the absence of an evaluation site representative. Note: Repeated occurrences of unavailability of evaluation site representatives, interventionist, or written report will be reported to the EIP Provider Oversight Unit for follow-up. d. SC must bring a copy of the faxed notification to the Initial or Annual IFSP meeting. Note: • Scheduling staff may remove the meeting request from the schedule (calendar) when written confirmation is not received within 48 hours of the verbal confirmation. • Scheduling staff will call SC to confirm cancellation before removing the meeting request from the calendar. <u>IFSP Review (6/18/36 month review) Meetings:</u> 1. OSC will submit the IFSP Meeting Request/Confirmation Form to the RO within 48 hours of verbal confirmation, and note if: a. The parent/surrogate would like to exercise the option of a review of records without the EIOD present. b. The parent/surrogate would like to exercise the option of a conference call with the EIOD resent by phone. i. A working telephone number for the conference must be included, on the IFSP Meeting Request/Confirmation Form. c. Any interventionist(s) who is unable to attend should be available by phone. i. Participation is required for the pertinent portions of the meeting as indicated by the EIOD. ii. OSC must send to the RO, via fax, the participant's telephone number. Note: Refer to the IFSP Review and Annual Meeting Policy for details regarding review of records without the EIOD present. <u>Transition</u> 1. Prior to the IFSP closest to the child's second birthday, transition out of the EIP must be explained to the parent/surrogate by the OSC. 2. At the IFSP closest to the child's second birthday, a Transition Plan must be developed. a. A Transition Conference can only be scheduled with parental/surrogate consent. b. A Transition Conference should include ACS and/or foster care agency staff (if applicable). c. The Transition Conference can be scheduled in conjunction with an Initial, Annual, or Review IFSP meeting (see note below). 3. A representative from the Committee on Preschool Special Education (CPSE) must be invited to a Transition Conference. CPSE administrators are not required to attend the Transition Conference in person; they may be available by phone. 4. The EIOD must be present at a Transition Conference. a. If an IFSP Review Meeting is scheduled as a Transition Conference, the EIOD must be present. 5. The ISC/OSC must submit the Consent for Transition Conference form signed

SC Cont.	by the parent/surrogate when requesting a Transition Conference with the IFSP Meeting/ Confirmation Form. a. Refer to the Transition Out of Early Intervention Policy. Note: While participation in a Transition Conference is voluntary on the part of the parent/surrogate, a Transition Conference should be encouraged because it provides family with helpful information about options after leaving the Early Intervention Program.
Regional Office Scheduling Unit	1. Completes and faxes Section II of the IFSP Meeting Request/Confirmation Form: a. The form will indicate confirmation of the IFSP date requested. b. Confirmation for the IFSP is certain only after the Scheduling Unit faxes back a signed IFSP Meeting Request/Confirmation Form. i. Attaches IFSP Meeting/Request/Confirmation Form to the child's integrated case • <i>From the Inbox Menu Button – Click on “My Cases”</i> • <i>Select the “Case Reference” which will navigate to the “Integrated Case Home Page”</i> • <i>Select “Attachments” and Select “New”</i> • <i>On the Create Attachment screen: Browse for the file to attach.</i> • <i>Complete the fields under “File Details”</i> ○ <i>DO NOT enter any information in the Location and Reference fields</i> ○ <i>Select the Document type</i> ○ <i>Receipt date must be the date that the attachment is made</i> ○ <i>Complete the Attachment Description field by listing the name of the form being attached</i> • <i>Click “Save”</i> c. If the IFSP cannot be confirmed, the Scheduler will give a reason via phone or fax.
Initial/ Ongoing Service Coordinator (SC)	1. Receives confirmation of IFSP date, time and location from RO: a. ISC/OSC sends written confirmation to all attendees no later than 2 days before the scheduled IFSP meeting. i. See Parent Notice of IFSP Meeting. ii. Final IFSP Meeting Request/Confirmation Form and Parent Notice of IFSP Meeting are kept in the child's Service Coordination file. iii. Parent Notice of IFSP Meeting must be attached to the child's integrated case in NYEIS (instructions above) 2. Does <u>not</u> receive confirmation of IFSP date and time from RO Or The ISC or OSC, Evaluation Representative, Interventionist, Foster Care Case Planner, or Parent/Surrogate needs to reschedule: a. ISC/ OSC must submit a new IFSP Request/Confirmation Form with a new date and time. b. ISC/OSC must fill out Section III of the IFSP Request/Confirmation Form with the new submission. c. Reason for IFSP meeting reschedule must be included.

SC Cont.

Note: If an evaluation representative or interventionist is not available for the IFSP meeting, **24 hour advance notice** must be submitted to the Regional Office/EIOD via fax.

A handwritten signature in black ink, appearing to be 'MCS'.

Approved By:
Assistant Commissioner, Early Intervention

Date: 4/09/2012



IFSP Meeting Request / Confirmation Form

Section I: IFSP Meeting Request: Completed by Service Coordinator

Date:	Regional Office Fax # 718-722-7766	Attn(Scheduler):
Child's Initials	EI #:	Family's phone #
Service Coordinator	SC Phone #:	SC Fax #:

Type of IFSP: Initial ☐ or ☐ Paper Review of IFSP: No formal meeting requested by parent due to no requested changes to the e plan (SC must submit a copy of this form with the paper review to the EIOD)

Date of IFSP: _____ Location of IFSP Meeting: Other: _____

Time of IFSP: _____ Address: _____

Phone #(s) of IFSP meeting location : _____

Special Circumstances: _____

Service Coordinator must send written confirmation of the IFSP meeting no later than 2 days before the meeting to:

☐ Parent ☐ Eval. Site/Interventionist ☐ Foster Care Agency ☐ CPSE Administrator ☐ Other: _____

Written confirmations must always be sent to the Regional Office within 48 hours of verbal confirmation

Section II: Meeting Confirmation: Completed by Regional Office

☐ The above IFSP request is confirmed ☐ The above IFSP request CANNOT be confirmed (Select reason): Other: _____

Signature _____ Date: _____

Section III: Reschedule: Completed by Service Coordinator

Previous IFSP meeting was cancelled due to: ☐ Parent ☐ Eval. Rep ☐ SC ☐ EIOD

Service Coordinator must send written confirmation of the IFSP meeting no later than 2 days before the meeting to:

Date confirmation sent _____ ☐ Parent ☐ Eval. Site ☐ Foster Care Agency ☐ CPSE Administrator

Written confirmations must always be sent to the Regional Office within 48 hours of verbal confirmation

Section IV: FAX Confirmation of Provider Availability by Phone: Completed by Service Coordinator

Any person participating by phone is expected to call into the meeting. Providers participating by phone must be available for pertinent portions of the meeting. Provider will forward a signed attestation page to the EIOD during or within 24 hours of the IFSP meeting.

Who will be available by phone?

☐ Eval Site Representative ☐ Interventionist ☐ CPSE Representative ☐ Other _____

Phone #(s) of person available by phone: _____

The Service Coordinator MUST notify the RO of the change 24 hrs before the meeting by completing and Faxing Section IV of this form.



IFSP Meeting Request / Confirmation Form

Section I: IFSP Meeting Request: Completed by Service Coordinator

Date:	Regional Office Fax # 718-410-4528	Attn(Scheduler):
Child's Initials	EI #:	Family's phone #
Service Coordinator	SC Phone #:	SC Fax #:

Type of IFSP: Initial ☐ or ☐ Paper Review of IFSP: No formal meeting requested by parent due to no requested changes to the e plan (SC must submit a copy of this form with the paper review to the EIOD)

Date of IFSP: _____ Location of IFSP Meeting: Other: _____

Time of IFSP: _____ Address: _____

Phone #(s) of IFSP meeting location : _____

Special Circumstances: _____

Service Coordinator must send written confirmation of the IFSP meeting no later than 2 days before the meeting to:

☐ Parent ☐ Eval. Site/Interventionist ☐ Foster Care Agency ☐ CPSE Administrator ☐ Other: _____

Written confirmations must always be sent to the Regional Office within 48 hours of verbal confirmation

Section II: Meeting Confirmation: Completed by Regional Office

☐ The above IFSP request is confirmed ☐ The above IFSP request CANNOT be confirmed (Select reason): Other: _____

Signature _____ Date: _____

Section III: Reschedule: Completed by Service Coordinator

Previous IFSP meeting was cancelled due to: ☐ Parent ☐ Eval. Rep ☐ SC ☐ EIOD

Service Coordinator must send written confirmation of the IFSP meeting no later than 2 days before the meeting to:

Date confirmation sent _____ ☐ Parent ☐ Eval. Site ☐ Foster Care Agency ☐ CPSE Administrator

Written confirmations must always be sent to the Regional Office within 48 hours of verbal confirmation

Section IV: FAX Confirmation of Provider Availability by Phone: Completed by Service Coordinator

Any person participating by phone is expected to call into the meeting. Providers participating by phone must be available for pertinent portions of the meeting. Provider will forward a signed attestation page to the EIOD during or within 24 hours of the IFSP meeting.

Who will be available by phone?

☐ Eval Site Representative ☐ Interventionist ☐ CPSE Representative ☐ Other _____

Phone #(s) of person available by phone: _____

The Service Coordinator MUST notify the RO of the change 24 hrs before the meeting by completing and Faxing Section IV of this form.



IFSP Meeting Request / Confirmation Form

Section I: IFSP Meeting Request: Completed by Service Coordinator

Date:	Regional Office Fax # 347-396-8065	Attn(Scheduler):
Child's Initials	EI #:	Family's phone #
Service Coordinator	SC Phone #:	SC Fax #:

Type of IFSP: Initial or ☐ Paper Review of IFSP: No formal meeting requested by parent due to no requested changes to the e plan (SC must submit a copy of this form with the paper review to the EIOD)

Date of IFSP: _____ Location of IFSP Meeting: Other: _____

Time of IFSP: _____ Address: _____

Phone #(s) of IFSP meeting location : _____

Special Circumstances: _____

Service Coordinator must send written confirmation of the IFSP meeting no later than 2 days before the meeting to:

☐ Parent ☐ Eval. Site/Interventionist ☐ Foster Care Agency ☐ CPSE Administrator ☐ Other: _____

Written confirmations must always be sent to the Regional Office within 48 hours of verbal confirmation

Section II: Meeting Confirmation: Completed by Regional Office

☐ The above IFSP request is confirmed ☐ The above IFSP request CANNOT be confirmed (Select reason): Other: _____

Signature _____ Date: _____

Section III: Reschedule: Completed by Service Coordinator

Previous IFSP meeting was cancelled due to: ☐ Parent ☐ Eval. Rep ☐ SC ☐ EIOD

Service Coordinator must send written confirmation of the IFSP meeting no later than 2 days before the meeting to:

Date confirmation sent _____ ☐ Parent ☐ Eval. Site ☐ Foster Care Agency ☐ CPSE Administrator

Written confirmations must always be sent to the Regional Office within 48 hours of verbal confirmation

Section IV: FAX Confirmation of Provider Availability by Phone: Completed by Service Coordinator

Any person participating by phone is expected to call into the meeting. Providers participating by phone must be available for pertinent portions of the meeting. Provider will forward a signed attestation page to the EIOD during or within 24 hours of the IFSP meeting.

Who will be available by phone?

☐ Eval Site Representative ☐ Interventionist ☐ CPSE Representative ☐ Other _____

Phone #(s) of person available by phone: _____

The Service Coordinator MUST notify the RO of the change 24 hrs before the meeting by completing and Faxing Section IV of this form.



IFSP Meeting Request / Confirmation Form

Section I: IFSP Meeting Request: Completed by Service Coordinator

Date:	Regional Office Fax #	Attn(Scheduler):
Child's Initials	EI #:	Family's phone #
Service Coordinator	SC Phone #:	SC Fax #:

Type of IFSP: Initial ☐ or ☐ Paper Review of IFSP: No formal meeting requested by parent due to no requested changes to the e plan (SC must submit a copy of this form with the paper review to the EIOD)

Date of IFSP: _____ Location of IFSP Meeting: Other: _____

Time of IFSP: _____ Address: _____

Phone #(s) of IFSP meeting location : _____

Special Circumstances: _____

Service Coordinator must send written confirmation of the IFSP meeting no later than 2 days before the meeting to:

☐ Parent ☐ Eval. Site/Interventionist ☐ Foster Care Agency ☐ CPSE Administrator ☐ Other: _____

Written confirmations must always be sent to the Regional Office within 48 hours of verbal confirmation

Section II: Meeting Confirmation: Completed by Regional Office

☐ The above IFSP request is confirmed ☐ The above IFSP request CANNOT be confirmed (Select reason): Other: _____

Signature _____ Date: _____

Section III: Reschedule: Completed by Service Coordinator

Previous IFSP meeting was cancelled due to: ☐ Parent ☐ Eval. Rep ☐ SC ☐ EIOD

Service Coordinator must send written confirmation of the IFSP meeting no later than 2 days before the meeting to:

Date confirmation sent _____ ☐ Parent ☐ Eval. Site ☐ Foster Care Agency ☐ CPSE Administrator

Written confirmations must always be sent to the Regional Office within 48 hours of verbal confirmation

Section IV: FAX Confirmation of Provider Availability by Phone: Completed by Service Coordinator

Any person participating by phone is expected to call into the meeting. Providers participating by phone must be available for pertinent portions of the meeting. Provider will forward a signed attestation page to the EIOD during or within 24 hours of the IFSP meeting.

Who will be available by phone?

☐ Eval Site Representative ☐ Interventionist ☐ CPSE Representative ☐ Other _____

Phone #(s) of person available by phone: _____

The Service Coordinator MUST notify the RO of the change 24 hrs before the meeting by completing and Faxing Section IV of this form.



IFSP Meeting Request / Confirmation Form

Section I: IFSP Meeting Request: Completed by Service Coordinator

Date:	Regional Office Fax # 347-396-8067	Attn(Scheduler):
Child's Initials	EI #:	Family's phone #
Service Coordinator	SC Phone #:	SC Fax #:

Type of IFSP: Initial ☐ or ☐ Paper Review of IFSP: No formal meeting requested by parent due to no requested changes to the e plan (SC must submit a copy of this form with the paper review to the EIOD)

Date of IFSP: _____ Location of IFSP Meeting: Other: _____

Time of IFSP: _____ Address: _____

Phone #(s) of IFSP meeting location : _____

Special Circumstances: _____

Service Coordinator must send written confirmation of the IFSP meeting no later than 2 days before the meeting to:

☐ Parent ☐ Eval. Site/Interventionist ☐ Foster Care Agency ☐ CPSE Administrator ☐ Other: _____

Written confirmations must always be sent to the Regional Office within 48 hours of verbal confirmation

Section II: Meeting Confirmation: Completed by Regional Office

☐ The above IFSP request is confirmed ☐ The above IFSP request CANNOT be confirmed (Select reason): Other: _____

Signature _____ Date: _____

Section III: Reschedule: Completed by Service Coordinator

Previous IFSP meeting was cancelled due to: ☐ Parent ☐ Eval. Rep ☐ SC ☐ EIOD

Service Coordinator must send written confirmation of the IFSP meeting no later than 2 days before the meeting to:

Date confirmation sent _____ ☐ Parent ☐ Eval. Site ☐ Foster Care Agency ☐ CPSE Administrator

Written confirmations must always be sent to the Regional Office within 48 hours of verbal confirmation

Section IV: FAX Confirmation of Provider Availability by Phone: Completed by Service Coordinator

Any person participating by phone is expected to call into the meeting. Providers participating by phone must be available for pertinent portions of the meeting. Provider will forward a signed attestation page to the EIOD during or within 24 hours of the IFSP meeting.

Who will be available by phone?

☐ Eval Site Representative ☐ Interventionist ☐ CPSE Representative ☐ Other _____

Phone #(s) of person available by phone: _____

The Service Coordinator MUST notify the RO of the change 24 hrs before the meeting by completing and Faxing Section IV of this form.

**INSTRUCTIONS FOR COMPLETION
IFSP MEETING REQUEST/ CONFIRMATION FORM**

The Service Coordinator (SC) will work with the family to determine a convenient meeting time, date and location for their participation in the IFSP. The Regional Office (RO) will contact the SC by telephone, to determine the family's preference for the meeting. Once the SC is contacted, he/she will complete the IFSP Meeting Request/Confirmation Form as appropriate.

Section I: Completed by SC to submit IFSP meeting request

NOTE: The form has been modified to enable drop-down lists and typed completion of form.

1. **Date** - Write date that the form is sent to the RO
2. **Child's Initials** - First name initial, then last name initial
3. **EI #** - Child's EI ID # or Integrated Case Number
4. **Family's phone #** - A phone number where the family can be reached at all times
5. **Service coordinator**- Name of SC assigned to the child and family, phone and fax numbers for the SC
6. **Type of IFSP**- Use drop-down list to choose IFSP type
7. **Date & Time Requested for IFSP** – Write the date and time of the IFSP meeting **AFTER** it is verbally confirmed with RO Scheduling Unit, parent/guardian, evaluation site representative and others (if applicable and with parent consent).
8. **Location of IFSP Meeting, and Address** – Use the drop-down list to indicate location and write the address **AFTER** it is verbally confirmed with the RO Scheduling Unit, parent/guardian, evaluation site representative and others (if applicable and with parent consent).
9. **Phone Number of IFSP meeting location** - The phone number to be called by members participating by phone.
10. **Special Circumstances:** Describe any special circumstances for which you are requesting more time for the meeting when the situation is complex enough to warrant additional time. It should not be presumed that certain diagnoses, e.g., PDD/autism, will need additional time. As appropriate, the RO will try to schedule additional time.
11. **Service Coordinator must send written confirmation no later than 2 days before the meeting to** – Check the boxes for those invited to attend and sent written confirmation of the scheduled meeting. Send copies of written confirmations to the RO within 48 hours of the verbal confirmation.

Section II: Completed by RO Scheduling Unit when confirming a requested or rescheduled IFSP meeting:

1. **The above IFSP request is confirmed** – Check the first box to confirm meeting if SC faxes form to RO within 48 hours of verbal confirmation.
2. **The above IFSP request CANNOT be confirmed for the following reasons** – Check this box if meeting cannot be confirmed and indicate reason(s). If this form is not received within 48 hours of verbal confirmation, the meeting slot will be removed from the schedule.
3. **Signature and Date** – RO staff will sign, date, and fax back to the SC final confirmation of the meeting request. Meetings are considered confirmed only after the RO faxes back, at least two days before the IFSP date, a signed confirmation/written notice to the SC. A copy of this form will be filed in the child's chart.

Section III: Complete only if the request is to reschedule an already confirmed meeting.

1. **Previous IFSP meeting was cancelled due to** – Check the box (es) indicating who cancelled the previous IFSP meeting when rescheduling.
2. **Service Coordinator must send written confirmation no later than 2 days before the meeting to** - Check those who you invited to attend and sent written confirmation of scheduled meeting. Write date confirmation was sent. Send copies of written confirmations to the RO within 48 hours of verbal confirmation.

Section IV: Complete only if the Evaluation representative, Interventionist or CPSE representative will be available by phone for the meeting.

1. **Who will be available by phone** – Check the appropriate box to indicate who will be available via conference call.
2. **Phone Number(s) of person available by phone** – Provide all the phone number(s) of any individual participating by phone.

The SC must complete and fax this form to the RO at least 24 hours prior to the IFSP meeting when s/he finds out that any of the participants will be available by phone. A copy of the fax confirmation of this form should be brought to the IFSP meeting.

The evaluation site representative or interventionist is expected to call in at the scheduled time of the meeting and to be available for the pertinent portions of the meeting as required by the EIOD (at a minimum: the discussion of the evaluation, outcome determination and recommendations for services).

- The evaluation site representative or interventionist is expected to fax to the EIOD his/her signed attestation (**IFSP Consent For Services Form**) within 24 hours of the IFSP meeting.

Unless the signed attestation form is received from the evaluation site representative or the interventionist, this participant will be considered absent from the meeting.

**NYC Early Intervention Program
Notice of IFSP Meeting**

Parent's Name

Date

Address

Dear _____,

As we discussed, an IFSP meeting has been scheduled for your child. The IFSP meeting will be held on (date/time) _____ at (location) _____

As we also discussed, if available, please bring the following information to the meeting:

1. Health insurance information;
2. Social Security Numbers for you and your child;

If you do not have some of this information, services will still be authorized for your child and family.

You have the following rights at the IFSP meeting:

1. You have the right to participate in the IFSP meeting where the needs of your child and family are discussed and a service plan is developed.
2. You have the right to consent to or refuse to consent to any services recommended at the IFSP meeting. If you give consent for services, you can withdraw it at any time.
3. You have the right to review and obtain copies of all records used for the meeting.
4. You have the right to disagree with some parts of the IFSP and you may file a systems complaint or request mediation or an impartial hearing (due process). Please refer to **A Parent's Guide to the Early Intervention Program** if you need more information:

www.health.state.ny.us/community/infants_children/early_intervention

5. If you request due process, all services in dispute must continue without change until after the mediation and/or impartial hearing is held.

If the time or place listed above is not convenient for you or you have any additional questions, we can reschedule this meeting. Please call me at (_____)_____ if you have any questions.

Sincerely,

Name

Title

Programa de Intervención Temprana de la Ciudad de New York
Notificación de la Reunión Individualizada de Servicios para la Familia

Nombre de Padre

Fecha

Dirección

Estimado _____,

Como acordamos anteriormente, una reunión para desarrollar un plan de servicios individualizado para la familia (IFSP) ha sido programada para su niño/a.

La reunión se llevara a cabo el _____ en

_____.

Como también acordamos, si los tiene disponible, por favor traiga con usted la siguiente información:

1. Información sobre seguro medico
2. Números de Seguro Social para usted y su niño/a.

Si no tiene esta información, esto no impide que se le autoricen los servicios para su niño y familia.

Usted tiene los siguientes derechos en esta reunión:

1. Tiene derecho de participar en la reunión donde se hablara sobre las necesidades de su niño/a y familia y se desarrollará un plan de servicios.
2. Tiene el derecho de dar su consentimiento o rehusar a dar su consentimiento a cualquiera de los servicios recomendados en la reunión. Si da su consentimiento, puede revocar ese consentimiento en cualquier momento.
3. Tiene el derecho a revisar y obtener copias de todos los documentos usados en esta reunión.
4. Tiene el derecho de estar en desacuerdo con algunas partes del plan de servicios y puede pedir una mediación y/o una audiencia imparcial. Por favor refiérase a la Guía para los Padres del Programa de Intervención Temprana si necesita mas información:
www.health.state.ny.us/community/infants_children/early_intervention
5. Si pide una mediación y/o audiencia imparcial, todos los servicios que se disputan continuaran sin cambios hasta que la mediacion y/o audiencia imparcial se lleve a cabo.

Si el lugar o la hora de esta reunión no son convenientes para usted o tiene preguntas adicionales, podemos cambiar la fecha. Por favor llámeme al _____ con sus preguntas.

Sinceramente,

Nombre

Titulo

New York City Early Intervention Program

Policy Title: The Initial Individualized Family Service Plan Meeting	Effective Date: 6/4/2012
Policy Number: 5-B	Supersedes: 5-B (June, 2010)
Applicable Forms: - Consent to Obtain/Release Information (If applicable) - “Your Family Rights in Early Intervention” - Social Security Number Collection Form IFSP Forms - Page 1: Identifying Information (Eliminated by NYEIS) - Page 2: Current Development, and Family Concerns (Eliminated by NYEIS) - Page 3: Daily Routine s, Parent Priorities and Resources (Eliminated by NYEIS) - Page 4: Functional Outcomes (Eliminated by NYEIS) - Page 5: Service plan: Service Setting and Incorporating Interventions into Natural Routines (Eliminated by NYEIS) - Page 5a: Service Authorization Data Entry Form (Eliminated by NYEIS) - Page 5b: Co-visits (Eliminated by NYEIS) - Page 6: Transportation, Assistive Technology, and Respite Services (Eliminated by NYEIS) - Page 7: Service Coordination Activities (Eliminated by NYEIS) - Page 7A and 7B: Transition Plan (Eliminated by NYEIS) - Page 8: Attestations, Consent for Services (Eliminated by NYEIS) - Transportation Data Entry Form (Eliminated by NYEIS) - Assistive Technology Data Entry Form (Eliminated by NYEIS) - IFSP Meeting Consent for Services Form (NEW)	Regulation/Citation: NYCRR 69-4.11(a)(1); NYCRR 69-4.11 (6); Early Intervention Memorandum 95-2

I. POLICY DESCRIPTION:

“If the evaluator determines that the infant or toddler is an eligible child, the early intervention official shall convene a meeting within 45 days of the receipt of the child’s referral, to develop the initial IFSP...(NYCRR 69-4.11(a)(1)) ”

“The early intervention official, initial service coordinator, parent and evaluator or designated contact for the evaluation team shall jointly develop an IFSP for a parent who requests services. (NYCRR 69-4.11(6))”

“The written IFSP document is developed through a collaborative planning process intended to result in a service package tailored to the child ’s unique developmental strengths and needs, and responsive to the family’s concerns, resources, and priorities for their child’s development.... The team goal is to:

- Develop outcomes to meet child and family needs that are relevant to the Early Intervention Program.
- Agree on appropriate Early Intervention services that will be provided to achieve identified outcomes.
- Identify and mobilize other services and supports which are not reimbursed or required by the Early Intervention Program, but will enhance the child’s development and family’s capacity to care for their child.” (Early Intervention Memorandum 95-2)

Note:

- Instructions for navigating NYEIS are denoted in *italics* in the body of this Policy

II. PROCEDURE:

Responsible Party	Action
Early Intervention Official Designee (EIOD)	The Initial Individualized Family Service Plan (IFSP) meeting is convened at a time and place convenient to the family and within 45 calendar days of receipt of the child’s referral to the New York City Early Intervention Program (EIP). The IFSP is the written plan for providing Early Intervention (EI) services to an eligible child and family. The IFSP is an agreement between the parent/surrogate and the Early Intervention Official Designee (EIOD). The IFSP is developed collaboratively by a team of individuals. Each member of the team serves a primary role: • Parent(s)/Surrogate(s): Describes the child; provides information on the family’s concerns, priorities, and resources; collaborates with the other team members to develop desired outcomes for the child and family for the next six (6) months; determines with the EIOD what services will be authorized. • Initial Service Coordinator (ISC): Provides support to the family during the meeting, encouraging their participation; contributes to the discussion as appropriate, enters the IFSP information into NYEIS. • Early Intervention Official Designee (EIOD): Facilitates and guides the meeting ensuring team participation; determines with the parent/surrogate what services will be authorized. • Evaluator: Participates in the development of the IFSP by providing clinical input based on the Multidisciplinary Evaluation (MDE). • Advocate or person outside the family (if invited by the parent/surrogate). • Foster care caseworker (if appropriate). • Committee of Pre-school Special Education (CPSE) administrator (if Initial IFSP is also a Transition Conference). • Service providers (as appropriate). • Other persons such as the child's primary health care provider or child care provider whom the parent(s)/surrogate(s) or ISC (with the parent's/surrogate's consent) may invite. 1. The EIOD facilitates the IFSP meeting by: • Introducing all members, reviewing parent/surrogate rights; and • Encouraging the active participation of the parent(s)/surrogate(s), the representative of the evaluation team, the ISC, and any other individual(s) present. 2. The EIOD determines if the parent(s)/surrogate(s): a. Received the written MDE report and summary, “Your Family Rights in Early Intervention,” and “A Parent’s Guide”. i. If parent/surrogate has not received a copy of “A Parent’s Guide”: • EIOD will provide a copy or the web link (with parental/surrogate consent) to the guide by the end of the meeting. b. Provided insurance information i. If the parent/surrogate has not provided insurance information or has updates to the insurance information, the EIOD: • Informs the parent/surrogate about the use of insurance information for the EIP. • Checks the “Integrated Case Home” page “Attachments” to ensure

EIOD Cont.

that a copy of the child's insurance card is present

- *If the Insurance card attachment is missing, obtains a copy of the Insurance card to attach to NYEIS*
- *Updates/Completes the "Insurance Coverage" screen in NYEIS*
 - *Click on "My Cases" from the Menu Bar*
 - *Select "Primary Client" in the case list*
 - *Select "Insurance Coverage" from the navigation page*
 - *Select any of the following insurance actions:*
 - *New commercial insurance, or*
 - *New Medicaid coverage*
 - *When completing the "Commercial Coverage" screen, find the parent's/surrogate's insurance provider by following the following steps:*
 - *Enter the wildcard "%" into the "Insurance Provider" field to obtain a complete list of insurers*
 - *Select the correct insurer*
 - *Click on the magnifying glass to select the correct address for the selected insurer*
 - *Enter the Insurance Sequence Number to indicate whether this insurance should be billed first*
 - *Commercial Insurance must be billed before Medicaid and, therefore, would be first*

Note:

- **The Insurance Information Form** should only be used if the Insurance Provider Name cannot be found on the Insurance Provider search screen.
- Medicaid coverage information must always be entered into NYEIS.

c. Provided Social Security Information

- i. **Social Security Number Collection Form** MUST be completed by the EIOD as per State Department of Health (SDOH) guidance.
- ii. **The Social Security Collection Form will stay in the child's paper file in the Regional Office. It will NOT be attached to the case in NYEIS.**

Note: The Early Intervention Program (EIP) will provide services whether or not the parent/surrogate provides Social Security Numbers.

d. Understands the results of the evaluation

- i. If parent/surrogate has not received a written copy of the MDE and summary, the EIOD:
 - Asks if the parent/surrogate feels comfortable proceeding with the meeting if the evaluation team representative explains the results before the meeting begins, and if not,
 - Postpones the IFSP meeting until the parent/surrogate has had an opportunity to read and discuss the results of the MDE with the Evaluator, and share reactions to the MDE with the ISC.

3. Team completes IFSP in NYEIS:

- a. *Click on "My Cases" from the Menu Bar*
- b. *Select the Case Reference Number for the case you wish to work on*
- c. *Select "IFSP's" from the Child Integrated Case navigation menu*
- d. *Select "... an Initial IFSP"*
- e. *The Individualized Family Service Home Page will appear*

EIOD Cont.

i. *IFSP Details*

- *Meeting (Yes/No)*
 - *“Yes” must be entered for an Initial or Annual IFSP*
- *IFSP Meeting Date*
 - *Enter the actual date of the IFSP meeting when the parent/surrogate and EIOD are present*
- *Other (Yes/No)*
 - *Enter “Yes” if this meeting is the Transition Conference*
- *Parental Consent Obtained?*
 - *“Yes” must be entered to indicate that the parental/surrogate consent to release information to EI providers has been obtained on the IFSP Meeting Consent for Services Form*
- *Signed Copy of IFSP on file? (Yes/No)*
 - *“Yes” must be entered to indicate that the **IFSP Meeting Consent for Services Form** has been signed by the parent/surrogate and attached in the “IFSP attachment” section of the IFSP being completed*
- *Reason for IFSP delay*
 - *Must be entered when the initial IFSP meeting occurs more than forty-five (45) days after the date of referral for any reason*
 - *Select the appropriate reason from the drop down menu*
- *Clinically Appropriate Visits per day must not exceed*
 - *The daily visit limitation should equal the number of services authorized per child including service coordination*

ii. *Child’s Level of Functioning*

- *Document family concerns in each area of development, and if family concerns reflect those documented in the MDE*
- ***MDE Summary** must be attached to the IFSP Attachments section in NYEIS*

Note: This information is located on Page 2 of the paper IFSP: Current Development and Family Concerns.

iii. *Child’s Current Setting*

- *Document where the child spends most of his or her time during a typical day*
- *Indicate if the child is in foster care, and whether he/she has visits with the birth parent at the foster care agency*
- *Indicate the languages that the child hears most of the day*
- *Indicate if the child is in Daycare/Child Care Program or if another party assists with childcare i.e. : babysitter, grandparent*

Note:

- This information is located on Page 3 of the paper IFSP: Daily Routines and Activities-Resources section.
- This section must be filled out, in NYEIS, by the ISC and parent/surrogate prior to the IFSP meeting and reviewed/updated by the team at the meeting.

iv. *Family Strengths*

- *Parental Consent Obtained?*

EIOD Cont.

- *Indicate “Yes”. The parent/surrogate has already signed the **Consent to Obtain and Release Information Form** and the **Concerns, Priorities and Resources Form** has been completed with the family by the Initial Service Coordinator*
- *Describe the family’s strengths, priorities, concerns and resources that will enhance the child’s development*
 - *Ensure that responses to the following questions are entered into this section in NYEIS*
 - *Based on our conversation, which of your child’s daily routines and activities would you like EI to help you work with your child on*
 - *Based on your answer(s) to the last question, which concern(s) would you like Early Intervention to focus on (if more than one, list them in order of priority)*

Note:

- This information is located on Page 3 of the paper IFSP, Daily Routines and Activities
- Refer to the **NYEIS IFSP Crosswalk** for detailed instructions.

v. *Outcomes*

- *List desired outcomes of the early intervention services, and include criteria that will be used to determine progress*
 - *EIOD will emphasize that functional outcomes are the cornerstone of the IFSP which describe the practical, desired results that the EI services will help the child and family achieve in the next six (6) months*
 - *Before any functional outcomes are written, the EIOD will discuss that outcomes are:*
 - *Related to everyday routines, activities, and priorities identified while discussing family strengths;*
 - *Designed to help the parent/surrogate encourage the child’s development;*
 - *Identified as developmentally appropriate for the child;*
 - *Designed to be achieved in the authorization period of the IFSP (next six (6) months); and*
 - *Described in a manner agreed upon by the IFSP team.*
 - *Once the functional outcome(s) is/are developed, the team will write the objectives (short term goals) necessary to achieve each functional outcome.*

Note: This information is located on page 4 of the paper IFSP, Functional Outcomes.

vi. *ABA Service*

- *Will any services provided to the child use ABA methodology?*
 - *Choose Yes or No*
- *If Yes, who will provide ABA services*
 - *Currently, NYC EIP does not use ABA aides, select “Qualified Personnel Only”*
- *Comments*
 - *Ensure that this section documents the conversation regarding the New York State EIP recommended amount of*

EIOD Cont.

ABA services and the parent's/surrogate's decision., (For example, 20 hours of ABA services were offered by the EIOD, but the parent/surrogate choose 15 hours per week)

vii. *Natural Environment*

- *Are all services being provided in the child's natural environment?*
 - *Choose Yes or No*
 - *EIOD will explain that federal and state law requires that services be delivered in the natural environment of the child and family whenever possible*
 - *SDOH regulations [NYCRR 69-4.1(ae)] define natural environment as "settings that are natural or normal for the child's age peers who have no disability, including the home, a relative's home..., child care setting, or other community setting in which children without disabilities participate."*
 - *EI services can be delivered in places where the child and family normally spend their time and include activities that are part of the child's and family's*
 - *Team discusses ways in which the therapists may involve and coach the family in using everyday activities/routines as learning opportunities for the child*
 - *Ways in which parent/surrogate would like to be involved in the child's EI services will also be discussed*
- *If No, explain*
 - *Explain why the service(s) cannot be delivered where the child spends most of his/her time*
 - *The rationale needs to be specific, detailed and developmentally sound*
 - *This information is required by the Individuals with Disabilities Education Act (IDEA)*
- *If any service is being provided in group setting without typically developing peers, explain why the IFSP team agrees this is appropriate*
 - *Explain why the IFSP team agrees that this is the appropriate plan for this child*
- *If child is in daycare, list ways the qualified professionals will train daycare providers to accommodate the needs of the child*
 - *Refer to the NYEIS IFSP Crosswalk for a detailed description and examples*

Note: This information is documented on page 5 of the Paper IFSP, Settings and Incorporating Interventions into Natural Routines.

viii. *Transportation Needs*

- *Transportation Needed?*
 - *Choose Yes or No*
 - *Transportation should only be considered when services are not provided in the home*
- *Caregiver Able to Provide Transportation?*
 - *Select one of the following options*
 - *No transportation Needed- child resides less than 6 blocks from the location of services*
 - *Caregiver – public transportation*

EIOD Cont.	▪ Caregiver – private car ▪ Caregiver cannot provide • Unable to Provide Transportation Reason ○ If the “caregiver cannot provide” option is selected, a detailed reason must be documented ○ Refer to the NYEIS IFSP Crosswalk for detailed requirements
	Note: • Consideration is first given to transportation being provided by a parent/surrogate. • If car service is authorized, a responsible adult must accompany the child. • Transportation services can only be provided for authorized services by approved providers to: ○ Sites that have SDOH and New York City Department of Health and Mental Hygiene approval, and ○ Subcontracted sites which are listed on the agency’s NYC EIP contract.
	ix. <i>Non-EI Services Needed</i> • List other services that may be needed to support the child and family outcomes ○ Specifically indicate if this will be an OSC follow-up activity x. <i>Public Programs</i> • Enter any public programs the child/family may be eligible for such as: ○ Child Health Plus A or B ○ Waiver program ○ Office for People With Developmental Disabilities (OPWDD) Services ▪ Specifically indicate if this will be an OSC follow-up activity xi. <i>Meeting Attendees</i> • List all EI participants that attended the IFSP meeting including: ○ Parent(s)/Surrogate(s) ○ EIOD ○ Initial Service Coordinator ▪ For each, list the Role and Agency name ▪ All meeting attendees must sign the NYEIS IFSP Attendance Sheet
	Note: The NYEIS Attendance Sheet is the last page of the IFSP document that is produced by NYEIS when “Pint IFSP” link is selected from the “IFSP Home Page”.
xii. <i>Other meeting participants</i> • Enter any other IFSP meeting participants, including: ○ Individuals invited by the parent(s)/surrogate(s) ○ CPSE Administrator ○ Foster Care Case Worker ▪ For each, list the Role and Agency name ▪ All meeting attendees must sign the NYEIS IFSP Attendance Sheet xiii. <i>Parent Resources</i> • Is parent/surrogate eligible for other sources of respite	

EIOD Cont.	○ <i>Select Yes or No to indicate if the parent/surrogate may qualify for sources of respite other than through EI</i> • <i>If Yes, what sources</i> ○ <i>Indicate whether the family is eligible or has applied for other sources of respite, such as through OPWDD</i> • <i>If yes, date of application</i> ○ <i>Enter the date</i> ○ <i>Respite Status</i> • <i>If No, explain</i> Note: • This information is located on page 6 of the paper IFSP, Transportation, Assistive Technology and Respite Services. • The SC should assist the parent/surrogate in obtaining a respite application through OPWDD if the child may be eligible, and the parent/surrogate requests assistance. xiv. <i>Transition Plan</i> • <i>Transition to CPSE Discussed?</i> ○ <i>Select Yes or No</i> ▪ <i>If the Initial IFSP is the IFSP closest to the second birthday, Transition must be discussed and the NYEIS Transition Sections completed</i> ▪ <i>Steps that will be taken to ensure a smooth Transition must be explained</i> ▪ <i>Refer to the NYEIS IFSP Crosswalk for additional information</i> • <i>Transition to other Early Childhood and Support Services Discussed</i> ○ <i>Select Yes or No</i> • <i>If Yes is selected, list the options that have been discussed with the parent/surrogate including public service options and private service options</i> • <i>Date Transition discussed with parent/surrogates</i> ○ <i>If Transition was discussed and documented in the previous questions, enter date of the discussion (this date can be before the date of the IFSP meeting)</i> • <i>Did parent/surrogate consent to allow communication with personnel who will be providing services to the child, to facilitate a smooth transition?</i> ○ <i>Select Yes or No</i> • <i>If Yes, then enter procedures to allow qualified personnel to prepare for child's transition</i> ○ <i>Include activities such as contacting new teachers/therapists</i> • <i>Other activities that the IFSP participants determined necessary to support the transition of the child</i> ○ <i>Include information such as the names of those who might assist, such as current interventionists, staff at the provider agency, community agencies (e.g., ECDC)</i> Note: • If the child is in foster care, the birth parents should be consulted regarding transition plans whenever possible.

EIOD Cont.

- If the IFSP team completes this section in NYEIS, the team must also complete or review the “*Transitions Section*” in NYEIS after the EIOD has “saved” all of the information that was entered on the “*Create IFSP*” NYEIS page.

xv. *Transfers*

- Complete this section **only** if the family will be moving to another NYS municipality in the coming IFSP period
 - Expected transfer date
 - Enter the anticipated move date
 - Receiving municipality
 - Select the NYS county from the drop down list
 - Transfer Comments
 - Enter any information about the parents’ expected move such as address, phone number, whether parent has contacted EI or CPSE in the new municipality

xvi. *Late Services*

- The Delay Status must be completed when the IFSP team is aware that some or all services will be delayed beyond 30 days after the start date of the six month IFSP period
- If **any** service is delayed unexpectedly after the IFSP is authorized, a task is generated to the rendering provider’s Service Authorization Work Queue to provide the reason for the delay
 - Delay status
 - Choose from the drop down list
 - Delay reason
 - Select from the drop down list

xvii. *IFSP Comments*

- IFSP team will discuss any additional concerns and note them in the Additional Concerns section such as:
 - Services that have been recommended but refused by parent/surrogate
 - Reason for waiving billing rules
 - If the discussion indicates that another evaluation type is needed, document the evaluation type and concern
 - If Written Notice was given at the end of the IFSP and the reason for the notice
 - If any of the authorized services do not yet have a rendering provider agency assigned (Pending services)

f. Once all of the sections on the IFSP home page are completed select “Save” at the bottom of the page

g. EIOD ensures that the parent/surrogate is given a choice of OSC

i. Use the **2011 Active Providers, Languages and Specialties** list to give parents/surrogates the choice of OSC

ii. Create Ongoing Service Coordination Authorization in NYEIS

- On the Individualized Family Service Home Screen, under Manage, select, “Add Service Authorization”
- On the “Select Service Type and Method” Screen, under the “Selection Criteria” heading, click on the drop down and select “Service Coordination” from the drop down box, select “Search”, then click on “Select” Service Coordination
- On the “Select Provider Location Screen”, enter the new Provider

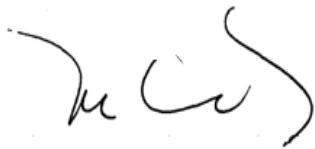
EIOD Cont.	<i>Agency Name or enter “%” Wildcard to get a list of providers. Click on Search</i> ○ <i>Your search results will be listed below</i> ○ <i>Select the Provider agency based on the parent’s/surrogate’s choice</i> • <i>Under the “Frequency and Details” heading, enter the “Start Date”, “End Date”, and “Number of Units”</i> • <i>In the Comments section document the specific areas where the OSC will assist the family such as:</i> ○ <i>Applying for Public Programs</i> ○ <i>Applying for other non-EI services needed by child/family</i> ○ <i>Monitoring all services, including co-visits</i> ○ <i>Updating insurance information</i> ○ <i>Locating bilingual services as authorized</i> ○ <i>Assisting the family with transition</i> • <i>Click on the “Create Service Authorization” button</i> h. <i>Team discusses types of services which could best achieve the outcomes developed and the discussion regarding family strengths and natural environments</i> i. <i>EIOD and parent(s)/surrogate(s) agree on the service plan to be authorized</i> ii. <i>A Service Authorization(s) is created for a maximum period of six (6) months in NYEIS and reauthorized, terminated, or amended, as appropriate based upon the child’s progress toward achieving functional outcomes and current needs every six (6) months</i> iii. <i>Creates Service Authorization(s) in NYEIS for each service type agreed on by the IFSP team</i> • <i>On the “Individualized Family Service Home Screen”, under “Manage”, select “Add Service Authorization”</i> • <i>On the “Select Service Type and Method” screen, under the “Selection Criteria” heading, click on the drop down and select “General” from the drop down box and click on the “Search” button</i> ○ <i>Select a “Service Type”, i.e. “OT – Extended”</i> ○ <i>Select “Qualified Personnel”, i.e., “Occupational Therapist or Physical Therapist”</i> ○ <i>Select a “Delivery location type”, i.e. “Child’s Home”</i> • <i>Select a Provider Agency if known</i> ○ <i>On the “Select Provider Location” screen, enter the new Provider Agency Name or enter “%” Wildcard to get a list of providers. Click “Search”</i> ▪ <i>Select the “Provider Agency”</i> ▪ <i>If the provider is not yet identified, select “Continue” without selecting a provider agency</i> ○ <i>This action will also document Pending Services with “Awaiting Provider/Vendor Assignment” status when completed</i> • <i>Under Create General Service Authorization Details</i> ○ <i>Indicate Script Recommendation Provider by selecting the appropriate professional if the service requires a script</i> ○ <i>Do Not complete “Script Recommendation on File” or the “Script Start” or “End Date” if the script is not at the IFSP meeting</i> ▪ <i>Refer to the Obtaining Prescriptions for Authorized Services Policy</i>

EIOD Cont.	• <i>Under the Frequency & Duration details</i> ○ <i>Specify the number of visits per week</i> ○ <i>Indicate the number of minutes per visit</i> ▪ <i>For Group Developmental Services select the type of group desired. The time for the group will be indicated as 59 minutes. If the group is more than 59 minutes enter the actual group time in the comment section of the IFSP</i> ○ <i>Indicate the following information in the comments section of the authorization:</i> ▪ <i>If a waiver was authorized with this service authorization and the details of the waiver</i> ▪ <i>If a provider is yet to be identified to provide the service</i> • <i>Under the Create Service Authorization Prior Approval Page</i> ○ <i>Child shall receive no more than “X” number of all types of service in one day</i> ▪ <i>The daily visit limitation should equal the number of services authorized per child including service coordination</i> ○ <i>Visits per day clinically appropriate for this SA must not exceed</i> ▪ <i>In most cases “1” will be indicated to comply with billing rules</i> ▪ <i>For children authorized for ABA services, indicate “4” to account for waiver considerations</i> Note: <i>If visit limitations per day exceed “3”, upfront waivers will be authorized.</i> • <i>Makeup Visits Allowed: Click on the checkbox.</i> ○ <i>Indicate the number of make-up visits:</i> ○ <i>A total of 6 make-up visits per service type will be authorized as a starting point</i> ○ <i>If additional make-up visits are needed, they may be requested as an Amendment request in NYEIS</i> ▪ <i>Make-up visits must be delivered as per the Make-up Policy</i> • <i>For group or team meetings where multiple Interventionists will meet at the same time, complete the Co-Visits and Qualified Personnel for Co-Visits Sections:</i> ○ <i>Click on the “Co-visits Allowed?” checkbox</i> ○ <i>Enter the Number of Co-Visits</i> ○ <i>From the dropdown, select the Per Period; (day, week, month, IFSP)</i> ○ <i>Select the Qualified Personnel who will participate. Press the Ctrl key for multiple entries</i> • <i>Click on the “Create Service Authorization” button</i> i. <i>Check Upfront Waiver Rules to ensure all waivers appropriate for the service plan are approved</i> i. <i>Select “Check Upfront Waiver Rules” link from “ IFSP Home Page”</i> ii. <i>EIOD will be presented with “Select Yes to run Upfront Waiver Rules on this IFSP”. Select “Yes”. The System will run Billing Violations and determine if any could potentially occur</i> iii. <i>The EIOD will choose to “Manage” each billing violation to review details,</i>

EIOD Cont.	<i>and “approve” or “reject” the Upfront Waiver. If a waiver is “Approved” or “Rejected”, the EIOD will include a reason</i> iv. <i>To view information about any waivers on an IFSP, a User can access the Waiver button from the Navigation Bar on the IFSP Homepage</i> v. <i>Upfront Waiver Rules must run prior to having the EIOD “Submit” in order to “Approve” the IFSP and associated SAs</i> j. <i>Complete the NYEIS Transition Section (found on the left Navigation Pane of the Child Integrated Case</i> i. <i>Select “Transitions” from the Child Integrated Case navigation menu.</i> ii. <i>Click on the “New” button</i> iii. <i>Select “Transition to CPSE,” the “Create Transition to CPSE screen will display</i> • <i>Under the child details heading, the CPSE eligibility dates are prefilled</i> - o <i>Under the Potential Eligibility for CPSE Services heading, complete the line questions</i> ▪ <i>Is child potentially eligible for CPSE services? If “No” is entered, no further information is required</i> ▪ <i>If “Yes” is entered, continue with the questions below (a–m):</i> ▪ <i>Refer to the NYEIS Transition Crosswalk for detailed descriptions of each question</i> - o <i>Complete the question under the “Eligibility for CPSE Services” heading</i> - o <i>Enter comments in the Comments Box provided.</i> ▪ <i>If the child is in foster care, include information about maintaining contact with ACS or foster care agency regarding transition steps and plans</i> - o <i>Select “Save” once the section is complete</i> iv. <i>Select “Other Transitions,” the “Create Other Transitions” Screen will display</i> • <i>Under “Other Transition” details, complete the detail line questions (a–e)</i> • <i>Under the Identify Early Childhood Programs and Support Services needed after Transition heading, check all boxes that apply</i> • <i>Enter the Name of Early Childhood Programs and Support Services Not Listed</i> • <i>Enter comments in the Comments Box provided</i> • <i>Select “Save” once the section is complete</i> Note: • Complete the transition section only if the Initial IFSP is the IFSP closest to the child’s second birthday. • NYEIS will only allow for a case to stay open after a child turns three (3) years old if the “Transitions” section has been completed. • Refer to the Transition Out of the Early Intervention Program Chapter for detailed policy and timelines. k. Prior to proceeding to the attestation page and the NYEIS IFSP Attendance Sheet, the EIOD ensures that <u>all</u> of the necessary information is documented in the IFSP, especially: i. Outcomes;

EIOD Cont.	ii. Natural Environment; iii. NYEIS Service Authorization(s); iv. NYEIS Transportation and Respite Services and AT devices (if applicable); v. NYEIS Ongoing Service Coordinator Service Authorization vi. IFSP Comments; and vii. NYEIS Transition Section (if applicable). I. Complete the Individualized Family Service Plan Consent for Services Form i. EIOD will inform the family that: • If the parents/surrogates believe the child needs a change in services not recommended on the IFSP, they have the right to request an amendment to the IFSP. • Justification for the change is required (Refer to the Amendments Chapter) - o If the request is not approved by the EIOD, the parent/surrogate will receive Written Notice from the EIP. • Parent/surrogate has the right to accept or decline any EI service without jeopardizing other EI services. • No services can be provided without written parental/surrogate consent. • Occupational Therapy, Physical Therapy, and Nursing services cannot begin without a prescription from a primary care provider • Parent/surrogate is authorizing information to be shared within the EIP for the purposes of developing and maintaining services. Note: • The Consent to Obtain and Release Form must only be completed and signed if the parent/surrogate would like to share the IFSP with parties other than providers of EI services. • For children in the care and custody or custody and guardianship of the local social services district, the local commissioner of social services or designee will be given access to the records collected, maintained, or used for the purposes of the EIP. ii. Parent /surrogate signs to attest that: • S/he understands his/her rights under EI; • S/he agrees/disagrees with the Plan; and • If the EIOD and the parent(s)/surrogate(s) agree on the services authorized and the parent/surrogate has selected an ongoing service coordinator. • If the EIOD and the parent(s)/surrogate(s) do not agree on all aspects of the IFSP: - o The services that the parent/surrogate and EIOD agree upon are to be implemented at the conclusion of the IFSP meeting; - o The EIOD should explain the parent's/surrogate's due process rights and assist the parent/surrogate accordingly to resolve the disagreement (e.g., re-evaluation, mediation, and impartial hearing); and - o The EIOD will clearly document all services offered and those declined by the parent/surrogate in the “<i>NYEIS IFSP Comments</i>” section. • The IFSP is considered final once signed by the EIOD and

EIOD Cont.	parent/surrogate. m. <i>Complete the NYEIS IFSP Attendance Sheet</i> i. <i>Select the “Print IFSP” link from “IFSP Home Page”</i> ii. <i>Print the IFSP Document</i> • <i>The NYEIS Attendance Sheet is the last page of the IFSP document that is produced by NYEIS</i> iii. <i>Complete the NYEIS IFSP Attendance Sheet</i> • <i>Family agrees to incorporate transition plan (either CPSE or other services) in their IFSP</i> ○ <i>If the NYEIS Transition Sections were completed, parent/surrogate should initial if they would like that section of NYEIS to be considered part of the IFSP</i> • <i>Additional IFSP Comments</i> ○ <i>The text in this section is a repeat of the information in the IFSP Comments Section</i> • <i>People who participated in the development of the IFSP</i> ○ <i>The text in this section is a repeat of the information in the IFSP Participants section and the other participants section of the NYEIS IFSP</i> Note: <i>when a clinician can only participate in the meeting via telephone, the EIOD must document the clinician’s name, title/discipline, Agency name and that the individual was “available by phone”.</i> • <i>I give my consent to share information contained in this IFSP with all IFSP team members.</i> ○ <i>Each person attending the meeting, including any interpreter, prints and signs his/her name to indicate his/her presence.</i> n. <i>Finalize the NYEIS IFSP by Selecting the “Submit” link from IFSP Home Page</i> 4. The Printed NYEIS IFSP, and the IFSP Consent for Services Form, the Early Intervention Make-up Policy, and “Your Family Rights in Early Intervention” are given to the parent/surrogate. a. Collection of Social Security Information Form is maintained in the RO and NOT given to providers or attached in NYEIS. b. If the IFSP meeting is held in the parent’s/surrogate’s home or other location where the IFSP cannot be completed in NYEIS and cannot be copied: i. The EIOD will ensure that the IFSP is entered into NYEIS within (1) one week of the authorization; and ii. OSC will ensure that the parent/surrogate receives a copy of the IFSP expeditiously, but no later than 48 hours after receipt. Note: • OSC no longer sends the entire IFSP to service providers as a result of NYEIS Implementation. • OSC must send Transportation Service Authorization to the service provider who will send the information to the Bus Company. • OSC must send the child’s IFSP and authorized Respite documents to the Respite Agency when Respite is approved. 5. Attaches the MDE Summary and the IFSP Meeting Consent for Services form to the IFSP Attachments section in NYEIS.

A handwritten signature in black ink, appearing to be 'MCS'.

Approved By:
Assistant Commissioner, Early Intervention

Date: 4/09/2012

New York City Early Intervention Program

Policy Title: The Individualized Family Service Plan Review and Annual Meetings	Effective Date: 6/4/2012
Policy Number: 5-C	Supersedes: 5-C, 5-D (June 2009)
Department/Unit: Applicable Forms: - IFSP Meeting Request/Confirmation Form - Consent to Release/Obtain Information (If applicable) - “Your Family Rights in Early Intervention” - Provider Progress Notes - Parent Progress Notes (if applicable) - EI Make-up Sessions Policy – Information for Families IFSP Forms - Page 1: Identifying Information (Eliminated by NYEIS) - Page 4: Functional Outcomes (Eliminated by NYEIS) - Page 5: Service Plan: Service Setting and Incorporating Interventions into Natural Routines. (Eliminated by NYEIS) - Page 5a: Service Authorization Data Entry Form (Eliminated by NYEIS) - Page 5b: Co-visits (Eliminated by NYEIS) - Page 6: Transportation, Assistive Technology, and Respite Services (Eliminated by NYEIS) - Page 7: Service Coordination Activities (Eliminated by NYEIS) - Page 7A and 7B: Transition Plan (Eliminated by NYEIS) - Page 8: Attestations, Consent for Services (Eliminated by NYEIS) - Transportation Data Entry Form (Eliminated by NYEIS) - Assistive Technology Data Entry Form (Eliminated by NYEIS) - IFSP Meeting Consent for Services Form (NEW)	Regulation/Citation: NYCRR 69-4.11(b)(1-3); 69.4.11(a)(2-3)

I. POLICY DESCRIPTION:

The Individualized Family Service Plan (IFSP) shall be reviewed at six (6) month intervals and shall be evaluated annually to determine the degree to which progress toward achieving the outcomes is being made and whether or not there is a need to amend the IFSP to modify or revise the services being provided or anticipated outcomes. **(NYCRR 69-4.11(b))**

IFSP reviews shall be conducted by an in-person meeting or other means agreed to by the parent, which may include a telephone or video conference call or record review and written correspondence. **(NYCRR 69-4.11(b)(1))**

An IFSP meeting shall be conducted at least annually to evaluate the IFSP for the child and the child's family, and, as appropriate, to revise its provisions. The results of any current evaluations conducted under Section 69-4.8 and any other information available from the ongoing assessment of the child and family must be used in determining the services that are needed and will be provided. **(NYCRR 69-4.11(b)(2))**

The Annual meeting to evaluate the IFSP and Six(6)month reviews must include the parent, EIOD, Service Coordinator, a person directly or indirectly involved in the evaluation, and any other person invited with parent's consent.. **(NYCRR 69-4.11(b)(3); NYCRR 69-4.11(a)(2-3))**

The New York Early Intervention System (NYEIS) streamlines the process of IFSP reviews. NYEIS contains a feature called Cloning. Cloning allows the user to create a copy of an active IFSP with associated service authorizations and modify it as appropriate for the next IFSP. For some children, the

IFSP will only require modest changes. The Cloning function will be used for IFSP reviews with or without the EIOD present, and Annual IFSP meetings with the EIOD present, when there are no changes to IFSP service authorizations.

Note:

- Instructions for navigating NYEIS are denoted in *italics* in the body of this Policy

II. PROCEDURE:

Responsible Party	Action
Early Intervention Service Provider Agency	1. Discusses the current service plan with the parent/surrogate to determine if a. Service changes may be necessary. 2. Ensures that all Provider Progress Notes are forwarded to the Ongoing Service Coordinator (OSC) no later than (2) weeks before the expiration of the IFSP period.
Ongoing Service Coordinator (OSC)	1. Gathers the following information at least two (2) weeks before the expiration of the IFSP: a. Three (3) and Six (6) month Provider Progress Notes (IFSP Review meetings)/ Nine (9) and Twelve (12) month Provider Progress Notes (IFSP Annual meetings) from each Interventionist for each service type; or documentation explaining the reason(s) that s/he has been unable to collect Progress Notes from any provider. b. Three (3) and Six (6) month Parent Progress Notes (IFSP Review meetings)/ Nine (9) and Twelve (12) month Parent Progress Notes (IFSP Annual meetings) (if the parent/surrogate chose to complete them). c. Calendars or alternate tools completed by the parent/surrogate, if available. d. Supplemental evaluations and/or justifications for changes in services. Note: • Parents/surrogates should be given a copy of all Progress Notes by the OSC prior to the IFSP meeting so that they may review them. • The foster care case planner should be sent a copy of all Progress Notes by the OSC prior to the IFSP meeting when the child is in foster care. • Submission of supplemental evaluations and/or justifications for changes in service only applies when their completion coincides with an IFSP meeting. ○ If a request to modify service(s) is needed during an IFSP period, supplemental evaluations and/or justifications for changes in services should not be held back until an IFSP Review/Annual meeting. ○ If a request to modify service(s) coincides with the end of a current IFSP period, supplemental evaluations and/or justification for changes in services should be submitted at least two (2) weeks before the expiration of the IFSP to allow for adequate review time. ○ Supplemental evaluations are entered in NYEIS as a specific service authorization type. 2. Discusses with the parent/surrogate if he/she would like a face-to-face meeting with the EIOD, a conference call with the EIOD present, or a meeting without the EIOD present (referred to as a review of records meeting). a. If the parent/surrogate would like a face-to-face meeting with the EIOD or

OSC Cont.	conference call with the EIOD: i. Contacts the Regional Office (RO) Scheduling Staff by phone to arrange for the IFSP meeting. This should be done no later than two (2) weeks before the end of the IFSP period. ii. Faxes the IFSP Meeting Request/Confirmation Form to the RO Scheduling Staff within 48 hours of verbal confirmation from the RO Scheduling Staff and other required participants. iii. Indicates specifically on the IFSP Meeting Request/Confirmation Form if the parent/surrogate would like to exercise the option of a conference call with the EIOD present. • Ensures that the contact information (phone number) is current and correct for the parent/surrogate and Interventionist(s). • If information is needed from an Interventionist(s) who is/are unable to attend: - o Notifies RO via fax 24 hours before the scheduled meeting (refer to the policy on Scheduling in this chapter of the manual). - o The individual(s) should participate through a telephone conference call. ▪ Interventionist(s) participating through a conference call should be available for the pertinent portion of the meeting as required by the EIOD (at a minimum: the discussion of child progress, outcome determination and recommendations for services). Note: • Required participants for Annual IFSP meetings must meet to discuss the IFSP in-person or be available by phone. - o EIOD is a required participant at Annual IFSP meetings. b. If the parent/surrogate would like to exercise the option of a review of applicable records and meeting with the Interventionist(s) and OSC (referred to as a review of records) without the EIOD present (IFSP Review Meetings only): i. Indicates that the parent/surrogate would like to exercise the option of a review of applicable records and meeting with the Interventionist(s) and OSC on the IFSP Meeting Request/Confirmation Form. • When a review of records without the EIOD is conducted, the IFSP Meeting Request/Confirmation Form must be attached to the new IFSP in NYEIS with The IFSP Consent for Services Page, the NYEIS IFSP Attendance Sheet, The Early Intervention Make-up Policy – Information for Families and “Your Family Rights in Early Intervention” at the conclusion of the IFSP meeting. Note: • IFSP Review meetings can be conducted without the EIOD present when: - o There is no requested change in services, and - o Parent/surrogate does not request an in-person meeting, and - o An in-person meeting was conducted at the most recent IFSP (for example,

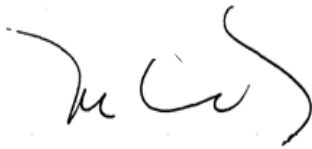
OSC Cont.	Initial, and Annual IFSPs were held in person). - When the above conditions are met, a review of records without the EIOD present may be conducted and services reauthorized for six (6) months. 3. Submits the following documents in NYEIS at least two (2) weeks prior to the expiration date of the current IFSP: - Three (3) and Six (6) month Provider Progress Notes (IFSP Review meetings)/ Nine (9) and Twelve (12) month Provider Progress Notes (IFSP Annual meetings) from each Interventionist for each service type; or documentation explaining the reason(s) that s/he has been unable to collect progress notes from any provider. - Three (3) and Six (6) month Parent Progress Notes (IFSP Review meetings)/Nine (9) and Twelve (12) month Parent Progress Notes (IFSP Annual meetings) (if parent/surrogate has chosen to complete them). - Calendars or alternate tools completed by the parent/surrogate (if available). Supplemental Evaluations and/or Justifications for Changes in Services - If a supplemental evaluation was approved prior to the meeting, the report must be made available no later than 30 days from the date of the authorization. - Other documents that reflect current child development such as: - Private evaluations, and - Updated medical information. 4. Attaches the above documents to the child’s Integrated Case in NYEIS <i>From the Inbox Menu Button – Click on “My Cases”</i> <i>Select the “Case Reference” for the child to navigate to the “Integrated Case Home Page”</i> <i>Select “Attachments”</i> <i>Select “New”</i> <i>On the Create Attachment screen:</i> <i>Browse for the file to attach</i> <i>File size cannot be more the 5MB</i> <i>Complete the fields under “File Details”</i> <i>DO NOT enter any information in the “Location” and “Reference” fields</i> <i>Select the “Document type”</i> <i>Document type for all documents above is “signature”</i> <i>“Receipt date” must be the date that the attachment is made</i> <i>Complete the “Attachment Description” field by listing the name of the form being attached (e.g., Three (3) Month Provider Progress Note, Supplemental Evaluation – PT)</i> Note: - Missing Progress Notes will not prevent convening an IFSP Review or Annual meeting. No changes in services will be authorized unless there is sufficient documentation of child status available prior to the meeting, (ex: Progress Notes for the particular service type, additional evaluations as authorized etc.)

Regional Office Staff (RO)	1. Checks NYEIS to ensure that Progress Notes and other applicable documents are attached to the child’s current IFSP. a. If Progress Notes are not attached two (2) weeks prior to scheduling the IFSP meeting: i. RO will call the OSC to follow-up on the receipt of the Progress Notes. ii. If the OSC remains unable to collect the Progress Notes: • Provider Oversight Unit will be notified by the RO for follow-up action.
Early Intervention Official Designee (EIOD)/ Ongoing Service Coordinator (OSC)	1. Convenes the Six (6) Month Review or Annual meeting at least two (2) weeks prior to the expiration date of the current IFSP. The participants include: • The parent(s)/surrogate(s), • The Early Intervention Official Designee (EIOD) (when required), • The Ongoing Service Coordinator (OSC), • The Evaluator or Interventionist(s) working with the child and family, • The foster care worker (if appropriate), • CPSE administrator (when parent/surrogate consent is obtained for a Transition Conference), and • Any other person whom the parent/surrogate or the service coordinator, with the parent’s/surrogate’s consent, invites. 2. Informs the parent/surrogate of his/her rights, and gives him/her “<i>Your Family Rights in Early Intervention</i>”. 3. Asks the parent/surrogate if there are any changes in the child’s insurance coverage. a. Refer to the Initial IFSP Policy (post-NYEIS implementation) for detailed instructions regarding updating insurance information. 4. Facilitates a team review and discussion of: a. The current needs of the child and family; b. Progress toward achieving outcomes; c. The effectiveness of strategies used during intervention sessions; and d. Any needed modification of the outcomes or Early Intervention (EI) services. 5. Completes the Six (6) Month Review or Annual IFSP in NYEIS. a. When there are no changes to IFSP service authorizations, create a Clone IFSP: i. <i>Click the Clone link in the IFSP home page</i> ii. <i>The “Select Service Authorizations (SAs) to Copy” page displays with a list of SAs</i> • <i>Click the checkbox for each SA that is being cloned</i> • <i>Click the Copy button</i> - o <i>The IFSP home page of the cloned IFSP displays with an IFSP Status of “Draft” displaying a new unique IFSP identifier</i> Note: • Cloning brings ALL data from the previous IFSP into the cloned IFSP. • The new cloned IFSP will start on the day after the original IFSP period ended. • Each SA that is cloned gets the Start and End Date of the new IFSP. • The cloned IFSP will be assigned the next IFSP type in sequence - o Initial IFSP is followed by the 1st Review. The 1st Review is followed by the 1st Annual. The 2nd Review follows the 1st Annual, etc. iii. Every field within the cloned IFSP needs to be reviewed and discussed

EIOD/OSC Cont.	with the IFSP team to ensure the information continues to reflect the child and family's updated concerns and priorities. • If any information needs to be updated/changed: - o Do NOT delete the old information from the NYEIS field(s); - o Insert the updated information in the appropriate field above the old information; - o Ensure that the updated information is preceded by the date; and - o The updated information and the old information must be separated by a line. b. When there <u>are changes</u> to IFSP service authorizations, complete a new IFSP in NYEIS: i. <i>Click on "My Cases" from the Menu Bar</i> ii. <i>Select the Case Reference Number for the case you wish to work on</i> iii. <i>Select "IFSP's" from the Child Integrated Case navigation menu</i> iv. <i>Select "New"</i> v. <i>The Individualized Family Service Home Page will appear</i> vi. Complete the NYEIS IFSP as described in the Initial IFSP Policy. c. Update or complete the NYEIS Transition Sections, found on the left navigation pane, for all children who are: • Leaving EI for any reason; or • If the IFSP Review is closest to the child's second birthday. - o Refer to the NYEIS Transition Cross-walk for step-by-step instructions. Note: • A child may receive EI services only until the day before his/her third (3rd) birthday unless s/he has been found to be eligible for services from the Committee on Pre-School Special Education (CPSE). • The parent/surrogate is responsible for making the referral to CPSE. - o The OSC will assist the parent/surrogate with making the referral to CPSE (refer to Transition Chapter for more information and specific time frames for referral). • An IFSP Review/Annual meeting may be combined with a Transition Conference when appropriate. - o If the IFSP Review/Annual meeting is combined with the Transition Conference, the EIOD must be present. - o The CPSE Administrator must be invited to this meeting with parent/surrogate consent. d. Complete the IFSP Consent for Services Form. i. New Consent Page with parent/surrogate signature(s) and EIOD stamp and signature is required. ii. Refer to the Initial IFSP Policy for detailed instructions. e. Complete the NYEIS IFSP Attendance Sheet. i. Refer to the Initial IFSP Policy (Post NYEIS) for detailed instructions.

EIOD/OSC Cont.	Note: The parent/surrogate MUST receive a copy of The Early Intervention Make-up Policy – Information for Families and “Your Family Rights in Early Intervention” at every IFSP meeting. <u>Conclusion of the IFSP Meeting:</u> 1. If the EIOD is not present at the Review Meeting (<u>applies only to IFSP Review Meetings</u>): a. The OSC attaches The IFSP Consent for Services Page, the NYEIS IFSP Attendance Sheet, signed by those present at the meeting, The Early Intervention Make-up Policy – Information for Families and “Your Family Rights in Early Intervention” to the new IFSP. i. Submits the completed NYEIS IFSP review for EIOD approval by selecting the “Submit” link from the IFSP home page. b. The EIOD will review the IFSP document in NYEIS within one (1) week of submission. • <i>Select “Inbox” from the Navigation Bar</i> • <i>Select “Assigned Tasks”</i> • <i>IFSP review tasks will be indicated as “(child’s name) has an IFSP and/or SA's that are waiting for approval”</i> • <i>Select the “Task ID”</i> • <i>Select “IFSP Home” to review the IFSP document</i> • <i>Select “Attachments” from the navigation bar on the IFSP home page to review and ensure that the IFSP Consent for Services Form and the NYEIS IFSP Attendance Sheet are present and complete</i> Note: • EIOD must ensure that the Upfront Waiver Rules are managed before the IFSP is approved. • Detailed instructions on managing Upfront Waiver Rules are available in the Initial IFSP Policy. i. If the IFSP Review is incomplete, the EIOD will “Reject” the Draft IFSP • Service Coordinator will need to make appropriate corrections and re-submit the IFSP Review in NYEIS. - o Corrections must be made and re-submitted within two (2) business days of receiving the rejection from the EIOD. ii. If the IFSP Review submission is complete: • The EIOD will print, sign, and stamp the IFSP Consent for Services Page. • The EIOD will print, and sign the IFSP Attendance Page. • The EIOD attaches the signed forms to the submitted IFSP document in NYEIS. • The EIOD selects “approve” on the IFSP Home Page. - o The OSC will ensure that the parent/surrogate receives a copy of the approved IFSP expeditiously (including the IFSP Consent for Services Page), but no later than 48 hours after approval from the EIOD is received. - o The OSC will ensure that a copy of all IFSP forms is

EIOD/OSC Cont.	given/sent to the foster care case planner (if applicable). 2. If the meeting is convened with the EIOD present (<u>applies to all Annual IFSP meetings</u>): a. The printed NYEIS IFSP, signed by those present at the meeting, the IFSP Consent for Services Form, stamped and signed by the EIOD, the Early Intervention Make-up Policy, and “Your Family Rights in Early Intervention” are given to the parent/surrogate at the conclusion of the meeting. i. If the IFSP meeting is held in the parent’s/surrogate’s home or other location where the IFSP cannot be completed in NYEIS and cannot be copied: • The EIOD will ensure that the IFSP is entered into NYEIS within (1) one week of the IFSP meeting. • OSC will ensure that the parent/surrogate receives a copy of the approved IFSP (including the IFSP Consent for Services form) expeditiously, but no later than 48 hours after approval from the EIOD is received. Note: • A copy of the aforementioned documents should be given/sent to the foster care case planner (if applicable). • OSC no longer sends the full IFSP to service providers as a result of NYEIS implementation.
Ongoing Service Coordinator (OSC)	1. Ensures that the Transportation Provider receives a copy of the Transportation Service Authorization. 2. Ensures that the Respite Provider receives a copy of the IFSP and other necessary documents. Ensures that new services begin within two (2) weeks of the authorization on the IFSP (see policy on <i>Start Date of Services</i>).


 Approved By:
 Assistant Commissioner, Early Intervention

Date: 4/09/2012

NYEIS Individualized Family Service Plan (IFSP) Crosswalk

NYEIS IFSP Crosswalk - IFSP Details, Child's Level of Functioning

April 2012

**NYEIS Sandbox**
(Practice use only - no real live data)

[Home](#) [Inbox](#) [My Calendar](#) [My Cases](#) [Search](#) [About](#) [Log Out](#)

navigation

recent items

- Lori Mendez - 300109
- Alex Denisov - 300169
- Kitty Meow - 300321

Create Initial IFSP: NYEIS Integrated Case - 15018

Child's Name: [Lori Mendez](#)

Currently Assigned SC: [Farhana Shaik](#)

EIO/D: [Nora Puffett](#)

[Save](#) [Cancel](#)

IFSP Details

Meeting (Check if yes) :

1

* IFSP Meeting Date:

2

Other (Check if yes) :

3

Parental Consent Obtained?:

4

Signed Copy of IFSP on file?:

5

Reason for IFSP Delay:

6

*Clinically Appropriate Visits Per Day Must Not Exceed:

7

Child's Level of Functioning 8

Provide a statement, based on objective criteria, of the child's present level of functioning in each of the following domains

Physical Development, including vision and hearing

Cognitive Development

Communication Development

NYEIS IFSP Crosswalk – IFSP Details, Child’s Level of Functioning

IFSP DETAILS *(Most of the information in this section is in the current IFSP, Identifying Information page 1)*

1. **Meeting (Yes/No)** – Yes must be entered for an Initial or Annual IFSP Evaluation. Enter no only for six-month reviews and amendment meetings.
2. **IFSP Meeting Date** – Enter the actual date of the IFSP meeting. Do not enter the date that the ISC completed sections of the IFSP in preparation for the meeting.
 - a. To enter a date:
 - i. Click on the calendar
 - ii. Chose the month from the drop-down list
 - iii. Type in the year
 - iv. Click on the day
3. **Other (Yes/No)** – Enter yes if this meeting is the Transition Conference
4. **Parental Consent Obtained?** Yes must be entered to indicate that the **IFSP Meeting Consent for Services Form** has been signed and is attached in the IFSP Attachments of the IFSP being completed.
 - a. To attach a document in the IFSP attachments section:
 - i. From the Inbox Menu Button – Click on “My Cases”
 - ii. Select the “Case Reference” for this child. This will take you to the child’s “Integrated Case Home Page”
 - iii. Select the “Case Reference” for the IFSP. This will take you to the IFSP home page
 - iv. Select “Attachments”
 - v. Select “New”
 - vi. On the Create Attachment screen:
 - Browse for the file to attach
 - o File size cannot be more the 1.5MB
 - Complete the fields under “File Details”
 - DO NOT enter any information in the Location and Reference fields
 - Select the document type
 - o Document type for all documents above is “signature”
 - Receipt Date must be the date that the attachment is made
 - Complete the Attachment Description field by listing the name of the form being attached: “IFSP Meeting Consent for Services Form”
 - Select “Save”
5. **Signed Copy of IFSP on file? (Yes/No)** - Yes must be entered to indicate that the **IFSP Meeting Consent for Services Form** has been signed by the parent and attached to this IFSP. Step-by-step instructions to attach a document to an IFSP are listed under the parental consent section.
6. **Reason for IFSP Delay** – Must be entered when the initial IFSP meeting occurs more than forty-five (45) days after the date of referral for any reason. Choose the appropriate reason from the drop-down list.
7. **Clinically Appropriate Visits Per Day Must Not Exceed** – Clinically appropriate visits per day should equal the number of services authorized per child including service coordination. For example, if Occupational Therapy, Physical Therapy, and Special Instructions are authorized, the clinically appropriate visits per day should be “4” to reflect each service type and account for Service Coordination.

Note: For most children 3 visits per day should be sufficient.

CHILD’S LEVEL OF FUNCTIONING *(This information is currently located on IFSP, Current Development and Family Concerns Page 2)*

8. Provide a statement, based on objective criteria, of the child's present level of functioning in each of the developmental domains (physical, including vision and hearing; cognitive; communication; social or emotional; adaptive). Indicate if the parent has concerns in any domain.
 - a. This section should include a short and concise description of the family's/caregiver's concerns and the child's abilities in everyday life for those areas of concern.
 - i. Note if the MDE results indicated that the child was developing normally in each area of development or if delays were found.

NYEIS IFSP Crosswalk – Child’s Current Setting, Family Strengths, Outcomes, ABA Services

April 2012

Child's Current Setting

Describe where the child spends most of his or her time during a typical day.

*

Family Strengths

Family strengths may only be entered if Parental Consent is obtained.

Parental Consent Obtained?:

Describe the family's strengths, priorities, concerns and resources that will enhance the child's development.

Outcomes

List desired outcomes of the early intervention services to include criteria and procedures that will be used to determine progress.

*

ABA Services

If any services will be provided to the child using ABA methodology, an ABA Plan must be included in this IFSP.

Will any services provided to the child use ABA methodology?:

If Yes, who will provider ABA Services?:

Comments:

NYEIS IFSP Crosswalk – Child’s Current Setting, Family Strengths, Outcomes, ABA Services

CHILD’S CURRENT SETTING *(This information is currently located on Page 3 of the IFSP, Daily Routines and Activities)*

This section should be completed by the service coordinator in a meeting with the parent prior to the IFSP meeting and saved in NYEIS

Enter the following information into the “Child’s Current Setting” section in NYEIS:

1. **Describe where the child spends most of his or her time during a typical day** – Indicate the settings where the child spends the most time, e.g., home, day care, a relative’s home, a babysitter’s home, a playgroup
 - a. **Day care/caregiver information** –Enter a caregiver’s or program’s name, address, and telephone number.
 - b. **If the child is not in a day care/ child care program/ babysitter, who assists with child care?**
Select the individual who assists with child care that the parent wants to be involved in the Family Service Plan. These individuals’ participation in the Service Plan may be direct (working with an interventionist) or indirect (learning new skills from parent/caregiver). For example, a parent may request that the interventionist work directly with the child’s babysitter (direct) and the parent may also want assistance to learn how to show the child’s grandmother speech games to use with the child when they visit the grandmother’s home (indirect.)
 - c. **What language does the child hear most of the day?** – List the language that the child hears or uses during most of the day. This may be different from the dominant language of the parent (e.g., an English-speaking child may have a Spanish-speaking babysitter)
 - d. **Foster Care** - Indicate if the child is in foster care, and whether he/she has visits with the birth parent at the foster care agency

FAMILY STRENGTHS *(This information is currently located on Page 3 of the IFSP, Daily Routines and Activities)*

2. **Parental Consent Obtained?** - Indicate yes. The parent has already signed the **Consent to Obtain and Release Information**, and the **Concerns, Priorities and Resources Form** has been completed with the family by the Initial Service Coordinator
3. **Describe the family’s strengths, priorities, concerns and resources that will enhance the child’s development**

Ensure that the following responses are entered into this section of NYEIS:

- a. Based on our conversation, which of your child’s daily routines and activities would you like Early Intervention to help you work with your child on? List the daily activities that are difficult for the family/caregiver, such as bath time, meal time, nap time, family outings, etc. For example, does the child really enjoy playing with other children yet find it difficult due to a communication delay? Does the child become upset at the shopping mall or on the street when there are a lot of people and noise? Include those activities or routines about which the parent has concerns, such as bathing, mealtime, sleeping, or transitioning from one activity to another.
- b. Based on your answer(s) to the last question, which concern(s) would you like Early Intervention to focus on? List the parent’s concerns in the order in which the parent would like them addressed.

Note: A lot of this information should already have been gathered in the **Family Concerns Priorities and Resources Form** prior to the IFSP meeting

OUTCOMES (*This information is currently entered on page 4 of the IFSP, Functional Outcomes.*)

4. List desired outcomes of the early intervention services to include criteria that will be used to determine progress.

Functional Outcomes – The outcomes, recorded on page 4, represent one of the most important aspects of the IFSP meeting. Outcomes are statements of the changes or results that are expected to happen for the child and family as a result of EI services. All team members at the IFSP meeting should collaborate in developing these outcomes. The outcomes should be related to the child's developmental needs, the family's concerns and geared toward the child's ability to function during the everyday activities outlined on page 3. For example, *"Johnny will be able to sit without support during dinner."* The team may also develop outcomes for the family, especially to guide services such as Family Counseling. For example, *"Mr. and Mrs. Bowen will learn about Down syndrome and what to expect for their child in order to explain the condition to their friends and family."*

Specify changes that are expected to occur over the next six months. For example, *"Thomas will be able to communicate his needs by pointing or with words instead of screaming so that the family can visit relatives."* The outcomes should be unique to the family and give enough information to the interventionist(s) working with the child and family. This will allow the interventionist(s) to develop therapeutic goals and coach family members or caregivers in the activities that can be applied throughout their daily routines. Interventionists will document how they have involved the family in the **Session Note** and **Progress Note** (refer to *Service Delivery Chapter- Chapter 6.*) If desired, family members and caregivers can document their use of the activities or techniques in which they have been coached by the interventionist in a notebook, calendar or other tool.

Each functional outcome should be followed by a list of objectives. Objectives are short-term goals that must be achieved in order for the child to reach the functional outcome. For example:

IFSP Functional Outcome: *Ida will be able to pick up small bits of food like raisins and Cheerios with either hand using the thumb and index finger without resting her arm on the table so that she can feed herself every day during meal time.*

Objective: *Ida will pick up a Cheerio with fingers using a scraping movement*

Objective: *Ida will pick up a Cheerio with the side of her finger and thumb*

ABA SERVICES (*This information is not currently entered into the paper IFSP*)

If any services will be provided to the child using ABA methodology, the EIOD must complete this section

- 5. Will any services provided to the child use ABA methodology** – Choose yes or no
- 6. If Yes, who will provide ABA services** – Currently NYC EIP does not use ABA aides. Select Qualified Personnel Only.
- 7. Comments** – Enter any additional information regarding ABA services for this child. Ensure that this section documents the conversation regarding the NYS DOH-recommended amount of ABA services and the parent's decision.
For example: The parent was offered 20 hours of ABA, but accepted 10 hours of ABA.

NYEIS IFSP Crosswalk – Natural Environment, Transportation Needs, Non-EI Services Needed, Public Programs

April 2012

Natural Environment

Are all services being provided in child's natural environment?:

1

If no, explain

2

If any service is being provided in group setting without typically developing peers, explain why IFSP team agrees this is appropriate

3

If child in daycare, list ways the qualified professionals will train daycare providers to accomodate the needs of the child

4

Transportation Needs

Transportation Needed?:

5

Caregiver Able to Provide Transportation?:

6

Unable to Provide Transport Reason:

7

Non-EI Services Needed

Enter any Non-EI Services Needed by Child/Family

8

Public Programs

Enter any public programs the child/family may be eligible for such as (Child Health Plus A or B, Medicaid(Adult), WIC, Lead Program, TANF, Section 8 Housing, Waiver Programs, CSHCN, OMH Services, OMRDD Services, Commission for the Blind & Visually Handicapped or Other).

9

**NYEIS IFSP Crosswalk – Natural Environment, Transportation Needs, Non-EI Services Needed,
Public Programs**

NATURAL ENVIRONMENT *(This information is currently entered on page 5 of the IFSP, Settings and Incorporating Interventions into Natural Routines),*

1. **Are all services being provided in child's natural environment?** - Choose yes or no
2. **If no, explain** – Explain why the services cannot be delivered where the child spends most of his/her time. The rationale needs to be specific, detailed and developmentally sound. This information is required by the Individuals with Disabilities Education Act (IDEA).
3. **If any service is being provided in a group setting without typically developing peers, explain why IFSP team agrees this is appropriate** – Explain the IFSP team's reasoning for this decision. For example, does the child have special needs that can best be met in a structured group developmental setting?
4. **If child in day care, list ways the qualified professionals will train day care providers to accommodate the needs of the child** - For example, the interventionist may use a notebook to communicate with the family about the skills on which s/he is working and how the family might practice those skills during the child's natural routines; phone calls can be arranged at regular times; emails can be exchanged; etc. When appropriate, Family Training sessions can be arranged on a regular basis (monthly, bi-monthly, etc.) at the center or in the home to teach parents/caregivers/siblings to help the child generalize his/her new skills during daily routines. The parent may be interested in having the interventionist attend a monthly family meeting to explain the child's progress and give suggestions that various family members can incorporate into the child's and family's routines.

TRANSPORTATION NEEDS *(This information is currently located on page 6 of the IFSP, Transportation, Assistive Technology and Respite Services.)*

5. **Transportation Needed?** - Choose yes or no
 - a. The team should review the family's transportation needs related to implementation of the service plan and check the appropriate box
6. **Caregiver Able to Provide Transportation?** - Choose appropriate option:
 - b. No transportation needed (fewer than 6 blocks of travel)
 - c. Caregiver – public
 - d. Caregiver – private car
 - e. Caregiver cannot provide

Note: As per NYS DOH regulations, consideration shall first be given to provision of transportation by the parent of a child. The IFSP team should explore all options. Is transportation needed at all? If so, is the caregiver able to transport the child either by public transportation or by private car? If the family is requesting reimbursement for public transportation or for mileage accrued, note as such.

7. **Unable to Provide Transportation Reason** – If the caregiver is unable to transport the child to the location of service provision, the reason for this inability must be clearly documented. For example, “The family/caregiver works during the day, the child stays at the home of a caregiver who cannot leave the building to transport the child to the location of service.” “The family does not have a car or other means to transport the child to the EI center.” The IFSP team should determine the validity of the reason and proceed to consider whether a school bus or car service is an appropriate option.
 - f. If car service is authorized, a responsible adult must accompany the child. Any special transportation needs (such as a nurse accompanying the child) must be noted; these needs should

be supported by and described in the MDE summary as well as in written documentation supplied by one of the child's medical providers.

NON-EI SERVICES NEEDED *(This section is currently entered on page 7 of the IFSP, Service Coordination Activities)*

8. **Enter any Non-EI services needed by child/family** – List other services that may be needed to support the child and family outcomes, e.g., “Work with the local interchurch council to seek funds for child care so that mother can return to work part-time.”
 - a. **Specifically indicate if this will be an OSC follow-up activity**

PUBLIC PROGRAMS *(This section is currently entered on page 7 of the IFSP, Service Coordination Activities)*

9. **Enter any public programs the child/family may be eligible for**, such as Child Health Plus A or B, Medicaid (adult), WIC, the NYC DOHMH lead program, TANF, Section 8 housing, waiver program, CSHCN, OMH Services, OPWDD Services, Commission for the Blind and Visually Handicapped, or others.
 - a. **Specifically indicate if this will be an OSC follow-up activity**

NYEIS IFSP Crosswalk – Meeting Attendees, Other Meeting Participants, Parent Resources

April 2012

Meeting Attendees

Enter all EI Participants that attended EI Meeting such as (Parents, EIO, SC, Evaluator, or Service Provider)

1

Other Meeting Participants

Enter any other IFSP Meeting participants including name and agency/organization.

2

Parent Resources

Is the family eligible for other sources of Respite?:	3	
If Yes, what sources:		4
Has the family applied for this Respite?:	5	
If yes, date of application:	6	
Respite Status:	7	
If No, explain:		8

NYEIS IFSP Crosswalk – Meeting Attendees, Other Meeting Participants, Parent Resources

1. **MEETING ATTENDEES** *(Currently located on Page 1 of the IFSP, Identifying Information)*
Enter all EI participants that attended the EI meeting such as parents, EIO/D, SC, evaluator, or service provider, including role, name and agency.
2. **OTHER MEETING PARTICIPANTS** *(Currently located on Page 1 of the IFSP, Identifying Information)*
Enter the name and agency/organization of any other IFSP meeting participants.

PARENT RESOURCES *(This information is currently located on page 6 of the IFSP, Transportation, Assistive Technology and Respite Services.)*

3. **Is parent eligible for other sources of respite?** - Choose yes or no
4. **If yes, what sources?** – Enter the sources
 - a. The team should review the statement defining respite services with the family, emphasizing that respite is a temporary service. (If the family needs long-term services, the OSC should assist them in accessing other supports in the community.) Indicate whether a parent/guardian has expressed a need for EI respite services. Indicate whether the family is eligible or has applied for other sources of respite, such as through OPWDD.
5. **Has the family applied for this respite?** - Choose yes or no
6. **If yes, date of application** – Enter the date:
 - b. Click on the calendar,
 - i. Choose the month from the drop-down list
 - ii. Type in the year
 - iii. Click on the day
7. **Respite Status:** – Select the status of the respite application
8. **If No, explain:** - If the family is not eligible for sources of respite outside of the EIP, explain why and document the attempts made to obtain respite.

NYEIS IFSP Crosswalk – Transition, Transfer, Late Services, IFSP Comments

April 2012

Transition Services

Identify services/activities necessary to support the child's transition to CPSE or other community services

Transition to CPSE Discussed?: 1

Transition to Other Early Childhood and Support Services Discussed?: 2

Date transition discussed with parents: 3

Procedures to prepare child for changes in service delivery, including steps to help the child adjust to, and function in, a new setting

4

Did parent consent to allow communication with personnel who will be providing services to the child, to facilitate a smooth transition?: 5

If yes, enter steps to prepare personnel for the child's transition

6

Other activities that the IFSP participants determined necessary to support the transition of the child

7

Transfer

Transfer to another municipality

Expected Transfer Date: 8

Receiving Municipality: 9

Transfer Comments

10

Late Services

Delay Status: 11

Delay Reason: 12

IFSP Comments

13

Save

Cancel

NYEIS IFSP Crosswalk – Transition, Transfer, Late Services, IFSP Comments

TRANSITION *(Information on this page is currently entered on page 7A and 7B of the IFSP, Transition Plan)*

Identify services/activities necessary to support the child's transition to CPSE or other community services

1. **Transition to CPSE Discussed?** – Choose yes or no
 - a. The steps to a smooth CPSE transition must be explained to the parent, including the dates for *Notification, Transition Conference* and *Referral*. In addition, enter the Department of Education Region and District in which the child resides.
 - b. It is important that the parent understand that it is the parent's responsibility to refer the child to the CPSE for initial evaluations. The OSC should assist the family by helping them write the referral letter and mailing or faxing it to the CPSE. The OSC may, if asked by the parent, assist the family with follow-up. The parent must be informed that his/her child will no longer be eligible for EI services after turning 3 unless the child has been found eligible for services by the CPSE.
 - c. If the parent requests it, the service coordinator may attend the CPSE meeting to determine the child's eligibility for preschool special education services.
2. **Transition to other Early Childhood and Support Services Discussed?**– Choose yes or no
 - a. List the options that have been discussed with the parent and in which the parent shows interest. These may include both government sponsored (e.g., OMRDD, Head Start) and private alternatives (e.g., child care, preschool, playgroups).
3. **Date transition discussed with parents** - If yes to 1 or 2, then enter date of the discussion (this date can be before the date of the IFSP meeting)
 - a. To enter the date, click on the calendar,
 - i. Choose the month from the drop-down list
 - ii. Type in the year
 - iii. Click on the day
4. **Procedures to prepare child for changes in service delivery, including steps to help the child adjust to, and function in, a new setting** - What steps can be taken to assist the transition and the child and family's adjustment to a new setting? For example, SC and interventionists may begin talking to the child and family about changes in services and settings; provide referrals and literature to the family; suggest visiting possible sites or contacting community agencies.
5. **Did parent consent to allow communication with personnel who will be providing services to the child, to facilitate a smooth transition?** – Choose yes or no
6. **If yes, then enter procedures to allow qualified personnel to prepare for child's transition** – Include such activities as contacting new teachers/therapists by phone, sending reports, etc.
7. **Other activities that the IFSP participants determined necessary to support the transition of the child** - Include information such as the names of those who might assist, such as current interventionists, staff at the provider agency, community agencies (e.g., ECDC).

TRANSFER *(This information is not currently entered into the paper IFSP)*

Complete this section if the IFSP team is aware that the family will be moving to another NYS municipality in the coming IFSP period.

8. **Expected transfer date** – Enter the anticipated move date
 - a. To enter the date, click on the calendar,
 - i. Choose the month from the drop-down list
 - ii. Type in the year

iii. Click on the day

9. **Receiving Municipality** - Choose from the drop-down list

10. **Transfer comments** – Enter any information about the parents’ expected move such as address, phone number, whether parent has contacted EI or CPSE in the new municipality.

LATE SERVICES

In the **Late Services** section of the IFSP, the **Delay Status** *must* be completed when the IFSP team is aware that some or all services will be delayed beyond 30 days after the start date of the six-month IFSP period. The EIOD or SC *must* enter a **Delay Reason Code** in this scenario. If an individual service is delayed unexpectedly after the IFSP is authorized, a task will be generated to the rendering provider’s Service Authorization Work Queue to provide the reason for the delay.

11. **Delay status** - Choose from the drop-down list:

- a. All services will be delayed
- b. Some services will be delayed

12. **Delay reason** - Choose from the drop-down list:

- c. Family – delayed response/consent for appointment
- d. Family – missed canceled appointment
- e. Family – problem scheduling appointment
- f. Other
- g. Provider scheduling problem/waitlist
- h. Weather/other emergency declared

IFSP COMMENTS

13. This section should be used for EIODs or service coordinators to enter any items discussed at the IFSP meeting that may not have been written in other sections such as:
- a. Services offered and discussed by EIODs that the parents turned down and the reason
 - b. If during the IFSP meeting it becomes evident that another evaluation is needed for additional information
 - c. If Written Notice was given at the end of the IFSP and the reason
 - d. Any upfront waivers that are authorized
 - i. Indicate the service type(s)
 - e. If any of the authorized services do not have a rendering provider agency assigned
 - f. If the child is in foster care, how the birth parent will be involved in EI services (if applicable)

IFSP FORMS

**INDIVIDUALIZED FAMILY SERVICE PLAN
IDENTIFYING INFORMATION (Page 1)**

Child's Name: (Last) _____ (First) _____
EI #: _____ DOB: ____/____/____
Today's Date: ____/____/____ Gender: [] M [] F

IFSP meeting held within
45 days? [] YES [] NO
(If no, verify reason for
delay on Transmittal Form)

IFSP Meeting (check as appropriate): ☐ Interim ☐ Initial ☐ 6 month ☐ 12 Month ☐ 18 Month ☐ 24 Month ☐ 30 Month ☐ 36 Month ☐ Amended
(If this is an Amendment meeting, check *amended* and the IFSP period) ☐ Transition Conference ☐ Transition Plan (check the transition conf./plan box and the IFSP period)
Date of Initial IFSP : ____/____/____ At initial IFSP, write effective dates: 6 Month Review: ____/____/____ Annual IFSP: ____/____/____

Mother's/Guardian's Name: _____ Father's/Guardian's Name: _____
Child's Address: _____ Apt. # _____ Zip Code _____ Parents' Language: _____
(Street) (Borough/City)
Home Phone #: (____) _____ Alternate Phone #: (____) _____ Cell Phone #: (____) _____

Is child in foster care: () No () Yes **If yes, please fill out the following information:**
Foster Parent/Surrogate's Name: _____ Agency: _____ Caseworker's Name: _____
Agency Address: _____ Phone #: (____) _____
Fax #: (____) _____

Ethnicity: ☐ Hispanic ☐ Not Hispanic **Race:** ☐ White ☐ Black ☐ Native American or Alaskan ☐ Asian ☐ Native Hawaiian/ Other Pacific Islander
NOTE: More than one racial category can be checked.

IFSP Participants: **Print Name:** **Agency:** **Signature:**

☐ Parent ☐ Legal Guardian ☐ Foster Parent

☐ Early Intervention Official Designee

☐ Initial SC ☐ Ongoing SC ID #: _____ Phone #: (____) _____

☐ Evaluator ☐ Interventionist

☐ Other

Health/ Medical Information

Diagnosis:

Medical Alerts:

INSTRUCTIONS FOR IFSP PAGE 1

IDENTIFYING INFORMATION, SIGNATURES

1. **Child's Name** - The child's complete legal name, written last name first. The child's name should be written **last name first** throughout the IFSP document. Do not use nicknames and/or abbreviations. If the child is/was known by another name, write ***AKA*** and the other name below the (*last*) or (*first*) sections of the line.
2. **EI Number** - The child's EI number as issued by the NYC EIP.
3. **Child's DOB** - Child's date of birth in month, date, year (2 digits) order. For example, March 25, 2008 would be written 03/25/08.
4. **Today's Date** - Write the date on which the IFSP meeting is being held. This date will appear at the top of each page of the IFSP.
5. **Gender** - Check the box for male (M) or female (F).
6. **IFSP Meeting** - Check the appropriate box to indicate whether the IFSP is an Interim, Initial, 6 Month, etc. Also check the *Amended* box if this is an amended IFSP, so that it is clear which IFSP period is being amended. If the Transition Plan is developed or the Transition Conference is held as part of the IFSP meeting, check the box for *Transition Plan* or *Transition Conference* in addition to the IFSP period.
7. **Date of Initial IFSP** - Write the date on which the initial IFSP meeting is (or was) held. If this is an Initial IFSP, this will be the **same** date as **Today's Date** in the upper right hand corner. For all other meetings, always write the date the initial meeting was held.
8. **Effective Dates** - At the initial IFSP, write the effective dates of the 6 Month Review and Annual IFSP.
 - *The effective date of the 6 month IFSP is the day after the end date of the initial IFSP*
 - *The effective date of the annual IFSP is the day after the end date of the 6 month IFSP*(Refer to the schedules in the Appendix.)
9. **Mother's/Guardian's Name** - The biological or adoptive mother's/guardian's name.
10. **Father's/ Guardian's Name** - The biological or adoptive father's/guardian's name.
11. **Child's Address/Apartment Number** - The complete address where the child resides. If the address is a *private residence*, write **PH** next to *Apt. #*. Be sure to include the borough of residence or city (for Queens) and the zip code. (**NOTE:** This is the address of the foster parent if the child is in foster care. Block out the name, address and phone number of the foster parent before the IFSP is given to the biological parent or advocate.)
12. **Parents' Language** - The dominant language spoken by the family. Indicate more than one language if two languages are regularly spoken in the home. Indicate if parent/guardian uses sign language primarily. This information is used, in part, to determine if accommodations will be needed for future reviews
13. **Home Phone #** - Indicate N/A if there is no telephone.
14. **Alternate Phone #** - An alternate daytime telephone number at which a family member can be reached.
15. **Cell Phone #** - Indicate N/A if there is no cell phone.

16. **Foster Care Information** - Indicate whether the child is in foster care, the names of the foster parent/surrogate, the foster care agency and the caseworker involved, and the *agency* address, telephone and fax numbers. (See NOTE for #12 above.).
17. **Ethnicity/Race** – Check the appropriate box for **both** *Ethnicity* and *Race*. (**NOTE:** This is a federal requirement which ***must*** be completed.) Parents should be asked to check the boxes that they are most comfortable with. **More than one racial designation for a child can be selected.** If the parent refuses to complete this information, write this on the form.
19. **Participant's Name and Signature** – Each person attending the meeting, including any interpreter, prints and signs his/her name to indicate his/her presence.
21. **Agency-** The employer of each person present, except the parent/guardian, who may write “N/A” in this section or leave it blank.

NOTE: In an emergency situation, in which a clinician can only participate in the meeting via telephone, the EI/OD must document the clinician's name, title/discipline, Agency name and that the individual was “available by phone.”

MEDICAL INFORMATION

1. List relevant diagnoses or conditions, e.g., cerebral palsy, autism, Down syndrome, failure to thrive, etc. Write the diagnoses in words; do not use the ICD 9 codes.
2. List relevant medical alerts such as allergies, medications or other information that the interventionist should know.

INDIVIDUALIZED FAMILY SERVICE PLAN (Page 2)
CURRENT DEVELOPMENT, and FAMILY CONCERNS

Child's Name: (Last) _____ (First) _____
EI #: _____ DOB: ____/____/____ Today's Date: ____/____/____

Concerns: What my (parent) concerns are: (Provide example(s) of how daily routines are affected/ when this concern is most noticeable to the parent/family.)

Motor: Ability to get around- gross motor (ex: sitting, rolling, standing, crawling, walking), handling small objects- fine motor, sensory skills) hearing, vision.

Parent Concern: ☐ I have no concerns in this area at this time. ☐ Parent is concerned about this area of development (provide examples):

MDE Results: ☐ There are no concerns at this time; the child is developing typically in this domain. ☐ The evaluation results indicate concerns (Concern in attached MDE Summary):

Adaptive: Sucking, eating solid foods, drinking from a cup. Sleeping, dressing, toileting.)

Parent Concern: ☐ I have no concerns in this area at this time. ☐ Parent is concerned about this area of development (provide examples):

MDE Results: ☐ There are no concerns at this time; the child is developing typically in this domain. ☐ The evaluation results indicate concerns (Concern in attached MDE Summary):

Communication: Understanding what is being said, using sounds, words or gestures to let others know what he/she needs.

Parent Concern: ☐ I have no concerns in this area at this time. ☐ Parent is concerned about this area of development (provide examples):

MDE Results: ☐ There are no concerns at this time; the child is developing typically in this domain. ☐ The evaluation results indicate concerns (Concern in attached MDE Summary):

Cognitive: Thinking, Learning, Using Toys, Paying Attention, Controlling Environment

Parent Concern: ☐ I have no concerns in this area at this time. ☐ Parent is concerned about this area of development (provide examples):

MDE Results: ☐ There are no concerns at this time; the child is developing typically in this domain. ☐ The evaluation results indicate concerns (Concern in attached MDE Summary):

Social Emotional: Relating to and getting along with adults and children, getting used to new places and expressing emotions (self-calming)

Parent Concern: ☐ I have no concerns in this area at this time. ☐ Parent is concerned about this area of development (provide examples):

MDE Results: ☐ There are no concerns at this time; the child is developing typically in this domain. ☐ The evaluation results indicate concerns (Concern attached in MDE Summary):

INSTRUCTIONS FOR IFSP PAGE 3

DAILY ROUTINES AND ACTIVITIES

Priorities:

1. Based on our conversation, which of your child's daily routines and activities would you like Early Intervention to help you work with your child on – List the daily activities that are difficult for the family/caregiver, such as bath time, meal time, nap time, family outings, etc. For example, does the child really enjoy playing with other children yet find it difficult due to a communication delay? Does the child become upset at the shopping mall or on the street when there are a lot of people and noise? Include those activities or routines about which the parent has concerns, such as bathing, mealtime, sleeping, or transitioning from one activity to another.
2. Based on your answer(s) to the last question, which concern(s) would you like Early Intervention to focus on (if more than one, list them in order of priority) - List the parent's concerns in order of in which you would like them addressed

Resources:

This page must be completed by the ISC with the parent prior to the IFSP meeting.

1. **Where does your child spend most of his/her time during a typical day?** - Select the settings where the child spends the most time, e.g., home, day care, a relative's home, a babysitter's home, a playgroup.
2. **Day Care/C aregiver Information** –Complete the caregiver's or program's name, address, and telephone number.
3. **If your child is not in a Daycare/ Child Care Program/ Babysitter who assists you with childcare?** Select the individual who assists with child care that the parent wants to be involved in the Family Service Plan. These individuals' participation in the Service Plan may be direct (working with an interventionist) or indirect (learning new skills from parent/caregiver). For example, a parent may request that the interventionist work directly with the child's babysitter (direct) and the parent may also want assistance to learn how to show the child's grandmother speech games to use with the child when they visit the grandmother's home (indirect).
4. **What language does your r child hear m ost of the day?** – List the language that the child hears or uses during most of the day. This may be different from the dominant language of the parent (e.g., an English speaking child may have a Spanish speaking babysitter.)

**INDIVIDUALIZED FAMILY SERVICE PLAN
DAILY ROUTINES, PARENT PRIORITIES and RESOURCES (Page 3)**

Child's Name: (Last) _____ (First) _____
EI #: _____ DOB: ____/____/____
Today's Date: ____/____/____

When early intervention services are provided in places where your family typically lives, learns and plays, (family's daily routine/natural environment), progress is made more quickly. Young children learn best by socializing and playing with people they are close to (parents, family members, babysitters, childcare workers, and other children), and in places they know and like. The questions on this page will help families identify natural learning opportunities throughout the child's day and, how interventions can be made a part of your daily activities.

Priorities:

1. Based on our conversation, which of your child's daily routines and activities would you like Early Intervention to help you work with your child on (ex: **At home:** bath time, meal time, naps, dressing/ **Outside:** Shopping, attending childcare, visiting friends or family **Events:** Family get-togethers/ Places parent and child go together)?
2. Based on your answer(s) to the last question, which concern(s) would you like Early Intervention to focus on (if more than one, list them in order of priority)?

Resources: (This Section must be filled out by the ISC with the parent/guardian before the IFSP meeting)

1. Where does your child spend most of his/her time during a typical day? (Some of these places may be possible sites for early intervention activities)
☐ *Daycare/ Child Care Program/ Babysitter ☐ At home ☐ Other _____

If child attends Daycare/ Child Care Program/ Babysitter, please fill out the following:

Name of caregiver, or program: _____
Address _____

Phone #: (_____) _____

2. If your child is not in a Daycare/ Child Care Program/ Babysitter who assists you with childcare? ☐ Grandparent ☐ Friend ☐ Other _____
3. What language does your child hear most of the day? _____

INSTRUCTIONS FOR IFSP PAGE 3

DAILY ROUTINES AND ACTIVITIES

Priorities:

1. Based on our conversation, which of your child's daily routines and activities would you like Early Intervention to help you work with your child on – List the daily activities that are difficult for the family/caregiver, such as bath time, meal time, nap time, family outings, etc. For example, does the child really enjoy playing with other children yet find it difficult due to a communication delay? Does the child become upset at the shopping mall or on the street when there are a lot of people and noise? Include those activities or routines about which the parent has concerns, such as bathing, mealtime, sleeping, or transitioning from one activity to another.
2. Based on your answer(s) to the last question, which concern(s) would you like Early Intervention to focus on (if more than one, list them in order of priority) - List the parent's concerns in order of in which you would like them addressed

Resources:

This page must be completed by the ISC with the parent prior to the IFSP meeting.

1. **Where does your child spend most of his/her time during a typical day?** - Select the settings where the child spends the most time, e.g., home, day care, a relative's home, a babysitter's home, a playgroup.
2. **Day Care/Caregiver Information** –Complete the caregiver's or program's name, address, and telephone number.
3. **If your child is not in a Daycare/ Child Care Program/ Babysitter who assists you with childcare?** Select the individual who assists with child care that the parent wants to be involved in the Family Service Plan. These individuals' participation in the Service Plan may be direct (working with an interventionist) or indirect (learning new skills from parent/caregiver). For example, a parent may request that the interventionist work directly with the child's babysitter (direct) and the parent may also want assistance to learn how to show the child's grandmother speech games to use with the child when they visit the grandmother's home (indirect).
4. **What language does your child hear most of the day?** – List the language that the child hears or uses during most of the day. This may be different from the dominant language of the parent (e.g., an English speaking child may have a Spanish speaking babysitter.)

**INDIVIDUALIZED FAMILY SERVICE PLAN
FUNCTIONAL OUTCOMES (Page 4)**

Child's Name: (Last) _____ (First) _____ EI #: _____
DOB: / / Today's Date: / / Date of Review: / /

Functional Outcome: A practical result that your child will gain as a result of Early Intervention supports and services in the next 6 months

Note: Outcomes are not discipline specific. Interventionist must work together on all outcomes identified in the IFSP.

1. Functional Outcome:

Objectives: Short term goals that should be achieved in order for the child to reach the functional outcome:

Six Month Review: Will this outcome:

☐ Continue ☐ Be Revised (Complete new outcome page) ☐ Discontinue

Progress Note Dates:

3. Functional Outcome:

Objectives: Short term goals that should be achieved in order for the child to reach the functional outcome:

Six Month Review: Will this outcome:

☐ Continue ☐ Be Revised (Complete new outcome page) ☐ Discontinue

Progress Note Dates:

2. Functional Outcome:

Objectives: Short term goals that should be achieved in order for the child to reach the functional outcome:

Six Month Review: Will this outcome:

☐ Continue ☐ Be Revised (Complete new outcome page) ☐ Discontinue

Progress Note Dates:

4. Functional Outcome:

Objectives: Short term goals that should be achieved in order for the child to reach the functional outcome:

Six Month Review: Will this outcome:

☐ Continue ☐ Be Revised (Complete new outcome page) ☐ Discontinue

Progress Note Dates:

Signature of Person Completing ☐ 6 ☐ 18 ☐ 30 mo Review

Signature of Parent/Guardian (at Review)

Signature and Stamp of EIOD (at Review)

INSTRUCTIONS FOR IFSP PAGE 4 FUNCTIONAL OUTCOMES

1. **Today's Date** – The date of the initial or annual IFSP meeting at which the outcomes are developed.
2. **Date of Review** – The date of the 6, 18 or 30 month review meeting at which the IFSP outcomes are reviewed.
3. **Functional Outcomes** – The outcomes, recorded on page 4, represent one of the most important aspects of the IFSP meeting. Outcomes are statements of the changes or results that are expected to happen for the child and family as a result of EI services. All team members at the IFSP meeting should collaborate in developing these outcomes. The outcomes should be related to the child's developmental needs, the family's concerns and geared toward the child's ability to function during the everyday activities outlined on page 3. For example, "Johnny will be able to sit without support during dinner." The team may also develop outcomes for the family, especially to guide services such as Family Counseling. For example, "*Mr. and Mrs. Bowen will learn about Down syndrome and what to expect for their child in order to explain the condition to their friends and family*"

Specify changes that are expected to occur over the next six months. If necessary, use a second page to list additional outcomes. For example, "*Thomas will be able to communicate his needs by pointing or with words instead of screaming so that the family can visit relatives.*" The outcomes should be unique to the family and give enough information to the interventionist(s) working with the child and family. This will allow the interventionist(s) to develop therapeutic goals and coach family members or caregivers in the activities that can be applied throughout their daily routines. Interventionists will document how they have involved the family in the **Session** and **Progress Notes** (Refer to *Service Delivery Chapter*.) If desired, family members and caregivers can document their use of the activities or techniques in which they have been coached by the interventionist on a calendar or other tool. (See sample calendar and other suggestions in the *Service Delivery Chapter*.)

4. **Objectives:** List the objectives associated with the Functional outcomes. Objectives are short term goals that should be achieved in order for the child to reach the functional outcome. For example,
IFSP Functional Outcome: Ida will be able to pick up small bits of food from like raisins and cheerios with either hand using the thumb and index finger without resting her arm on the table so that she can feed herself every day during meal time.

Objective: Ida will pick up a Cheerio with fingers using a scraping movement.
Objective: Ida will pick up a Cheerio with the side of her finger and thumb
5. At the **Six Month Review** meeting, write the date of the review meeting on a copy of the *Outcomes* page from the prior IFSP. Review the outcomes and discuss the child's and family's progress toward the outcomes. Check the appropriate box next to each outcome to indicate whether the outcome should be *continued*, *revised*, or *discontinued*. Write the dates of the **Progress Notes** for the relevant service type and method.

Write new or revised outcomes for the next six month period on a new functional outcomes page.

NOTE: When a new service is added or an Assistive Technology device is authorized, whether at a six month review or an amendment meeting, a new outcome(s) is required. This outcome will guide the interventionist in working with the family and/or using the AT device with the child and family and can be documented on a new *Outcomes* page.

6. **Signatures** – The parent(s) and the EIOD must sign this page at the 6 Month IFSP Review meeting or the Amendment meeting to indicate agreement with the outcomes for the next six month period. The person who writes the information on this page must also sign (i.e., the OSC or EIOD). This is particularly important for the OSC who may be conducting the review meeting without the EIOD being present.

INDIVIDUALIZED FAMILY SERVICE PLAN**Service plan (Page 5): Settings and Incorporating interventions into natural routines.**

Child's Name: (Last) _____ (First) _____

EI #: _____ DOB: ____/____/____

Today's Date: ____/____/____

Are all services being provided in child's **natural environment**? ☐ Yes ☐ No*If no, explain.*If any service is being provided in **group settings** without typically developing peers, explain why the IFSP team agrees this is appropriate:

If the family is unable to be present during therapeutic sessions with the child, how will the service provider communicate with the family to assist them in learning ways to improve the child's functioning in his/her natural environment:

- ☐ Calendar
- ☐ Notebook
- ☐ Phone Calls
- ☐ Other:

How will interventions be made a part of your daily routines and activities?

- Teacher/therapist will utilize child's play, mealtime, bathing, dressing, bedtime, morning routine, shopping, playground, family events, and weekends activities for individual intervention
- Parent/Caregiver will participate in intervention sessions when possible and incorporate teacher/therapist suggestion into child's daily routine
- Teacher/therapist will communicate on a regular basis with parent/caregiver, other interventionist, and day care/child care providers to coordinate strategies and accommodate the needs of the child (if child is in a daycare setting).

Teacher/therapist responsibilities:

- Teacher/therapist will provide a schedule of agency holidays and planned time off to the parent/caregiver at the beginning of the authorization period
- Teacher/therapist will review and provide a copy of each progress note to the parent/caregiver.
- Teacher/therapist will submit completed progress notes to the service coordinator at least 2 weeks before each 6 month review period.

INSTRUCTIONS FOR IFSP PAGE 5

SERVICE PLAN

This page describes the ways in which the interventionist(s) may involve the family and coach them in activities to practice in their daily routines. Use language that is clear and understandable for the family. The plan should address how the outcomes might be achieved.

1. **Are all services being provided in the child's natural environment?** – Check *yes* or *no*. If *no* is checked, explain why the services cannot be delivered where the child spends most of his/her time. Please note that the rationale needs to be as specific, detailed and developmentally sound. This information is required by the Individuals with Disabilities Education Act (IDEA).
2. **Is any service being provided in a group setting without typically developing peers?** – Explain why the IFSP team agrees that this is the appropriate plan for this child. For example, does the child have special needs that can best be met in a structured group developmental setting?
4. **If the family is unable to be present during therapeutic sessions with the child, how will the service provider assist the family in learning ways to improve the child's functioning in his/her natural environment.** – For example, the interventionist may use a notebook to communicate with the family about the skills on which s/he is working and how the family might practice those skills during the child's natural routines; phone calls can be arranged at regular times; emails can be exchanged, etc. When appropriate, Family Training sessions can be arranged on a regular basis (monthly, bi-monthly etc.) at the center or in the home to teach parents/caregivers/siblings to help the child generalize his/her new skills during daily routines. The parent may be interested in having the interventionist attend a monthly family meeting to explain the child's status and give suggestions that various family members can incorporate into the child's and family's routines.

**INDIVIDUALIZED FAMILY SERVICE PLAN
SERVICE AUTHORIZATION FORM Page 5a**

CHILD INFO: Child's Name: (Last) _____ (First) _____
(Middle) _____ EI #: _____ DOB: ____/____/____
Effective Date of IFSP: ____/____/____ End Date of IFSP: ____/____/____

TYPE OF IFSP

☐ Interim ☐ Initial
☐ 6 Month
____ 6 ____ 18 ____ 30
☐ Annual
____ 12 ____ 24 ____ 36
☐ Amendment to IFSP
Dated: ____/____/____

PROVIDER INFORMATION (USE ONE SHEET PER SERVICE PROVIDER)

PROVIDER NAME: _____
PROVIDER EI #: _____
CONTACT PERSON: _____
CONTACT PERSON'S PHONE: (____) _____
CONTACT PERSON'S FAX: (____) _____
SC: _____ SC #: _____
PHONE: (____) _____ FAX: (____) _____

Service Provider not identified at time of IFSP for the following services (Pended):

Service Type: _____ Frequency/ Duration Authorized: _____
1. _____
2. _____
3. _____
4. _____
5. _____
OSC will identify provider by ____/____/____
NOTE: OSC must contact EIOD if provider is not identified within two weeks

EIOD Name _____ **DATE:** ____/____/____

EIOD Signature: _____

Private Insurance Name (Do not write Child Health Plus)

Insurance Company Name: _____
Policy Holder Name: _____ DOB: ____/____/____
Relationship to Child: _____ Policy #: _____
Group Name: _____ Group #: _____
Effective Date: ____/____/____

NOTE: The Service Authorization Form is only valid if signed by the EIOD. A separate Service Authorization Form must be completed for each service provider.

Insurance Information must be completed and updated at each IFSP, including amendments. If the child is enrolled in a Medicaid Managed Care Plan, include child's Medicaid number, as well as insurance Company Information.

Child Medicaid Eligible: ☐ Yes ☐ No

Child's Medicaid OR CIN #: ____/____/____/____/____/____/____/____
Ltr / Ltr / # / # / # / # / # / Ltr

1: SERVICE TYPE Use code letters for Service, Method and Location (See back for KEY)		2: Method	3: Location	4: Begin Date	5: End Date	6: Min per visit	7: Days per week	8: Weeks	9: Units	10: Waiver Code(s)	11: Status	Provider Instructions	
												12: Bilingual Request?	13: Prescription Needed?
1: TYPE SVC Code Letter	_____	_____	_____							Waiver Code(s) _____ Initial Start date: _____	☐ ADD ☐ END	☐	☐ PT ☐ OT ☐ Nursing
2: TYPE SVC Code Letter	_____	_____	_____							Waiver Code(s) _____ Initial Start date: _____	☐ ADD ☐ END	☐	☐ PT ☐ OT ☐ Nursing
3: TYPE SVC Code Letter	_____	_____	_____							Waiver Code(s) _____ Initial Start date: _____	☐ ADD ☐ END	☐	☐ PT ☐ OT ☐ Nursing
4: TYPE SVC Code Letter	_____	_____	_____							Waiver Code(s) _____ Initial Start date: _____	☐ ADD ☐ END	☐	☐ PT ☐ OT ☐ Nursing
5: TYPE SVC Code Letter	_____	_____	_____							Waiver Code(s) _____ Initial Start date: _____	☐ ADD ☐ END	☐	☐ PT ☐ OT ☐ Nursing

Data Entry Name: _____ Date: ____/____/____

1. SERVICE TYPE (Category A services) <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A Assistive Technology (svc)</td> <td style="width: 50%;">J Psychological</td> </tr> <tr> <td>B Audiology</td> <td>K Respite Care</td> </tr> <tr> <td>C Family Counseling</td> <td>L Social Work</td> </tr> <tr> <td>D Health</td> <td>M Special Instruction</td> </tr> <tr> <td>F Nursing</td> <td>N Speech/Language</td> </tr> <tr> <td>G Nutrition</td> <td>Q Vision</td> </tr> <tr> <td>H Occupational Therapy</td> <td>R Service Coordination</td> </tr> <tr> <td>I Physical Therapy</td> <td>T Family Training</td> </tr> <tr> <td>S Family Support Group</td> <td></td> </tr> </table> <i>Assistive Technology and Transportation:</i> Use the AT Device for AT equipment and Transportation Service DE Forms for bus or other transportation.	A Assistive Technology (svc)	J Psychological	B Audiology	K Respite Care	C Family Counseling	L Social Work	D Health	M Special Instruction	F Nursing	N Speech/Language	G Nutrition	Q Vision	H Occupational Therapy	R Service Coordination	I Physical Therapy	T Family Training	S Family Support Group		2. PAYMENT RATE / METHOD TYPE Z Office/Facility Individual/Collateral Visit (O/F) A Basic Home/Community Individual/Collateral Visit (H/C) H Extended Home/Community Individual/Collateral Visit B Basic Group Developmental Visit C Enhanced Group Developmental Visit D Basic Group Developmental Visit with 1:1 Aide G Enhanced Group Developmental Visit with 1:1 Aide E Parent-Child Group F Family-Caregiver or Sibling Support Group
A Assistive Technology (svc)	J Psychological																		
B Audiology	K Respite Care																		
C Family Counseling	L Social Work																		
D Health	M Special Instruction																		
F Nursing	N Speech/Language																		
G Nutrition	Q Vision																		
H Occupational Therapy	R Service Coordination																		
I Physical Therapy	T Family Training																		
S Family Support Group																			
3. LOCATION TYPE <u>Group Service Codes:</u> A Group 51% TD Group designed for 51% or more typically developing children D Group 50% TD Group designed for 50% or less typically developing children C Group 0% TD Group designed for no typically developing children <u>Individual Service Codes:</u> B Family Day Care E Home F Hospital Inpatient G Provider Location (office, clinic, or hospital) I Residential Facility O Other K Community Recreation Center M All Group Community Child Care Locations	4. & 5. BEGIN & END DATES Designate the “Begin” and “End” dates for each specific service, frequency and duration. The end date cannot exceed the IFSP end date. 6, 7, & 8. FREQUENCY AND DURATION CODES 6. Min = Minutes of service per session 7. Days = Number of days per week 8. Weeks = Number of weeks of service (Maximum 26 for six months)																		
9. UNITS: (Days x weeks for each service.) Service Coordination: Refer to the Units Table. One unit of service coordination = 15 minutes (¼ hr.) ¼ hr. per week x 26 weeks = 26 units ½ hr. per week x 26 weeks = 52 units 1 hr. per week x 26 weeks = 104 units 1½ hr per week x 26 weeks = 156 units 2 hrs. per week x 26 weeks = 208 units A unit of Early Intervention Services is a “visit”. The total number of units equals the number of visits per week X the total number of weeks. <u>Service Type Unit Table</u> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">1 x 26 weeks = 26 units</td> <td style="width: 50%;">2 x 26 weeks = 52 units</td> </tr> <tr> <td>3 x 26 weeks = 78 units</td> <td>4 x 26 weeks = 104 units</td> </tr> <tr> <td colspan="2">5 x 26 weeks = 130 units</td> </tr> </table> <i>Refer to Appendix F of the NYC Forms and Procedures Manual for additional calculations.</i>	1 x 26 weeks = 26 units	2 x 26 weeks = 52 units	3 x 26 weeks = 78 units	4 x 26 weeks = 104 units	5 x 26 weeks = 130 units		<table style="width: 100%; border: none;"> <tr> <td style="width: 80%; vertical-align: top;"> 10. WAIVER CODES (Billing Rule Exceptions) 1 More than three H/C visits per day 2 More than one H/C visit per discipline per day 3 More than three O/F visits per day 4 More than one O/F visit per discipline per day 5 More than one Parent Child group session per day 6 More than one Group Developmental session per day 7 More than two Family/Caregiver Group sessions per day 8 More than one core evaluation in one year 9 More than four supplemental evaluations in one year NOTE: If a non-waived service authorization changes to a waived status, check in the waiver box, provide the reason codes (above) that apply, and document the begin date for when services may be exempted from the above billing rules. Also place a check mark in the “No Data Entry” column. </td> <td style="width: 20%; vertical-align: top; border-left: 1px dotted black; padding-left: 10px;"> 11. AMEND STATUS (Circle One) Add – a new authorization End – an existing authorization </td> </tr> </table>	10. WAIVER CODES (Billing Rule Exceptions) 1 More than three H/C visits per day 2 More than one H/C visit per discipline per day 3 More than three O/F visits per day 4 More than one O/F visit per discipline per day 5 More than one Parent Child group session per day 6 More than one Group Developmental session per day 7 More than two Family/Caregiver Group sessions per day 8 More than one core evaluation in one year 9 More than four supplemental evaluations in one year NOTE: If a non-waived service authorization changes to a waived status, check in the waiver box, provide the reason codes (above) that apply, and document the begin date for when services may be exempted from the above billing rules. Also place a check mark in the “No Data Entry” column.	11. AMEND STATUS (Circle One) Add – a new authorization End – an existing authorization										
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12 & 13 Provider instructions: 12. Bilingual Request- Check if bilingual is preferred by the IFSP team. If bilingual services can not be located, a monolingual therapist is acceptable. Please notify the EIOD. The Service Authorization Form does not need to be resubmitted. 13. Prescription Needed- If Occupational Therapy (OT), Physical Therapy (PT), or Nursing was authorized at the IFSP, check to indicate that services cannot begin until a prescription from a physician is received.																			

INSTRUCTIONS

SERVICE AUTHORIZATION DATA ENTRY FORM

This form records the information necessary for data entry into the KIDS system of the services authorized for the child and family through the Early Intervention Program. Indicate all authorized services, including service coordination, assistive technology services, respite services, special instruction, family support and therapeutic services. Indicate transportation services on the **Transportation Service Data Entry Form**. Indicate specific assistive technology devices on the **Assistive Technology Device Data Entry Form**. (NOTE : This form may be completed by the Assistive Technology Unit.)

Document authorizations for *each* provider on a *separate* **Service Authorization Data Entry Form**. For example, if occupational therapy will be delivered through ABC agency and speech services and service coordination will be delivered through DEF agency, complete two **Service Authorization Data Entry Forms**, each with the appropriate *Provider Information*.

1. **Child Information** – The child's EI number, name, and date of birth as recorded in all other places on the IFSP.
2. **Effective Date of IFSP** – For an initial IFSP, this is the date that the IFSP meeting takes place. (NOTE: If the meeting was convened but the IFSP was not completed at that meeting, use the date that the first meeting took place.)

For a Six Month Review or Annual IFSP, the effective date is the day after the end date of the existing IFSP.

For an amendment to an IFSP, use the effective date of the *current* IFSP.

3. **End Date of IFSP** - 26 weeks after the effective date of the IFSP **unless the child turns 3 before that date:**

If a child turns 3 before the 26 week end date of IFSP, the end date of the IFSP must be the day before the child's third birthday. For example, the effective date of IFSP may be 1/1/10, and the end date of a 26 week IFSP would be 6/30/10. However, if the child's third birthday is 4/15/10, the end date of IFSP would be 4/14/10.

If the child has been found eligible for services by the Committee on Preschool Special Education (CPSE) and an IEP form is presented at the IFSP meeting, the end date of the IFSP may be 26 weeks after the begin date if the parent requests that the child remain in EI. Under no circumstances, however, can the child continue to receive services beyond August 31 (for children turning 3 between January 1 and August 31) or December 31 (for children turning 3 between September 1 and December 31). A child may not receive services from both EI and CPSE at the same time. (For further information, see the policy on *Transition*).

If the child is found eligible for services by the CPSE after the begin date of IFSP, but before the child's third birthday, and the parents wish to continue EI services until the age-out date, a new **Service Authorization Data Entry Form** must be written to extend the service from the third birthday to the age-out date. In the example above, if the services end 4/14/10 because the child turns 3 on 4/15/10, the new form will *add* the service from 4/15/10 until 6/30/10. **Note that under no circumstance can the service extend beyond the 26 week end date of the IFSP.** If the parent chooses to remain in EI until the child ages out on 8/31/10, services can be continued at the next IFSP from 7/1/10 to 8/31/10.

4. **Type of IFSP** – Check the appropriate box to indicate if the IFSP is an interim, initial, 6 month or annual IFSP. If the IFSP is a 6 month or annual, also check the appropriate month (6, 18 or 30 month or 12, 24, or 36 month).

If this is an amended IFSP, check **both** the appropriate box indicating the type of IFSP **and** the box indicating amendment to IFSP. Write the **effective date of the amendment**. For example, if an initial IFSP dated 1/1/09 is being amended on 5/20/09, check the box for *Initial* and the box for *Amendment to IFSP* and write 5/20/09 next to *Dated*.

5. **Provider Information** – For all types of IFSPs, each provider agency that will provide services to the child or family must have a separate **Service Authorization Data Entry Form**. For each provider, include the following information:
- The Provider Agency Name and Provider EI Number as listed in the Provider Directory
 - The name of the contact person at the provider agency who can respond to questions about the child's program and his/her telephone and fax numbers
 - The name of the child's currently assigned OSC, the SC's #, telephone and fax numbers.
6. **Service Provider not identified at time of IFSP for the following services (Pended)** - List all the services where a provider was not identified during the IFSP meeting. The Frequency (how often) and duration (how long) should be included. Write the date by which the OSC will identify the provider. The date must be within 2 weeks of the IFSP date.
7. **EIOD Signature and Name** – The EIOD's signature, printed name, and the date s/he actually signed the form. This date may be different from the *Effective Date of IFSP*. **No payment can be made by the Early Intervention Program to a service provider if the Service Authorization Data Entry Form is not signed by the EIOD.**
8. **Insurance Information**- Medicaid or private insurance information must be completed and updated at each IFSP, including amendments. If the child is enrolled in a Medicaid Managed Care Plan, include child's Medicaid number, as well as insurance Company Information.
9. **Services** – Refer to the **Service Authorization Data Entry Key** for instructions on the codes. **No information should be written in this section other than the specific information indicated.** List each service type to be provided by the service provider agency indicated in *Provider Information*. There are five numbered "service lines" on each **Service Authorization Data Entry Form**. Only one *Service Type* may be written on each service line. Therefore, if more than five services are to be offered by a given provider, use additional forms. Each service line contains the following information:
1. **Service Type and Code Letter** – The name of the *Service Type* and its corresponding *Code Letter* as listed.
 2. **Method** – The *Method* by which the service is delivered and its corresponding *Code Letter* as listed.
 3. **Location** – The *Location* of the service and its corresponding *Code Letter* as listed.
 4. **Begin** – The date that each service is authorized to start. The *Begin* date can be any date **after** the *Effective Date* of IFSP for an initial IFSP or any date **on or after** the *Effective Date* of IFSP for a 6 or 12 month IFSP. The *Begin Date* should reflect the actual date that the service is expected to begin. **NOTE: A provider will not be reimbursed for any service delivered prior to the *Begin Date*.**
 5. **End** – The date on which the service will end. If the service is to be delivered for the duration of the IFSP, write the same date as the *End Date of IFSP*. If the service is to end before the *End Date of IFSP*, write the actual date the service will end. **NOTE: A provider will not be reimbursed for any service delivered after the *End Date*.**
 6. **Mins (Minutes)** – How long each session/visit is expected to last, e.g., 30 minutes, 45 minutes, etc.
 7. **Days** – The number of days per week the service will be provided. (**NOTE:** If the frequency is less than weekly, e.g., every two weeks or once a month, write this across the days and weeks boxes, e.g., 2xmonth, 1xmonth. If a particular number of units is authorized for the duration of the IFSP, indicate that clearly, e.g., 8 units during 26 week IFSP)
 8. **Weeks** – The number of weeks the service will be provided, not to exceed the total number of weeks in the IFSP.

9. **Units** – The total number of units authorized for the service type, determined by multiplying the number of days by the number of weeks, e.g., $2 \times 26 = 52$ units, or $1 \times \text{month} = 6$ units. The number of units may also be the total number of units agreed upon in the *Service Plan*, such as 8 units of Social Work during the IFSP period.

For **Service Coordination**, do not fill in columns *Method*, *Location*, or *Days*. Write the number of minutes authorized per week in *Mins* (Column 7), e.g., 30 minutes. A unit of service coordination is equal to 15 minutes. Calculate the number of units by multiplying the number of minutes divided by 15 times the number of weeks, e.g., $30/15 = 2 \times 26 = 52$ units. Consult the **Service Authorization Data Entry Key**.

10. Waiver Code –

- a. For Initial and Annual IFSPs: If the line of service violates a billing rule and requires a waiver, write the appropriate Waiver Code. More than one Waiver Code can be placed in a box if the authorization on the service Authorization violates more than one billing rule. EIOD must approve the use of the waiver by initialing the waiver box and inserting the start date of the waiver.

Note: This column replaces the former Waiver Form. No additional form is needed to indicate a waiver of the billing rules.

b. For Review and Amendment IFSP (a waiver has been added to an existing service authorization): the EIOD will write the start date for the waiver on the **Service Authorization Form**, check the box on the top for *Amendment* and put in the date of the amendment, and sign with his/her initials. This situation may occur when a new service is authorized for a child resulting in a violation of the billing rules. For example, a child may already have a PT, OT, and special instructor providing services on the day the parent is available. If ST is added, all four services must be given a waiver of the billing rules, which in this case would be *waiver code* #1. If there is room on the original **Service Authorization Data Entry Form** to add the new service for the same provider agency, the EIOD will indicate the new start date(s), waiver code(s), and initial the *Waiver Code* box.

11. **Status** – Check **Add** if the service line is being added; check **End** if the service line is being terminated. It is **necessary** to check the appropriate box for authorizations at every IFSP period.
12. **Bilingual Request**- Check if bilingual is preferred by the IFSP team. If bilingual services can not be located, a monolingual therapist is acceptable. Please notify the EIOD. The **Service Authorization Form** does not need to be resubmitted.
13. **Prescription Needed**- If Occupational Therapy (OT), Physical Therapy (PT), or Nursing was authorized at the IFSP, check to indicate that services cannot begin until a prescription from a physician is received.

INDIVIDUALIZED FAMILY SERVICE PLAN (Page 5B)
Service plan: Co-Visits (Use ONLY if co-visits are authorized)

Child's Name: (Last) _____ (First) _____
EI #: _____ DOB: ____/____/____
Today's Date: ____/____/____

Check the purpose of co-visit(s):

- ☐ Provide co-treatment for child targeting an area of child need in which 2 or more qualified personnel are providing different interventions.
- ☐ Enable professionals and parents/caregivers to work together to assess child progress and problem-solve on emerging issues related to child and family needs across the areas of needs that are being addressed by differently qualified personnel.

OR

- ☐ Provide education, training, and instruction to the parent/designated caregiver in use and integration of particular techniques and strategies to enhance the child's development and functioning in the area of need being addressed by the professionals.
(NOTE: Checking this box requires the use of Family Training as the service type.)

Functional outcome(s) addressed by co-visit: _____

Participants: ☐ Parent/Caregiver ☐ ST ☐ PT ☐ OT ☐ SI ☐ SW ☐ Other _____
☐ FT (Indicate number and disciplines of participants) _____

Method: ☐ Office/Facility Individual/Collateral ☐ Basic Home/Community Individual/Collateral ☐ Extended Home/Community Individual/Collateral

Location: ☐ Home ☐ Center ☐ Other _____ **Frequency:** _____

Authorization: ☐ Use existing authorized units ☐ Additional units to be authorized Waiver needed? ☐ Yes ☐ No

Comments:

NOTE:

If one or more of the interventionists involved in a co-visit is unable to participate in a scheduled visit, s/he is responsible for contacting the Service Coordinator to request that the co-visit be rescheduled.

The Ongoing Service Coordinator should review the IFSP and, if co-visits are authorized, contact parents and interventionists to coordinate the co-visits.

INSTRUCTIONS FOR IFSP PAGE 5B

CO-VISIT

Page 5A documents required information when a co-visit is authorized. This page is for documentation purposes only and is *not* used for data entry. Co-visits may be authorized at an IFSP or as an amendment to the IFSP. **In most cases, the EIOD will complete this page.** To request authorization of a co-visit as an amendment, the SC should follow amendment procedures and include Page 5A completed through *Frequency*. The EIOD will check the appropriate *Authorization* box.

1. **Check the purpose of co-visit(s)** - Check all that apply. If the third box is checked, *Family Training* must be authorized as the service type. This will usually involve authorizing additional lines of service.
2. **Participants** – Check boxes to indicate all participants in the co-visit. Note that the parent or caregiver will always be a participant if the service is home/community or if the second or third boxes are checked. (Co-treatment in an EI center does not require the presence of the parent/caregiver.) Use the **Other** box to indicate the discipline of any other interventionist who may attend the co-visit.

Indicate the number of providers in the same discipline. For example, if there are two Special Instructors who will be attending the co-visit list it as: ☐ SI 2

NOTE: If two interventionists of the same discipline are attending the co-visit, *even if no additional units are required*, a waiver of the billing rules must be given. Indicate this on the **Service Authorization Data Entry Form** by writing the correct *Waiver Code*.

If Family Training is authorized for the co-visit, check ☐ FT and indicate the number and disciplines of the participants. For example, check ☐ FT – 4 SI, 1 ST, and 1 OT.

3. **Method** – Check the box for the method that will be used for the co-visit.
4. **Location** – Check if the co-visit will take place in the home, center or other location (specify).
5. **Frequency** – Describe the frequency for which the co-visit is authorized. This can be the number of co-visits per month, bi-monthly, once every three months, etc.
6. **Authorization** – Check the appropriate box to indicate if interventionists will use their existing authorized units for the co-visits or if additional units will be authorized. Indicate if a waiver of the billing rules is required by checking “yes” or “no”. If “yes” is checked, remember to write the *Waiver Code* on the **Service Authorization Data Entry Form**.
7. **Comments** – Use this space to describe any other factors relevant to the co-visit.

NOTE: Co-visits do not necessarily require additional service authorizations. An interventionist can use a session from an existing line of service in collaboration with another interventionist. For example, the IFSP may authorize one visit per week for PT and one visit per week for SI and a monthly co-visit with the child and family. In this case, the PT and SI bill under the code for their own service when billing for the co-visit.

NOTE: In all situations, each interventionist must write his/her own **Co-Visit Session Note**, and include information about the co-visit in the **Progress Note** for the respective service.

INDIVIDUALIZED FAMILY SERVICE PLAN (Page 6)
SERVICE PLAN: TRANSPORTATION, ASSISTIVE TECHNOLOGY AND
RESPIRE SERVICES

Child's Name: (Last) _____ (First) _____
EI #: _____ DOB: ____/____/____
Today's Date: ____/____/____

Transportation

Transportation services are authorized to enable an eligible child and the child's family to receive Early Intervention services. As per New York State Early Intervention Program Regulations at 10NYCRR, Sec 69-4.19 (b). "...consideration shall first be given to provision of transportation by a parent of a child..." **Transportation options are evaluated in the following order.**

- ☐ No transportation needed.
- ☐ Caregiver will transport child either by: ☐ Public Transportation ☐ Private car **Is reimbursement being requested?** ☐ Yes ☐ No
- ☐ If the Caregiver is unable to transport the child state the reason: _____

The Early Intervention Program will provide transportation by:

- ☐ School bus
- ☐ Car Service. If requesting this mode please state reasons why other forms of transportation are not appropriate:

Are there any other needs (e.g., nurse on bus)? _____

Assistive Technology Device Needs:

Names/categories of AT equipment: _____

Reason AT device needed to achieve functional outcome. _____

- ☐ Form attached ☐ Form to be completed ☐ Continued assessment needed ☐ Child currently has AT equipment ☐ Not applicable

Respite Services

Respite is short term, temporary care provided by a trained respite worker or nurse. It is intended to provide support to parents and caregivers who may otherwise be overwhelmed by the intensity and constancy of caregiving responsibilities for their child with special needs. Respite is not a substitute for daycare and the need for childcare is not sufficient alone to justify respite services. *The New York City Early Intervention Program determines the need for respite services based upon the individual needs of the child and family with consideration given to New York State Public Health Laws.*

Does the family express the need for respite services? ☐ Not at this time ☐ Yes ☐ Application attached ☐ Application to be submitted

Has the family applied for other sources of respite? ☐ Not eligible ☐ No *Explain why not.* _____

☐ Yes Give source, date of application and current status. _____

INSTRUCTIONS FOR IFSP PAGE 6

SERVICE PLAN: TRANSPORTATION, ASSISTIVE TECHNOLOGY, AND RESPITE SERVICES

These are additional services that may be required by the family and may not necessarily involve an interventionist. These needs include transportation, assistive technology, and respite services. The need for any of these services should be reviewed at *every* IFSP meeting.

- 1. Transportation** - The team should review the family's transportation needs related to implementation of the service plan and check the appropriate box. **NOTE:** As per NYS DOH regulations, consideration shall first be given to provision of transportation by the parent of a child.

The IFSP team should explore all options **in the order they are listed**. Is transportation needed at all? If so, is the caregiver able to transport the child either by public transportation or by private car? If the family is requesting reimbursement for public transportation or for mileage accrued, note as such.

If the caregiver is unable to transport the child to the location of service provision, **the reason for this inability must be clearly documented on this page**. For example, "The family/caregiver works during the day, the child stays at the home of a caregiver who cannot leave the building to transport the child to the location of service." "The family does not have a car or other means to transport the child to the EI center." The EIOD should determine the validity of the reason and proceed to consider whether a school bus or car service is an appropriate option.

If car service is authorized, a responsible adult must accompany the child. Any special transportation needs (such as a nurse accompanying the child) must be noted; these needs should be supported by and described in the MDE summary as well as in written documentation supplied by one of the child's medical providers.

- 2. Assistive Technology** - The team should discuss and review the need for AT devices and/or services as per the evaluations and MDE summary and include in the plan as needed. Children with visual and hearing impairments and/or motor delays should *always* be considered for AT equipment.

List the names or categories of AT equipment that may assist the child in using EI services to achieve his/her outcomes. Specific devices may include hearing aids, orthotics, or adaptations to commercially available equipment, such as an infant seat or chair for a child with severe tone or muscle issues.

Explain how the AT device will assist in achieving the functional outcome. When specific types of equipment (make, model #) are determined, a request with documentation as outlined in the Policy on *Assistive Technology* *must* be submitted to the EIOD in the Regional Office or the Assistive Technology Unit.

Check the appropriate box to indicate the status of the child's need or potential need for assistive technology. Check the box "Not applicable" if there is no need for assistive technology.

- 3. Respite Services** - The team should review the statement defining respite services with the family, emphasizing that respite is a temporary service. (If the family needs ongoing or long-term services, the OSC should assist them in accessing other supports in the community.) Check the appropriate category indicating whether a parent/guardian has expressed a need for EI respite services. Note here whether the respite application is attached or whether the application is to be submitted at a later date. Respite applications should be sent to the EI Regional Office of the borough in which the child resides.

Indicate whether the family is eligible or has applied for other sources of respite, such as through OMRDD. If the family has applied, give the date of the application and current status.

NOTE: The OSC is responsible for obtaining the services specified on page 6 and ensuring that the rest of the IFSP is implemented as agreed upon by the participants at the IFSP meeting.

CHILD'S NAME: Last _____ First _____ MI _____ EI # _____ DOB ____/____/____			IFSP: ☐ Initial ☐ 6-Month ☐ Annual ☐ Amended ☐ Interim Effective date of IFSP: ____/____/____ End date of IFSP: ____/____/____ EIOD (print): _____ EIOD signature _____ Date: ____/____/____			TRANSPORTATION PROVIDER INFORMATION Transportation Provider Name: _____ Provider EI # _____ Contact person: _____ Phone: (____) _____ Fax: (____) _____		
DESTINATION INFORMATION Agency name: _____ Agency EI#: _____ Site address: _____ _____ Trans. Coord.: _____ Phone: (____) _____ Fax: (____) _____			Service Coordinator: Name (print): _____ SC ID #: _____ Agency Name: _____ Agency #: _____ Phone: (____) _____ Fax: (____) _____			Data Entry Unit Only - For Bus Contract Change Prior Bus Effective End Date is: ____/____/____ New contracted bus transportation name: _____ Provider EI # _____ Contact person: _____ New Contract Date - Begin: ____/____/____ End: ____/____/____ # Weeks: _____ Total # Units: _____ Phone: () _____ Fax: () _____		

Service Type: Bus ☐ Other ☐	Begin Date	End Date	Days per week	# Weeks	# Units (bus only)	Status
Code Name Companion(s): 1. _____ 2. _____	Child	Child	M T W Th Fri Total # days per week:	Child	Child	☐ Add ☐ End
Reason (bus only) :	Companion (bus only)	Companion (bus only)	M T W Th Fri Companion Total # days per week:	Companion (bus only)	Companion (bus only)	☐ Add ☐ End

IF ANY OF THE INFORMATION BELOW CHANGES THE EIOD MUST BE NOTIFIED IN WRITING

Parents/Guardians Name(s): _____ _____ Home #: (____) _____ Work #: (____) _____ Cell #: (____) _____ Address (if different from pick up): _____	Pick up address/ phone: _____ _____ Drop off address/phone: _____ _____ Child travels with the following equipment: _____	Emergency Contact Name(s): 1. _____ Relation: _____ Home #: (____) _____ Work #: (____) _____ Cell #: (____) _____	Check as appropriate: ☐ Ambulatory ☐ Non-ambulatory ☐ Wheelchair vehicle ☐ Needs special safety seat ☐ Other (specify) _____

EIP Data Entry: _____ Date: _____

INSTRUCTIONS

TRANSPORTATION SERVICE DATA ENTRY FORM

This page documents the discussion and authorization of transportation to a service delivery site for child and/or caregiver, if needed. There must be a separate Transportation Service Data Entry Form prepared for each provider (unless there is a bus company contract change, see #6 below) that will indicate an amount to be reimbursed for a transportation-related service. For example, if a child will be transported by a school bus provided by the transportation vendor, Smith Bus Company, and if, in addition, the child's father will be reimbursed by the Early Intervention service provider, LMN Developmental Center, for subway fare when he attends a weekly family support group, two **Transportation Service Data Entry Forms** must be completed. One form will be filled out for the bus company and another for the EI service provider.

1. **Child's Name, EI #, DOB** – Write the identifying information for the child as it appears on all other IFSP pages.
2. **IFSP:** Check the appropriate box for type of IFSP and write in the *Effective* and *End* dates of the IFSP period. **The EIOD will print his/her name, sign and date this form upon completion, indicating that the service is authorized.**
3. **Transportation Provider Information** – Either the bus company or the service provider agency that receives payment for car service, mileage, or public transportation and reimburses the family/caregiver. Include the provider name, provider EI contract # (as listed in the provider directory), agency contact person, and telephone and fax numbers of the transporting agency.
4. **Destination Information** - The name of the agency of destination, i.e., where the child/family is to be transported, agency EI contract #, site address, name of transportation coordinator, telephone and fax numbers.
5. **Service Coordinator** - Provide the SC information as indicated.
6. **Data Entry Unit Only – For Bus Contract Change** – This section will be completed by Data Operations staff when there is a change in the bus contract information that does not involve a change in the authorized service. The SC should not submit a new **Transportation Service Authorization Data Entry** form. No action is required by the SC or the EIOD/Regional Office.
7. **Transportation Service Type** – Check the box for *Bus* or *Other*. Write the code for the mode of transportation to be reimbursed.
 - 1 = Public Transportation
 - 2 = Taxi/Car Service
 - 3 = Mileage
 - 4 = Parking
 - 5 = Toll
 - 7 = School Bus
 - 8 = Nurse Accompaniment
 - 9 = Other
8. **Companion Accompanying Child** – If authorized, write the name of the person(s) who will accompany the child on the school bus or car service. Indicate the reason for accompaniment on the school bus. (***The parent or another adult over age 18 must accompany the child for car service.***)_The other information in this section applies to parents/caregivers who will:
 - always accompany their child on the bus, or
 - accompany their child on a school bus to an EI facility for the first few days of the child's attendance at the center, or
 - **occasionally but regularly** accompany the child on the bus in order to attend a Family Support Group, Parent-Child Group, or participate in a session at the EI facility.

**INDIVIDUALIZED FAMILY SERVICE PLAN
SERVICE COORDINATION ACTIVITIES (Page 7)**

Child's Name: (Last) _____ (First) _____
EI #: _____ DOB: ____/____/____
Today's Date: ____/____/____

SC Primary Roles:

- Coordinate and monitor the delivery of all services.
- Assist families in obtaining EI and non-EI services.
- Facilitate reviews of IFSP every 6 months.
- Inform caregivers of their rights and procedural safeguards under the Early Intervention Program.
- Obtain and update insurance information and explain to parents how information will be used by EI.
- Discuss transition from EI when the child is 24 or more months old.

I have been given the option of choosing an ongoing service coordinator (OSC) and I have selected:

Name of OSC _____ **SC ID #** _____

Tel. No. _____ **Ext.** _____ **Email** _____

Provider Agency _____ **Provider #** _____

Parent's signature _____

Ongoing SC should:

☐ Assist family in identifying and applying for Public Programs (e.g., Child Health Plus, Medicaid, Medicaid Waiver, WIC, Lead Program, housing). **List the programs:**

☐ Assist family in identifying and applying for other non-EI services needed by child/family (e.g., child care, counseling, recreation services). **List the services:**

☐ Coordinate **co-visits**; reschedule if necessary.

☐ Locate **bilingual services**. If unavailable, contact EIOD to discuss alternatives.

☐ Assist family with **transition**; complete pages 7A and 7B if child is 2 years or older.

Primary Health Care Provider: _____ Name of Medical Center/Facility _____

Address: _____ Phone #: (____) _____ Fax #: (____) _____

☐ I give permission for my service coordinator to send a copy of the IFSP and evaluation reports to my child's primary health care provider

☐ I do not give permission.

Signed: _____ **Date:** ____/____/____

If Parent/Guardian/Surrogate chooses to send the IFSP to others working with their child, such as Early Head Start, or Child Care Providers, complete "Parental Consent to Release/Obtain Information" form.

Additional Concerns: Describe below any concerns (from any members of the IFSP team) that may need follow-up.

Any further evaluations needed? ☐ Yes ☐ No **Specify what type and why:**

INSTRUCTIONS FOR IFSP PAGE 7
SERVICE COORDINATION ACTIVITIES

The Service Coordination section includes a list of regularly performed tasks for the Ongoing Service Coordinator (OSC) and the family's/caregiver's selection of an OSC. If additional follow-up activities are required of the OSC, check the applicable boxes.

1. **Service Coordinator Information** – The name of the OSC, SC ID number assigned by NYC EIP, telephone number, email address and name and number of provider agency by whom the SC is employed, as selected by the parent from the list of choices presented at the IFSP meeting.

If an OSC provider has not been identified by the end of the initial IFSP meeting (i.e., services are pending), the family/caregiver may select the ISC as the OSC to help locate a provider(s). Once a provider is located, the family/caregiver may wish to change service coordinators. If the parent selects a new OSC, follow the EIP procedure for changing the SC.

The parent must sign on this page to indicate that s/he has been given options and has selected the OSC.

NOTE: Before a SC can be designated or assigned, s/he must have applied for and received a SC ID number from the Early Intervention Program. In addition, a provider will not be reimbursed by the EIP for the services of the OSC until the *Start Date* for Service Coordination listed on the **Service Authorization Data Entry Form**.

2. **Ongoing SC should** - Check the applicable boxes for OSC F/u activities.
 - a. **Assist family in identifying and applying for Public Programs** – List the programs for which the family may be eligible, such as Child Health Plus or other medical insurance programs offered through Health Care Access and Improvement (HCAI), WIC, Lead program, housing etc.
 - b. **Assist family in identifying and applying for other non-EI services needed by child or family** – List other services that may be needed to support the child and family outcomes, e.g., “work with the local interchurch council to seek funds for child care so that mother can return to work part-time.”
 - c. **Coordinate co-visits; reschedule if necessary** – Check this box if co-visits are authorized. The OSC has the responsibility to coordinate co-visits and to assist in rescheduling as necessary.
 - d. **Locate bilingual services** – If bilingual services have been requested for any of the services authorized, the OSC must make diligent efforts to locate such services. If the OSC is unable to find a provider for the requested bilingual service, s/he must contact the EIOD to discuss alternatives. A monolingual service should not be substituted without the approval of the EIOD.
 - e. **Assist family with transition** – The OSC must assist the family in developing a transition plan for the child whenever a child exits the Early Intervention Program. This includes leaving the program when EI services are no longer needed or when the family moves to another county or state. In these situations, the OSC should help the family access services in the new location. If the child is 2 years old or older, this box must be checked and the OSC must complete pages 7A and 7B.
2. **Primary Health Care Provider** – Name of Primary Health Care Provider, name of Medical Center/Facility, address, telephone and fax numbers.
3. **Permission to Release Copy of IFSP**– The parent will indicate whether s/he wishes to have a copy of the IFSP shared with the child's Primary Health Care Provider by checking the appropriate box, signing and dating the form.
4. **Additional Concerns** – Any concerns discussed at the IFSP meeting (by any participants) that may need follow-up should be described in this section. If billing rules are waived, describe the reasons and specify the circumstances of the waiver(s). If services have been recommended but rejected by the parent, list these services and describe the reason for the parent's rejection of them.
5. **Any further evaluation needed?** – If during the IFSP meeting it becomes evident that another evaluation is needed for additional information, a Supplemental Evaluation can be requested by anyone present. If requested, indicate by checking *yes* and specify what type of evaluation is requested. Explain the reason for the request. A **Request for Additional Evaluation** form should be completed and attached to the IFSP. The OSC must follow-up to assist the family in scheduling the evaluation and ensuring that it takes place in a timely manner.

**INDIVIDUALIZED FAMILY SERVICE PLAN
Transition Plan (Page 7A):**

Child's Name: (Last) _____ (First) _____
EI #: _____ DOB: ____/____/____
Today's Date: ____/____/____ Child's Age: _____

INFORMATION REGARDING TRANSITION: Pages 7A and B must be completed for any child leaving EI, regardless of his/her age. These pages must be filled in at the IFSP closest to the child's 2nd birthday and updated at each subsequent IFSP. For children entering the EIP after age 2, these pages must be completed at the initial IFSP.

1. Children who complete their IFSP outcomes or no longer require EI services may exit EIP at any time prior to the third birthday. My service coordinator is responsible for helping me identify, locate, and provide access to other early childhood programs when appropriate.
2. If the parent is considering CPSE services, the following steps will need to be taken:
 - a. **NOTIFICATION:** I understand that I will need to give written consent to notify the CPSE of my child's potential eligibility. Notification must occur by ____/____/____ to Region/ District _____.
 - b. **TRANSITION CONFERENCE:** I understand that if I choose to request that my EIOD arrange a transition conference with my service coordinator and the chair of the CPSE or designee, I will need to give written consent for a transition conference which will be held by ____/____/____.
 - c. **REFERRAL:** I understand that it is my responsibility to refer my child to the CPSE. My service coordinator can assist me if I ask. Any delays on my part to refer my child may potentially interfere with the ability of the CPSE to establish eligibility before my child's third birthday. Referral must occur by ____/____/____.
3. I am aware that all EI services will end on the day before my child's 3rd birthday: ____/____/____, if my child is not found eligible for CPSE services. If my child does not need preschool special education programs and services, or if I choose not to refer my child to the CPSE, my service coordinator is responsible for helping me identify, locate and access other early childhood programs.

The above information has been explained to me. **Parent's signature:** _____ **Date:** ____/____/____

Parent has chosen NOT to: (initial as appropriate):

- ____ Send Notification to the CPSE
____ Consent to a transition conference.
____ Refer child to the CPSE at this time.

____ I understand that all EI services will end the day before my child's 3rd birthday: ____/____/____

Parent's signature: _____ **Date:** ____/____/____

INSTRUCTIONS FOR IFSP PAGE 7A

TRANSITION PLAN

This page and Page 7B must be completed for any child leaving EI, regardless of his/her age. If the child remains in EI, these pages must be filled out at the IFSP closest to the child's second birthday and updated at each subsequent IFSP review. For a child entering EI after age 2, these pages must be completed at the initial IFSP and any subsequent reviews.

- 1. Information regarding transition** – The parent will sign and date in this box after the information has been explained. If the child no longer requires EI services, the Ongoing Service Coordinator (OSC) will assist the parent to access other early childhood programs as appropriate. If the parent is considering CPSE services, the steps to be taken must be explained and the dates for *Notification*, *Transition Conference* and *Referral* filled in. In addition, write the number of the Department of Education Region and District in which the child resides.

It is important that the parent understand that it is the parent's responsibility to refer the child to the CPSE for initial evaluations. The OSC should assist the family by helping them write the referral letter and mailing or faxing it to the CPSE. The OSC may, if asked by the parent, assist the family with follow-up. The parent must be informed that his/her child will no longer be eligible for EI services after turning 3 unless the child has been found eligible for services by the CPSE. **Include the date on which the child's services will end, i.e., the day before the child's third birthday, in #3 of this section.**

At the parent's request, the service coordinator may attend the CPSE meeting to determine the child's eligibility for preschool special education services.

- 2. Parent has chosen not to** – The parent must indicate by initialing on the appropriate line which steps toward transition s/he has refused. **Include the date, i.e., the day before the child's third birthday, on which the child's EI services will end.** The parent must sign and date in this box if referral to the CPSE has been refused.

INDIVIDUALIZED FAMILY SERVICE PLAN
Transition Plan (Page 7b)

Child's Name: (Last) _____ (First) _____
 EI #: _____ DOB: ____/____/____
 Today's Date: ____/____/____ Child's Age: _____

TRANSITION PLAN:

1. What types of setting/services are being considered? Discuss various options for programs and/or services when the child exits EI, such as home, Early Head Start, Head Start, child care, private preschool, play group, preschool special education programs and services through CPSE, OMRDD, etc. **At this time we are interested in the following options:**

2. Date by which steps to prepare the child and family to adjust to a new setting should begin ____/____/____
 (6 mo. prior to discharge or when child is leaving EI before his/her third birthday)

3. Describe steps to be taken to ensure a smooth transition? (Visit Early Head Start, day care centers, private preschools, etc.)

4. Who will assist?

My child is leaving EI before the third birthday for the following reason(s): _____.

I am aware that I may re-refer my child to EI before his/her third birthday if I have concerns about his/her development.

I am aware that I can refer my child to CPSE after his/her third birthday if I have concerns about his/her development.

Parent's Signature _____ **Date** ____/____/____

NOTE: Update this section at every IFSP meeting.

Notification sent to the CPSE on: ____/____/____

Transition conference was held on: ____/____/____

Child was referred to the CPSE on: ____/____/____

CPSE meeting is scheduled for: ____/____/____

CPSE meeting was held on: ____/____/____

Child was found **eligible** for preschool special education programs and services.

Last day of EI services: ____/____/____

Projected date of preschool services: ____/____/____

Child was found **not eligible**. Last day of EI services: ____/____/____

INSTRUCTIONS FOR IFSP PAGE 7B

TRANSITION PLAN

This is the second page of required documentation for children leaving EI for any reason and for children who are 2 years of age or older.

1. **What types of setting/services are being considered?** – List the options that have been discussed with the parent and in which the parent shows interest. These may include both government sponsored (e.g., CPSE, OMRDD, Head Start) and private alternatives (e.g., child care, preschool, playgroups).
2. **Date by which steps to prepare the child and family to adjust to a new setting should begin** - Complete the date, either 6 months prior to the child's discharge or when the child is leaving EI before his/her third birthday.
3. **Describe steps to be taken to ensure a smooth transition** –What steps can be taken to assist the transition and the child and family's adjustment to a new setting? For example, SC and interventionists may begin talking to the child and family about changes in services and settings; provide referrals and literature to the family; suggest visiting possible sites or contacting community agencies.
4. **Who will assist?** – List the names of those who might assist, such as current interventionists, staff at the provider agency, community agencies (e.g., ECDC).
5. **Parent's Signature** – The parent should:
 - Complete this part of the form by indicating why the child is leaving EI before the 3rd birthday (e.g., family is relocating, child no longer needs services),
 - Understand the options to refer the child to EI or CPSE depending on the child's age,
 - Sign and date the form.
6. **Update** –At each subsequent IFSP meeting, update the status of the child's progress toward transition by filling in the date on the appropriate line. Refer to the policy on *Transition* for further information.

**INDIVIDUALIZED FAMILY SERVICE PLAN (IFSP)
MEETING CONSENT FOR SERVICES FORM**

Child's Name: (Last) _____ (First) _____ EI #: _____
DOB: ____/____/____ IFSP Date: ____/____/____

IFSP Attestations and Consents:

- I received a copy of A Parent's Guide when my child was referred to Early Intervention (EI). I understand my rights and I have received a verbal and written description of My Family Rights at this IFSP meeting. I understand that :
 - I or an authorized representative can ask to read my child's file or request a change to the file.
 - I may refuse one or more services and continue to receive other EI services for my child or family.
 - I can contact my Service Coordinator or EIOD any time I have questions or concerns about this IFSP.
 - My child's services will be based on his or her continuing needs and eligibility. I will be notified if the EIOD makes any change to the IFSP.I have the right to mediation or impartial hearing if I disagree with any part of my child's IFSP.
- My family and I can use the services of the Early Intervention Program (EIP) to help my child achieve our IFSP outcomes.
- I have been given a copy of the *EIP Policy on Make-up Sessions* and I understand when make-up sessions can be provided.

Parent's Signature _____

Parent's Signature _____

Date ____/____/____

Consent to Release Information to Early Intervention Providers of Service

- I understand that providers (including evaluators, service providers, and service coordinators) offering Early Intervention (EI) services to my child may need to exchange information to develop and carry out my child's IFSP
- I authorize the release of the following information: ☐ EI Medical Form ☐ Multidisciplinary Evaluation ☐ Supplemental Evaluation(s): Specify: _____
☐ IFSP ☐ Provider Progress Note ☐ Other: _____
to all EI providers providing evaluation, service coordination, or services to my child and family
- I understand that this "Release" can be withdrawn at any time upon written notice to my Service Coordinator. This "Release" ends on the date of my next scheduled IFSP (or, if sooner, specify date ____/____/____).

Parent's Signature _____

Parent's Signature _____

Date ____/____/____

Note: If Parent/Surrogate chooses to send the IFSP to others working with their child, such as a Primary Care Provider, Early Health Start, or Child Care Provider, complete the "Parental Consent to Obtain/Release Information" form

- ☐ I (We) have participated in the development of this IFSP, and agree to all parts of this plan. I (we) give permission to the NYC Early Intervention Program to implement this plan with my family.
- ☐ I (We) do not agree with some aspects of this plan. I (We) understand that I (we) have due process rights that are described in the Parent's Guide and that have been explained to me (us) at this meeting. I understand that disagreeing will not affect the other EI services. This is what I (we) do not agree with: _____

Parent's Signature _____

Parent's Signature _____

Date ____/____/____

EVALUATION REPRESENTATIVE:

I certify that I am a qualified professional as defined in the New York State Early Intervention Regulations, and that I am representing the Multidisciplinary Evaluation Team for the above-named child. I further certify that I have personally evaluated this child and /or have read the complete multidisciplinary evaluation, am knowledgeable about the clinical needs of this child and family, and am able to answer any questions regarding the child's evaluations and assist in developing functional outcomes and short-term objectives during the IFSP meeting.

Signature: _____ Date: ____/____/____

EARLY INTERVENTION OFFICIAL DESIGNEE (EIOD):

I certify that the services that I have authorized in this IFSP are based upon the review of the documentation provided by the evaluators and the discussion that took place at this IFSP meeting as documented in the IFSP.

EIOD STAMP:

INSTRUCTIONS FOR COMPLETION

INDIVIDUALIZED FAMILY SERVICE PLAN (IFSP) MEETING CONSENT FOR SERVICES FORM

This form is used at the conclusion of all IFSP meetings to obtain the Parent/Surrogate consent for services.

This form allows all EI municipal staff, service providers, and service coordinators to share information about the eligible child, while also allowing the parent/surrogate to specify if they prefer to give a limited release. Families may also indicate whether they have concerns with the IFSP.

A. IFSP Attestations and Consents:

- 1. First Parent Signature, Agreement with Plan** – Signature of the parent(s)/surrogate(s) indicating that s/he has read the bulleted points and understands his/her rights and responsibilities. *The EIOD must ensure that the parent/surrogate understands his/her rights in the Early Intervention Program (EIP) and has received copies of **My Family's Rights** and the **EIP Policy on Make-up Sessions**.*
- 2. Second Parent Signature, Agreement with Plan** – Signature of the parent(s)/surrogate(s) indicating agreement/disagreement with the plan outlined on the previous pages. Check the appropriate box and record any disagreement the parent(s)/surrogates(s) has with the recommended services on this page. The parent(s)/surrogate(s) **must sign and date** this form.

If the parent(s)/surrogate(s) and the EIOD do not agree on any part of the IFSP, the sections of the proposed IFSP that are not in dispute should be implemented. The parent(s)/surrogates(s) may exercise their due process rights to resolve the disputed areas. The EIOD and SC must ensure that the parent(s)/surrogate(s) understand their due process rights to request mediation or an impartial hearing. The parent(s)/surrogate(s) should be referred to the EIP's "A Parent's Guide" for information on mediation/due process forms and procedures.

- B. Consent to Release Information to Early Intervention Providers of Service** - This section replaces the "Consent to Release/Obtain Information" form for EI providers after the initial IFSP meeting. The parent/surrogate signature here authorizes exchange of information regarding the child's EI records and service plan between all EI providers, service coordinators, evaluators, and municipal staff. The parent(s)/surrogate(s) may opt to indicate a limited release.
- C. Attestations and Consents** - The evaluation representative and the EIOD must sign and date the IFSP attestation at the initial IFSP meeting. The EIOD will use the official NYCEIP stamp and sign and date this page for each IFSP, indicating authorization of the plan.

New York City Early Intervention Program

Policy Title: Social Security Documentation	Effective Date: 2/28/2011
Policy Number: 5-E	Supersedes: N/A
Attachment: Social Security Number Collection Form	Regulation/Citation: NYCRR Section 69-4.11(a)(5)(i)(a,b,c)

I. POLICY DESCRIPTION:

NYS Regulations Section 69-4.11 (5) requires that:

"(5)(i) The notice to the child's parent of the IFSP meeting shall also inform the parent of the following:

(a) parents are required to furnish their social security numbers and the social security number of their child to the early intervention official, in accordance with subdivision four of section 2552 of the Public Health Law, for the purposes of administration of the Early Intervention Program;

(b) parents shall provide their social security numbers and the social security number for their child at the time of the IFSP meeting; and

(c) social security numbers of the child and parent will be maintained in a confidential manner, will be used solely for the purpose of administration of the Early Intervention Program, and will not be re-disclosed to any party other than the Department."

The EIOD is responsible for collecting the Social Security Numbers of the child and his/her parent(s) at the Initial IFSP meeting and recording them on the [Social Security Number Collection Form](#).

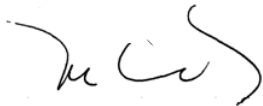
All Early Intervention child records are maintained in accordance with confidentiality requirements set forth in Federal IDEA, New York State Early Intervention Regulations, Federal Educational Rights and Privacy Act (FERPA) and The Department of Health and Mental Hygiene confidentiality policies.

Child records and other materials contained therein which are personally identifiable are confidential and may not be released or made available to persons other than those authorized.

II. PROCEDURE:

Responsible Party	Action
Early Intervention Official Designee (EIOD)	At the Initial IFSP meeting, the EIOD must inform the parent/guardian of the following: - Parents are required to provide EIP with their Social Security Numbers and the Social Security Number of their child. - Social Security Numbers are being requested under authority granted at Section 2552 of the Public Health Law.

	3. The information will be used for the general administration of the program including, but not limited to, assisting in maximizing third party reimbursement for early intervention services. 4. Information will be maintained by the NYC Early Intervention Program in a confidential manner and not disclosed to any party other than the NYS Department of Health. Social Security Information is collected at the beginning of the Initial IFSP meeting along with the Identifying Information (page 1). Note: - Foster Parents are not required to provide EIP with their SSN numbers. - The Child's SSN should still be provided. - The Early Intervention Program will provide services regardless of whether the parent provides Social Security Numbers. - EIODs must record Social Security Numbers on the Social Security Number Collection Form.
Early Intervention Regional Office	The Social Security Number Collection Form will become part of the child's internal EI record. SSN documentation forms will not be made available to Service Coordinators, Evaluators or Service Providers Note: If a request for a copy of the child's record is received from a non EI-staff person, the Social Security Number Collection Form must be removed from the file before copy is sent.


Approved By:
Assistant Commissioner, Early Intervention

Date: 1/21/11

NYC EARLY INTERVENTION PROGRAM

SOCIAL SECURITY NUMBER COLLECTION FORM

THIS FORM IS COMPLETED BY THE EIOD-DO NOT COPY THIS FORM

The NYS Early Intervention Regulations (NYCRR 69-4.11(a)(5)(i) require the collection of Social Security Numbers of an eligible child and the child's parents (except in the case of foster parents):

"(5)(i) The notice to the child's parent of the IFSP meeting shall also inform the parent of the following:

(a) parents are required to furnish their social security numbers and the social security number of their child to the early intervention official, in accordance with subdivision four of section 2552 of the Public Health Law, for the purposes of administration of the Early Intervention Program;

(b) parents shall provide their social security numbers and the social security number for their child at the time of the IFSP meeting; and

(c) social security numbers of the child and parent will be maintained in a confidential manner, will be used solely for the purpose of administration of the Early Intervention Program, and will not be re-disclosed to any party other than the Department."

CHILD'S NAME (Last, First and Middle): _____	
EI #: _____	DOB: ____/____/____
SS #: _____ - _____ - _____ ☐ Individual does not have a Social Security Number	
Foster child: ☐ Yes ☐ No (Social Security Numbers are <u>not</u> required for foster parents)	
Mother's/Guardian's Name: _____	
SS #: _____ - _____ - _____ ☐ Individual does not have a Social Security Number	
Father's/Guardian's Name: _____	
SS #: _____ - _____ - _____ ☐ Individual does not have a Social Security Number	
NOTE: The Early Intervention Program will provide services regardless of whether the parent provides Social Security Numbers. If applicable, check box below:	
☐ Parent has refused to furnish requested Social Security Numbers.	
Parent's Signature: _____	Date: _____
EIOD Signature: _____	Date: _____

INSTRUCTIONS FOR COMPLETION

SOCIAL SECURITY NUMBER COLLECTION FORM

The EIOD is responsible for collecting the Social Security Numbers of the child and his/her parent(s) at the initial IFSP meeting and recording them on this form.

The EIOD must complete the information requested, checking the appropriate box if the child and/or parent(s) do not have a Social Security Number.

The Early Intervention Program will provide services for eligible children and their families regardless of whether the parent(s) and child have Social Security Numbers or whether the parent provides the Social Security Numbers.

Check the box if the parent refuses to furnish the requested Social Security Numbers and have the parent sign and date in the box.

The EIOD will sign and date this form.

Chapter 6: Service Delivery

New York City Early Intervention Program

Policy Title: Start Date of Services	Effective Date: 5/03/2013
Policy Number: 6-A	Supersedes: Policy 6-A dated 10/17/2010
Attachments: • Status of Start Date of Services Form • Change in Services/Service Provider/Service Coordinator form	Regulation/Citation: Early Intervention Administrative contract with New York State Department of Health; NYCRR 69-4.6 (b) (4).

I. POLICY DESCRIPTION:

Services authorized by the Individualized Family Service Plan (IFSP) must begin within **two (2) weeks** of the date that the parent(s) signs the IFSP. This timeline also applies to new services (amendments to the IFSP) or services added at the time of the six month review or annual IFSP. When phone IFSPs are held, the Ongoing Service Coordinator (OSC) will obtain parental signature within **48 hours** of the IFSP, the services authorized must begin within two (2) weeks of the date that the OSC obtains parental signature.

If at the time of the IFSP (with or without the EIOD present), it is determined that some or all services will not start in a timely fashion due to the nature of the service (i.e. Team Meetings) or parent request, the “Late Services” section of the IFSP must be completed indicating “Delay reason and/or frequency as per the IFSP” as the “Delay Reason”.

The 2 week timeline does not apply to the delivery of an assistive technology device.

The Early Intervention Ongoing Service Coordination Agency must ensure that:

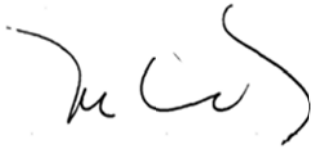
- Ongoing service coordination services are provided;
- Ongoing service coordinators appropriately monitor services and implement the IFSP to ensure that service begins within two (2) weeks of the IFSP meeting; and
- Services are provided continuously for the entire period covered by the IFSP.

II. PROCEDURE:

Responsible Party	Action
Service Provider Agency	1. Immediately contacts the OSC if a rendering provider is not located after verbally accepting a case. 2. Immediately contacts the OSC if a rendering provider does not start serving the child within two weeks of the start date of service.
Ongoing Service	1. Contacts the family and the service provider agency (agencies) within one (1) week of the IFSP meeting (Initial, Amendment, 6 Month Review, and

Coordinator (OSC)	Annual) date to determine if all authorized services have begun. 2. For each authorized service type, confirms that the service has started and documents the start date on the Status of Start Date of Services Form. 3. For all authorized services that have begun within two (2) weeks of the authorized start date: a. Enters the information on the Status of Start Date of Services Form. b. Attaches the form to the child's current IFSP in NYEIS, and keeps it as part of the Service Coordination record. 4. For any service(s) that has not started within two (2) weeks of the authorized start date: a. Contacts the identified service provider agency to determine the reason. b. If an interventionist has been identified and has set up a schedule, reflects the information in the Service Coordination notes. i. Continue to monitor to ensure the service begins as planned. c. If the interventionist has not started to deliver services, determine with the agency if they will be able to locate a rendering provider. i. If the agency will no longer be able to provide the service: • Informs the family of their rights by reviewing the Your Family Rights in Early Intervention. • Informs the family that SC will locate another service provider to deliver services. • Diligently searches for a provider agency/rendering provider. - o If a new provider cannot be located, and assistance is required: ▪ Notifies the Technical Assistance Unit and the Regional Office by submitting the Status of Start Date of Services Form with a list of agencies contacted in attempt to identify a new provider agency via the Health Commerce System (HCS) to username: hinbeb02. ii. When a service provider(s) has been identified: • Requests change in service provider in NYEIS via the amendment process (Chapter 7). NOTE: • Parents must give written consent for changes in Ongoing Service Coordinator, Ongoing Service Coordination Agency, and Amendment to IFSP services. • Parents must be notified of changes to Service Provider Agency and Interventionists <u>prior to</u> any changes in provider. • Documentation of parent notification for changes to providers or services is captured on the Change in Services/Service Provider/Service Coordinator form.

	iii. Documents all attempts to locate service providers and includes copies of all documents in the child's service coordination record.
Early Intervention Official Designee (EIOD)	1. Once the services are documented in NYEIS, the EIOD monitors the Tasks and Notifications for their "My Cases" to ensure and monitor Provider service assignments for: a. Accepted, b. Rejected, c. Re-assigned, if rejected , or d. Provider agency designated, if none is listed. 2. Approves any request for change in service provider in NYEIS as required in the <i>Amendments Policy</i>.
Technical Assistance Unit	1. Provides guidance to OSC by: a. Suggesting additional provider agencies to contact who may accept the case; and/or b. Referring case to Regional Office for assistance, as needed.
Regional Office	1. As needed, the IFSP service authorizations will be amended to ensure that the functional outcomes are addressed.


 Approved By:
 Assistant Commissioner, Early Intervention

Date: 3/26/2013

New York City Early Intervention Program: Status of Start Date of Services Form		
Child's Name (Last, First)		EI#:
OSC Name:		Date of Completion:
OSC Agency:	OSC Tel:	OSC Fax:
IFSP Type:		IFSP Date:

				For Services Not Started Within Two Weeks of the IFSP:	
Service Type	IFSP Service Start Date	Authorized EI Agency	Services Started?	Actual Service Start Date	If New Provider is needed, date SC informed RO & TA*
			Y ☐ N ☐		
			Y ☐ N ☐		
			Y ☐ N ☐		
			Y ☐ N ☐		
			Y ☐ N ☐		
			Y ☐ N ☐		
			Y ☐ N ☐		
			Y ☐ N ☐		
			Y ☐ N ☐		
			Y ☐ N ☐		

* For any service that has not started within two (2) weeks of the IFSP, due to difficulty in identifying a service provider agency, notify the NYC EIP Technical Assistance Unit (TA) and Regional Office (RO) via the Health Commerce System (HCS) with documentation reflecting all attempts made to secure a new provider. Include the service type, start date, reason for delay in start of service, all agencies contacted, contact name and date of contact, of all agencies contacted to secure a new service provider. Refer to the Start Date of Services Policy.

**NEW YORK CITY EARLY INTERVENTION PROGRAM
STATUS OF START DATE OF SERVICES
INSTRUCTIONS FOR COMPLETION**

1. The Ongoing Service Coordinator (OSC) must contact the family and/or the service provider agency **within one (1) week** of the IFSP date to inquire whether all IFSP authorized services have begun.
2. For each IFSP authorized service type, the OSC must confirm that the service has started and indicate the actual start date of each service.
3. If any service has not started **within two (2) weeks** of the IFSP date, the OSC must inform the family of their rights and inform them that EI can select another service provider to deliver services.
 - a. If the authorized provider agency is able to deliver the services with an anticipated start date in excess of two (2) weeks but no more than three (3) weeks,
 - i. Record the actual start date, and ensure the actual start date is acceptable to the family.
 - ii. The OSC will then monitor to ensure service starts as stated by provider.
 - b. If after two (2) weeks a change in service provider agency is needed in order to deliver the service:
 - i. The OSC must identify a new service provider agency and request an amendment to the IFSP in NYEIS as per the **Amendment Policy**.
 - ii. All activity to locate service providers must be documented in the service coordination notes.
 - c. For any service that has not started **within two (2) weeks** of the IFSP, due to difficulty in identifying a service provider agency, notify the NYC EIP Technical Assistance Unit and the RO according to the procedures set out in the **Start Date of Service Policy**.
 - i. The SC must send the **Status of Start Date of Services Form**, and
 - ii. Documentation that captures the reason for any delay in the starts of service(s) and his/her attempts to locate other services (including agencies) contacted, contact name, and date of contact).
4. Once all services have been initiated, the OSC attaches the completed **Status of Start Date of Services Form** to the child's Integrated Case in NYEIS.

New York City Early Intervention Program

Policy Title: NYEIS Error Submission	Effective Date: 5/03/2013
Policy Number: 6-B	Supersedes: Policy 6-B dated 10/17/10
Attachment:	Regulation/Citation:

I. POLICY DESCRIPTION:

Any service authorization and evaluation errors discovered by the service provider agency that cannot be corrected by the provider without generating an approval task for the Regional Office in NYEIS must be reported to NYCEIP NYEIS Help Desk for correction. All requests must be submitted via email to nycnyeis@health.nyc.gov weekly (every Monday), but within ten (10) business days of discovering the error.

All **NYEIS Data Change Request Forms** must be reviewed by the service provider agency for accuracy prior to submitting the request to the NYC NYEIS Help Desk. Upon completion of the Department's review, the NYCEIP will update NYEIS or submit the request to the New York State NYEIS Help Desk. Incomplete Data Change Request Forms will be returned to the provider agency.

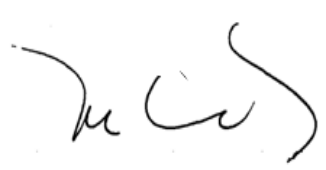
* Examples of the Data Change Request Form:

NYEIS Data Change Request Form								
<u>Please fill out this spreadsheet completely, any missing information may invalidate your request and you will be asked to resubmit.</u>								
All information is required unless marked with * Please remember <u>no identifying child information is allowed on this form</u> , only NYEIS Reference numbers will be accepted If requesting a Date Change of any kind you must include the current field value in addition to the requested new field value Send completed spreadsheets to DOH via HCS Secure File Transfer Questions or concerns should be emailed to the NYEIS Help Desk at NYEIS@cma.com								
Submitter Information:								
HCS/HPN UserID (format is: aa999999 -or- hpnaaa99)	First Name	Middle Initial *	Last Name	Municipality/ Provider Name	User Role Description	Area Code	Phone Number	Email Address
<i>hinabc123</i>	<i>Joe</i>	<i>A</i>	<i>Sample</i>	<i>NYC Provider</i>	<i>Provider All</i>	<i>518</i>	<i>640-8390</i>	sample@email.com
<i>Is123456</i>	<i>Mary</i>	<i>B</i>	<i>Sample</i>	<i>New York City</i>	<i>Muni Fiscal</i>	<i>518</i>	<i>783-9007</i>	munisample@email.com
Request Information: Please check a category <i>(example: a date change request on a child's ISC would select Service Authorization)</i> ☐ Referral ☐ MDE ☐ IFSP ☐ Service Authorization ☐ Transfer/Transition ☐ Case Management ☐ Other (Please explain below) ☐ Provider Management if 'Other,' type in here								
Child Reference Number: ex:12345								
Please describe this data change request and justification. <i>example: child #12345 is closed case, parents refused services, but the ISC #99999 has an incorrect End Date of 8/17/11, it should be 8/12/11. We cannot edit this date ourselves because the case status is pending closure.</i> <i>type in here</i>								
Please explain how this data error occurred. <i>example: data entry error, system generated</i>								
What is the best method of reaching you for additional questions and follow up? <i>example: email</i>								
Additional comments and concerns related to this issue. * <i>type in here</i>								

II. PROCEDURE:

Responsible Party	Action
EI Provider Agencies	1. Reviews all entries (IFSPs, MDE, service authorizations) in NYEIS immediately. 2. Identifies of an error that cannot be corrected without generating an approval task for the RO in NYEIS, 3. Submits a NYEIS Data Change Request Form via email to nycnyeis@health.nyc.gov weekly (every Monday), but within ten (10) business days of discovering the error. a. Completes the Data Change Request Form with: i. Submitter Information • Health Commerce System (HCS)/ Health Provider Network (HPN) Number • First Name • Last Name • Municipality/Provider Name • User Role Description • Area Code • Phone Number • Email Address ii. Request Information sections completed to indicate the nature of the change. • Referral • MDE • IFSP • Service Authorization • Transfer/Transition • Case Management • Provider Management • Other (Provide an explanation of the request) iii. Child Reference Number: Child's NYEIS Homepage number iv. Provide a description of the data change request and the justification for the request, including: • An explanation of how the data error occurred; • Contact information for additional questions and follow-up; and • Additional comments and concerns related to the issue. Note: Incomplete packets or forms will be returned to the service provider.
NYC Help Desk Staff	1. Reviews the Data Change Request Form to ensure completeness and accuracy. a. Confirm the error and need for correction in NYEIS.

	i. Reviews child's case and relevant service authorizations. • Consults with the EIOD/AD or Provider when a determination cannot be made/ additional information is necessary. ii. Updates the system to reflect the correct information if warranted. iii. Forwards the request to the New York State for review when NYEIS cannot be updated. 2. Processed the Data Change Request Form within five (5) business days of receipt in the NYC NYEIS Help Desk inbox. 3. The NYC Help Desk Staff reviewer: a. Completes and signs the Data Change Request Form(s); b. Sends the completed form to New York State Department of Health (SDOH) using the HCS Secure File Transfer c. Informs the provider via email when the request has been submitted to SDOH. d. Notify the provider upon completion of the request.
EI Service Provider Agency	1. Reviews the completed Data Change Request Form 2. Keeps a copy of the completed Data Change Request form on file 3. Notifies the child's service coordinator of the change to the child's record once approved by the EIP. 4. Submits claim for payment.


Approved By:
Assistant Commissioner, Early Intervention

Date: 3/29/2013

New York City Early Intervention Program

Policy Title: Obtaining Prescriptions For Authorized Services	Effective Date: 5/03/2013
Policy Number: 6-C	Supersedes: Policy dated 10/17/10
Attachment: Request for Prescription for Services Form	Regulation/Citation: Early Intervention Program Guidance Memorandum 2003-01 Footnote 13; Responses to Technical Assistance Questions from Municipalities Regarding NYSAC-DOH Training Sessions On Early Intervention Guidance Memorandum 2003-01

I. POLICY DESCRIPTION:

The Service Provider Agency must obtain a physician's, physician's assistant, or nurse practitioner's prescription prior to the initiation of services pertaining to those Early Intervention (EI) services which require such a prescription. The Ongoing Service Coordinator (OSC) is responsible for this activity only if it is listed as an OSC follow-up activity on the Individualized Family Service Plan (IFSP).

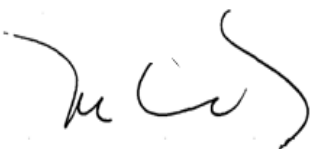
Note: Instructions for navigating NYEIS are in *italics* in the body of this Policy.

II. PROCEDURE:

Responsible Party	Action
Service Provider Agency	- Obtains separate physician, physician's assistant, or nurse practitioner prescription for each of the following services before service delivery can begin: - Nursing, - Physical therapy, and - Occupational therapy. - Requests prescriptions using the <u>sample language in the Request for Prescription for Services Form</u>. - Obtains new prescriptions when an amendment to a service is made that changes the frequency/duration stated in the current order(s). - New prescriptions are not necessary for the six (6) month review of the IFSP, if frequency and duration of the specific service is not changed. - Obtains new prescription at the time of annual review even if there has been no change in frequency/duration. <u>Note:</u> - Prescriptions should not be obtained prior to the IFSP meeting. - It is sufficient for a prescription to say 'on as needed basis' if no time frame or frequency is indicated. - A written recommendation from a physician, nurse practitioner, physician's assistant, or speech pathologist, resulting from the child's evaluation is necessary for speech pathology services. - If feeding services are authorized, obtains written medical clearance from the child's physician indicating that there are no contraindications. - Faxes the new or revised prescription to the Service Coordinator whenever there is change to the service on the IFSP.

	7. Provides a copy of the prescription to all relevant therapists.
Ongoing Service Coordinator (OSC)	1. Upon receiving the prescription(s) enters information in the Service Authorization in NYEIS: a. <i>From the Home Menu, click on "My Cases."</i> b. <i>Select the "Case Reference Number." This will take you to the "Integrated Case Home Page."</i> c. <i>From the "Integrated Case Page" scroll down to the IFSP section, and select the case reference number of the IFSP you wish to change.</i> d. Amend the Service Authorization: i. <i>Scroll down to the bottom of the IFSP to view the list of Service Authorizations (SA).</i> ii. <i>Select the Service Authorization Reference number for the SA you wish to amend.</i> iii. <i>Under the "Manage" section of the Service. Authorization Home page, select "Edit".</i> iv. <i>Reason for Modification - Click on the drop-down box and Select, "Service Authorization Amendment."</i> v. <i>Decision Effective Date - Leave blank. (The Muni EIOD Approver will specify the effective date of this amendment).</i> vi. <i>Under Service Authorization Details:</i> vii. <i>Check "Script recommendation on file?" box</i> viii. <i>Script Recommendation Provided By - Click on the drop-down box and chose the appropriate personnel who wrote the prescription.</i> ix. <i>Script Start Date – enter the date the script was written.</i> x. <i>Script End Date – enter the end date of the IFSP authorization.</i> xi. <i>Click the "Submit" button to save your revised amendment request for this SA.</i> xii. <i>You can check your amendment via Events on the active IFSP.</i> 2. Attaches the prescription(s) to the child's Integrated Case in NYEIS. 3. A copy of the prescription(s) is kept in the service coordination file.
EIOD Assistant	1. Examine Assigned Tasks a. <i>From the Home Menu, click on "Inbox", then click on Assigned Tasks.</i> b. <i>Select the TaskID associated with the "Review Request for Amendment for Service Authorization 999999 for childname" task.</i> c. <i>On the Task Home screen, click on the "Review SA Amendment" link under the Primary Action section.</i> 2. Review the Service Authorization (SA) amendment. a. <i>Enter the Decision Effective Date, which must be the start date identified on the IFSP for the service indicated in the prescription, (i.e. OT, PT, etc.)</i> i. <i>For example, the IFSP service authorization start date is 1/1/13. This date becomes the Decision Effective Date, even if the prescription was written on a different date.</i> b. <i>Review the Modified field, Reason for Amendment, Existing Value</i>

	<i>and Requested Value. The Requested value represents the proposed changed values.</i> <i>c. Check the appropriate box to approve individual amendments or click the "Modified Field" box at the top of the list.</i> <i>d. Enter comments if desired.</i> <i>e. Select either the "Save" or "Reject All" button.</i> <i>i. If "Reject All" is selected, all changes will be rejected. A "Confirm Reject of Amendment Request" Screen is displayed. Enter a reason why this SA amendment request should not be approved. It will be stored as a note on the SA.</i> <i>ii. If "Save" is selected, the task is removed and the SA status will change to "Approved" or "Active". The SA changes are now visible for the SA.</i>


Approved By:
Assistant Commissioner, Early Intervention

Date: 3/26/2013

**NYC EARLY INTERVENTION PROGRAM
REQUEST FOR PRESCRIPTION FOR SERVICES**

Child's Name: _____ DOB: _____
EI #: _____ Date: _____

Dear Physician/Nurse Practitioner,

At the request of the parent, we are writing to inform you that your patient has been found eligible for the NYC Early Intervention Program (NYCEIP). The NYC Early Intervention Program provides educational and therapeutic services to children with developmental delays and disabilities and supports families/caregivers, using everyday routines to promote development.

The NYC EIP staff met with the family on (date) _____, and discussed the parents' concerns, priorities and resources in order to develop the Early Intervention Individualized Family Service Plan (IFSP).

Based on the IFSP meeting, your patient will receive the following services:

Speech Therapy: _____ (per week / month)
*Occupational Therapy: _____ (per week / month)
*Physical Therapy: _____ (per week / month)
*Feeding Therapy _____ (per week / month)
Special Education: _____ (per week / month)
Other: _____ (per week / month)

* Based on the New York State Practice Acts, Occupational Therapy (OT), Physical Therapy (PT), and Nursing services require a prescription. The prescription can specify the above frequency or say "As per the IFSP." A separate prescription is needed for OT and PT services. Please attach a prescription if you agree with the plan.

Are there any medical concerns about this child participating in a therapy program?
If yes, please let us know of the limitations of his/her participation, (e.g., cardiac or respiratory disease, etc.).

☐ There are no restrictions ☐ There are restrictions (**Attach specific medical clearance**)

The service plan will be reviewed by the NYCEIP every six (6) months and adjustments to the plan will be made based on the child's progress. With parent permission, please keep us updated on any medical information or diagnoses that may impact his/her interventions within the NYCEIP.

If there are any questions about this request, please contact me at the below number/address:

Provider Contact (print name): _____ Title: _____
Address: _____
Phone: _____ Fax: _____
Email (optional): _____
Signature: _____

New York City Early Intervention Program

Policy Title: Make-up Sessions	Effective Date: 5/03/2013
Policy Number: 6-D	Supersedes: Policy 6-D dated 10/17/10
Attachments: • IFSP Meeting Consent for Services Form • NYC EI Make-up Policy – Information for Families • Service Authorization Data Entry Form (Eliminated by NYEIS) • IFSP Page 8: Attestations, Consent for Services (Eliminated by NYEIS)	Regulation/Citation: NYCRR 69-4.9 (g)(2)(i); NYCRR 69- 4.9 (g)(2)(ii); NYCRR 69- 4.9 (g)(2)(i)(a)

I. POLICY DESCRIPTION:

“Providers shall make reasonable efforts to notify the child’s parent within a reasonable period prior to the date and time on which a service is to be delivered, of any temporary inability to deliver such service due to circumstances such as illness, emergencies, hazardous weather, or other circumstances which impede the provider’s ability to deliver the service.

Providers shall notify the child’s parent and service coordinator **at least five (5) days** prior to any scheduled absences due to vacation, professional activities, or other circumstances, including the dates for which the provider will be unable to deliver services to the child and family in conformance with the Individualized Family Service Plan and the date on which services will be resumed by such provider.

Missed visits may be rescheduled and delivered to the child and family by such provider, as clinically appropriate, agreed upon by the parent and in conformance with the child’s and family’s IFSP.”

Sessions delivered in excess of the authorized frequency per week/month to compensate for a prior missed session (make-up) may be rescheduled by the service provider according to the procedure indicated below.

Note: Instruction for navigating NYEIS are denoted in *italics* in the body of this Policy

II. PROCEDURE:

Responsible Party	Action
Early Intervention Official Designee (EIOD)	- Reviews the make-up policy with parents at conclusion of every IFSP meeting. (IFSP Meeting Consent for Services Form) - Gives parent a copy of the <i>NYC EI Make-Up Policy – Information for Families</i>. - Explains that: - Make-up sessions are delivered to compensate for one or more missed sessions in excess of the authorized frequency (per week/month). Example: A child is authorized to receive Speech Therapy once a week. In a particular week, no session was delivered. In a future week, two (2) sessions

	were delivered; the second is a “make-up” for the missed session of the earlier week. ii. While make-up sessions are not mandatory, providers are encouraged to make-up missed sessions. iii. NYC EIP authorizes six make-up sessions for each authorized service at the time of the IFSP meeting. iv. Sessions can be made up within two (2) weeks after the missed session. v. Interventionist(s) will notify the child’s parent and Service Coordinator (SC) at least five (5) days prior to any scheduled absences and create a plan to make-up missed sessions when possible. Note: • If the family has circumstances that may result in many missed sessions, those circumstances should be documented in the IFSP, if known. • The Ongoing Service Coordinator (OSC) is responsible for monitoring delivery of services. • NYEIS requires that a specific number of make-up sessions are authorized at the time of the IFSP meeting. In the event that additional make-up sessions are needed, the OSC will provide a written justification to the Regional Office for approval.
Service Provider Agency	1. Does not provide individual and/or group (Group Developmental, Parent/Child Group, Family/Caregiver Support Group) make-up sessions under the following circumstances: a. While the services are being located, not to exceed fourteen (14) calendar days. i. Refer to Start Date of Service Policy. b. During family vacations: i. Service Provider must document such occurrence (s) in the session notes. ii. Informs family the sessions will not be made up • Refer to Family Vacation Policy. c. If parent/child displays a pattern of missed sessions (three (3) consecutive missed scheduled sessions, or ten (10) consecutive days of planned service sessions for waived services) that was not agreed to by the interventionist and the parent. i. Service Provider must document such occurrences in the session notes. • Refer to Closure Policy for specific procedures in the event of three (3) consecutive missed scheduled sessions, or ten (10) consecutive days of planned service sessions for waived services. 2. Provides individual and/or group make-up sessions within two (2) weeks of the missed session within the existing IFSP period, if the following conditions are met: a. The make-up session is not medically or therapeutically contraindicated, as indicated by the child’s record b. The make-up session does not exceed a prescription.

- c. For services with a billing waiver, the make-up session does not exceed the frequency of services authorized on the IFSP or the number of sessions waived on the IFSP.

Note:

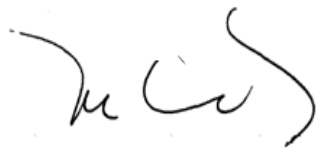
- Waivers are not given to address missed sessions.
- Make-up sessions may not take place in advance of a missed session.

- d. Scheduling a make-up session does not violate any New York State DOH billing rules for a particular day:
- i. Home/Community, Individual/Collateral Visit - Basic and Extended: Up to **three (3) per day**. The **three (3) visits** may include only **one (1) visit** per discipline per day.
 - ii. Office/Facility Individual/Collateral Visit: Up to **three (3) per day**. The **three (3) visits** may include only one visit per discipline per day.
 - iii. Group developmental visits and parent-child group – No more than one per day
 - iv. Family/caregiver group – No more than **two (2) per day**.
 - v. Regularly scheduled Early Intervention therapy sessions may not be extended for the purpose of making up for a missed session.
- e. Group sessions can be made up if all of the conditions above are met:
- i. An appropriate group is available
 - ii. An appropriate teacher or therapist is available
 - iii. The transportation company can accommodate the child on an existing route (if transportation has been authorized) or the parent can provide transportation for the child for the make-up session.

3. Plans as far in advance as possible for therapist absences known ahead of time.
- a. Provides families a calendar with scheduled agency closures at the initiation of service and yearly thereafter.
 - b. Notifies the child's parent and SC at least **five (5) days** prior to any scheduled absences due to vacation, professional activities, or other circumstances.
 - c. If missed sessions are due to a prolonged absence by an interventionist (absence of **more than fourteen (14) calendar days** since the last intervention session), a new interventionist or service arrangement (home/center) should be initiated by the service provider with parent/caregiver consent.
 - i. If the parent consents to a new interventionist but the agency cannot locate a new therapist within **three (3) business days**, the agency must immediately contact the parent and service coordinator.
 - ii. If the parent/caregiver chooses to wait for the interventionist to return (**not to exceed three (3) weeks**):

	• The agency must notify the OSC. • The agency must document parent/caregiver choice in the child's record. Note: The service provider agency must ensure that the parents and the OSC are fully aware of the dates when the agency or individual therapists cannot provide services due to scheduled vacations or agency closures.
Ongoing Service Coordinator (OSC)	1. Locates another interventionist/service provider when s/he becomes aware of any interventionist vacation lasting longer than fourteen (14) calendar days. a. Refer to the Amendment Policy for detailed procedures regarding changes to interventionists and agencies. 2. If the parent/caregiver chooses to wait for the interventionist to return: a. OSC must document parental choice in the SC notes. b. OSC must review the Make-up Policy with the parent. c. A child cannot go without services for more than three (3) weeks. Note: If a prolonged absence is due to a delay in initiation of services that exceeds fourteen (14) days see Start Date of Services Policy.
Early Intervention Official Designee	1. Reviews Amendment requests as required by the Amendment Policy. 2. Ensures that arrangements for additional sessions are authorized for missed intervention sessions, if appropriate. 3. If the EIO D determines that a provider has not delivered services for an excessive period of time (more than four (4) weeks), and a new provider for those services is <i>located by the OSC</i>: a. <i>An increased frequency may be added to the new provider's Service Authorization in NYEIS to the extent that the sessions are clinically appropriate and feasible.</i> i. <i>A note will be made in the comment section of the Service Authorization and in the IFSP that "[X] number of sessions are being added for services not previously delivered as authorized for the previous provider."</i> ii. Sessions can be added to either the current or subsequent IFSP service authorizations. (This determination is made after consultation with the AD.) Note: • Scheduling the changes in frequency will be addressed on a case-by-case basis depending on the new provider's ability to accommodate increased sessions. • Authorization for services not delivered as authorized by the previous provider will be documented as such in the IFSP and in the comments section of the Service Authorization. - o Authorization will include the frequency and duration of the services. Refer to the Amendment Policy for additional information regarding changes to frequency. - o If the EIOD determines that a provider agency is at fault of extended periods of services not being delivered as authorized, the AD will notify Provider Oversight.

Program Oversight Unit	1. Provider Oversight will investigate the reasons for services not being delivered as authorized and determine if a Corrective Action Plan or further sanctions are warranted.

A handwritten signature in black ink, appearing to be 'MCS' or similar, is written above the 'Approved By' text.

Approved By:
Assistant Commissioner, Early Intervention

Date: 3/29/2013

NYC EARLY INTERVENTION PROGRAM

MAKE-UP POLICY - INFORMATION FOR FAMILIES

Your child's services should begin within two (2) weeks (14 days from the date of the IFSP authorization). Make-up sessions will not be provided from the date that services are authorized to the date that they begin.

Make-up sessions are not mandatory. However, if a make-up session is held, the NYC Early Intervention Program (NYC EIP) expects that it will be held within **two (2) weeks** of the missed session. A session can only be made-up if it is medically or therapeutically appropriate for your child. It will not be made-up if it violates your child's prescription for services.

- Six make-up sessions per service will be authorized at the time of the IFSP meeting.
- Make-up sessions must happen within two weeks of a missed session.

Special child/family circumstances will be considered by the EIOD. Your service coordinator will contact the Regional Office to discuss child/family circumstances.

Services can be made-up in the following ways:

1. When the make-up session is on a **different day** than a regularly scheduled visit (Example: If a visit is on Tuesday, the make-up session can happen on any day except Tuesday).
2. If the make-up session does not break any New York State billing rules. **NYC will not give waivers for make-up sessions.** Talk to your service provider about how often services can be provided.
3. Group sessions may be made-up only if:
 - a. An appropriate group is available. Your service provider will need to make sure that the group is appropriate for your child.
 - b. An appropriate teacher or therapist is available. If the teacher or therapist does not know your child, s/he may not know how to work with him/her.
 - c. The bus company has room for you and your child or you can transport your child to and from the program.

Not all groups are right for all children, the needs of each child must be considered.

Services cannot be made-up in the following ways:

1. A session cannot be made longer to make-up for missed sessions. For example, if speech therapy is approved for a half-hour, it cannot be made-up as an hour session.
2. Sessions cannot be made-up before they are missed.
3. Sessions **will not** be made-up for family vacations.
4. Missed services cannot be made-up for scheduled agency closings. The agency providing services to your child should give you a copy of their calendar indicating the days that they will be closed.

NYC EARLY INTERVENTION PROGRAM

MAKE-UP POLICY - INFORMATION FOR FAMILIES

Therapist Absences

The therapist or the agency that s/he works for must tell you if a therapist will not provide your child with services for more than 14 calendar days [two (2) weeks]. You can choose to ask for a new therapist or to wait for him/her to come back as long as your child does not go without services for more than three (3) weeks. You should call your service coordinator, right away with your choice, if this happens.

You should also tell your Service Coordinator if your child's therapist or teacher:

- a. Keeps changing the schedule;
- b. Misses a lot of sessions;
- c. Asks you to combine services (for example, a service is authorized two (2) times a week for 30 minutes. The therapist wants to come one (1) time a week for 60 minutes. This is not allowed);
- d. Asks you to sign session notes that are blank or are written for days that s/he did not give services to you or your child.

If you have questions or concerns about services, call your service coordinator. If you still have concerns, call your Regional Office at the numbers below and ask for the EIOD or Assistant Director. You can also call Beverly Samuels, Director of Consumer Affairs at 347-396-6828.

<u>Bronx:</u>	718-410-4110
<u>Brooklyn:</u>	718-722-3310
<u>Manhattan:</u>	212-436-0900
<u>Queens:</u>	718-291-1710
<u>Staten Island:</u>	718-420- 5357

New York City Early Intervention Program

Policy Title: Family Vacations	Effective Date: 5/03/2013
Policy Number: 6-E	Supersedes: Policy 6-E Dated 10/17/2010
Attachments:	Regulation/Citation:

I. POLICY DESCRIPTION:

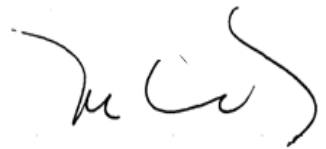
Families must contact the Early Intervention service provider agency when they will be unable to receive services for an extended period of time.

II. PROCEDURE:

Responsible Party	Action
Service Provider Agency	1. At the start of services, informs the family to notify the Service Provider Agency when the family will be going on vacation. 2. Provides the family with the following information before the family goes on vacation: a. Child's Early Intervention (EI) case may be kept open. b. The Service Provider Agency and/or therapist(s) currently providing services may not be available to serve the child upon their return. c. Missed service sessions will not be made up. d. The family must give an anticipated return date. i. If the family does not return on the anticipated date, the service provider agency will notify the service coordinator: • The Service Coordinator (SC) will close the case after making three (3) documented unsuccessful attempts to contact the family. • The case can be re-referred by calling 311 when the family returns if the child remains age-eligible for EI services. ii. If the family does not give an anticipated return date: • The SC will attempt to contact the family after three (3) weeks of absence. • The SC will close the case after making three (3) documented unsuccessful attempts to contact the family. Note: • Three (3) documented unsuccessful attempts to contact the family is defined as: attempts made on different days to contact the family by phone, and in writing (at least one by certified mail). • Informs the parents that the case can be re-referred by calling 311 when the family returns if the child remains age-eligible for EI services. 3. Notifies the SC as soon as the family notifies the service provider agency of

	an upcoming vacation.
Service Coordinator	2. Notified that the family will be going on vacation. - Ensures that the family understands the Vacation Policy as it is written in the Service Provider section of this document. - Documents the conversation in the SC notes. - Sends a letter on service coordination agency letterhead to the service provider agency (ies) documenting that the family has indicated that they will be on vacation, giving the anticipated date of return, and that the family has been informed of the Vacation Policy. - A copy of that letter must be kept in the child’s SC file and attached to the child's Integrated Case in NYEIS. Note: - If the family is going on vacation within two (2) weeks of the expiration of the IFSP, an IFSP meeting should be held before the family goes away to facilitate continuity of services when the family returns from vacation. - When the family does not give a return date: - Attempts to contact the family after three (3) weeks of absence. - Makes three (3) documented unsuccessful attempts to contact the family. - Submits the Closure Form with documentation of attempts to contact the family via NYEIS as described in the Case Closure Policy. - The “effective date” of closure is not specified by the SC. The RO will enter the closure date after review of documentation. Note: Three (3) documented unsuccessful attempts to contact the family is defined as: attempts made on different days to contact the family by phone, and in writing (at least one through a certified letter). - After the first failed attempt to contact a parent or a foster parent of a child that is in foster care, the second attempt must include a phone call to Administration for Children’s Services (ACS) Education Unit, at 212-341-0977. - The ISC must submit a copy of the certified letter, certified label, and the Closure Form via NYEIS. A copy of the Closure Form, certified letter, and other unsuccessful contact attempts must be documented in the child’s SC record. - Refer to the Case Closure Policy. - The Closure Form must be submitted with a clear statement for the reason of closure. 3. Notified that the family is planning to be away for an extended time period during the summer. - Informs the family of all of the above (as appropriate).

	a. Informs the family of the following: i. The NYC EIP does not provide services outside of New York State. ii. Services <u>may be</u> provided in a county outside NYC by a NYC contracted provider <u>if therapist(s) are readily available</u>: • NYC SC is responsible for coordinating services. iii. Missed sessions will not be made-up. b. Sends letter on service provider agency letterhead to the RO indicating the arrangements and that the family understands the above. i. A copy of this letter must be attached to the child's Integrated Case in NYEIS, kept in the child's case record and sent to family and all service provider agencies. c. If the family moves their primary residence to another NYS county, the SC is responsible for transferring the case to the new county, notifying all NYC EIP providers and closing the case in NYC.
Regional Office (RO)	1. Closure Forms are routed to the assigned Early Intervention Official Designee (EIOD) for review. 2. EIOD sends parents and the Initial Service Coordinator (ISC) / Ongoing Service Coordinator (OSC) Prior Written Notice. a. If the parent does not respond to the Prior Written Notice, closes the child's integrated case in NYEIS (refer to the Case Closure Policy). i. The "effective date" of closure is three (3) weeks and ten (10) days after the last service date.
Service Coordinator	1. Inform all service provider agencies (including transportation providers and respite providers when appropriate) by sending them a copy of the Closure Form.


 Approved By:
 Assistant Commissioner, Early Intervention

Date: 3/26/2013

New York City Early Intervention Program

Policy Title: Extending the IFSP	Effective Date: 6/4/2012
Policy Number/Attachment: 6-F	Supersedes: Policies 6-F and 6-G dated 10/17/10
Forms: - IFSP Meeting Consent for Services Form (NEW) - Provider Progress Note - Closure Form - Individualized Educations Plan (IEP) - DEP-1	Regulation/Citation:

I. POLICY DESCRIPTION:

The New York City Early Intervention Program (EIP) recognizes two types of circumstances when a current IFSP period may require an extension of 30-60 days.

- A. **Circumstance “A”:** It is the expectation of the EIP that Six Month Review and Annual Individualized Family Service Plan (IFSP) meetings occur prior to the expiration of the current IFSP. It is recognized, however, that circumstances may interfere with the timely scheduling of these meetings and authorization of services. In these circumstances the EIOD and parent may agree to extend the current IFSP period for up to 30 days the first time, and 30 days at a time thereafter, with no changes to the service plan, so services can continue without interruption. In these cases, the next IFSP period will be diminished by the amount of the Extension. **A current IFSP must be present in NYEIS in order to avoid gaps in services.**

Note: The use of extensions by Service Coordinators (SCs) and providers will be monitored.

- B. **Circumstance “B”:** When a child is aging out of the EIP, and there is a gap between the date that the service authorization ends and the date that the child transitions out of EI. **The Extension of IFSP Policy** will be applied to these children when:
- They are leaving the EIP **60 days or less** beyond the existing authorized IFSP
 - AND**
 - No changes to the existing IFSP are being requested

Examples of children that meet “Circumstance B”:

1. *“Jane” has **been found eligible** for services from the Committee on Pre-school Special Education (CPSE). Her CPSE meeting has been held, and the Individualized Education Plan and DEP-1 are available and also indicates Jane will stay in the EIP until her effective age-out date of 8/31/09. Jane’s current IFSP is effective for the period 2/5/09 to 8/5/09. Her next IFSP Review is due 8/6/09, which is less than 30 days from the date of her transition out of the EIP (8/31/09). Her next IFSP and current services can be extended from 8/6/09 to 8/31/09.*

2. “Tamara” is ***found not eligible*** for services from the CPSE. She has an IFSP for the period 12/3/11 to 6/4/11 and is due for an IFSP Review. Her DOB is 8/1/08. She will age out on the 7/31/11 (the day before her 3rd birthday). Her next IFSP and current services can be extended from 6/5/11 to 7/31/11.

Note:

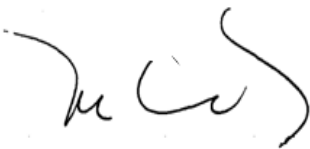
- Instruction for navigating NYEIS are denoted in *italics* in the body of this Policy

II. PROCEDURE:

Responsible Party	Action
Ongoing Service Coordinator (OSC)	1. Monitors all cases to ensure that services are extended where appropriate to prevent gaps in services. <u>Circumstance “A”:</u> a. Initiates an extension of services in NYEIS when a Review or Annual IFSP meeting is not held prior to the expiration date of the authorization. i. <i>To create an “Extension” in NYEIS:</i> • <i>From “My Cases” or “Search” function, navigate to the “Integrated Case View”</i> • <i>Select the “Case Reference” for the child’s current IFSP which will take you to the “IFSP Home page”</i> • <i>Click the “Extend” link in the “IFSP Home page” to display the “Extend IFSP” screen</i> ○ <i>Select the “Reason for the Extension” from the drop down</i> ○ <i>Click the “Save” button</i> ○ <i>The IFSP status now displays “EIOD Review Required”</i> ▪ <i>This generates an “Assigned Task” for the EIOD to review</i> b. Ensures that an IFSP Review or Annual meeting is scheduled within 30 days of requesting the extension. i. Submits the IFSP Request/Confirmation Form to the Regional Office within one (1) week of requesting the extension. Note: • An IFSP may be extended for a maximum of 30 days at a time. • The next IFSP period will be diminished by the amount of the extension. <u>Circumstance “B”</u> a. When a child: • Has been found eligible for the CPSE; • Has been found ineligible for the CPSE; or • The parent has not referred the child for CPSE services; the child must exit EI the day before his/her third birthday;

OSC Cont.	And • The child is leaving the EIP within 60 days or less. Note: The steps below must be completed at least two (2) weeks before the end date of authorization period: i. Attaches the following documents to the child’s current NYEIS IFSP: • IFSP Meeting Consent for Services Form; • Provider Progress Notes for each discipline; • The Individualized Education Plan (IEP); • DEP-1 (if applicable); and • Closure Form. - o <i>The “Effective Date” of Closure is the day after the end date of the IFSP listed on the “IFSP Home Page” under “IFSP Details”</i> - o Parental Signature is required on the Closure Form; and - o The Service Coordinator (SC) must send the Closure Form to all service providers, including respite and transportation providers (if applicable). Note: If there is no signature on the Closure Form, SC must provide explanation and the reason for closure. Refer to the Closure Policy. ii. <i>Attaches documents to the child’s current IFSP:</i> • <i>From the Inbox Menu Button – Click on “My Cases”</i> • <i>Select the “Case Reference” which will navigate to the “Integrated Case Home Page”</i> • <i>Select the “Case Reference Number” for the IFSP which will navigate to the IFSP Home page</i> • <i>Select “Attachments” and Select “New”</i> • <i>On the Create Attachment screen:</i> - o <i>Browse for the file to attach</i> ▪ <i>File size cannot be more the 15MB</i> - o <i>Complete the fields under “File Details”</i> ▪ <i>DO NOT enter any information in the Location and Reference fields</i> - o <i>Select the Document type</i> ▪ <i>Document type for all documents above is “signature”</i> - o <i>Receipt date must be the date that the attachment is made</i> - o <i>Complete the “Attachment Description” field by listing the name of the form being attached “Provider Progress Note – PT”</i> - o <i>Select “Save” or “Save and New” to add additional attachments</i>

OSC Cont.	iii. Follow the steps under Circumstance “A” to submit the extension in NYEIS if the extension is for 30 days or less. iv. Follow the steps for cloning the IFSP if the gap is between 30 and 60 days. - Steps for “Cloning” can be found in the Review and Annual IFSP Policy. Note: - Children for whom changes to the existing plan are being requested must have an IFSP <u>meeting</u> to make any changes to the IFSP. - Children who are aging out of EI, have been referred to CPSE, and whose eligibility for services from the CPSE <u>was not determined by the day before their 3rd birthday</u>, are not appropriate candidates for the Extension of IFSP Policy. - Refer to Closure Policy for children aging out of the EIP.
Early Intervention Regional Office (RO)	1. <i>When the Service Coordinator requests an Extension, a workflow is created for the EIOD to Approve/Reject the request</i> a. <i>If the IFSP Extension is not approved, the EIOD will “Reject” the IFSP Extension request and provide comments in the Rejection Comment box</i> i. <i>The OSC will need to make appropriate corrections and initiate the IFSP extension request again in NYEIS.</i> <i>Corrections must be made and re-submitted within two (2) business days of receiving the rejection from the EIOD.</i> b. <i>If the IFSP Extension request is “Approved”, the EIOD</i> i. <i>Reviews the “Request for Extension” Assigned Task</i> ii. <i>Selects the “Review IFSP Extension Details” Primary Action</i> iii. <i>Selects the “Approve” button and enters “Extension Approval Comments”</i> iv. <i>The IFSP with all associated Service Authorizations will then display an “Extended” status</i>
Service Coordinator (SC) and Provider Agency	1. The assigned SC and the service provider agency are alerted in their “Notifications” when the request to extend the IFSP is approved. 2. OSC must send the transportation service authorization to transportation providers once approved by the EIOD.
Provider Agency	1. Review assigned cases in NYEIS to remain aware of the end date for all authorized services. 2. Contact the SC at least two weeks in advance of the end date of the current NYEIS authorization, if the IFSP will expire prior to an IFSP meeting.

Approved By: 
Assistant Commissioner, Early Intervention

Date: 4/06/2012

New York City Early Intervention Program

Policy Title: Case Closure	Effective Date: 5/03/2013
Policy Number: 6-J	Supersedes: Policy 6-J dated 2/28/2011
Attachments: • Closure Form • Your Family Rights in Early Intervention	Regulation/Citation:

I. POLICY DESCRIPTION:

New York State Department of Health/Early Intervention Program has defined those circumstances under which cases should be closed. It is the responsibility of the Municipality to track and report closure events to the New York State Department of Health.

When sending a **Closure Form** to a family, the Service Coordinator (SC) must always enclose a copy of **Your Family Rights in the Early Intervention Program**.

The Case Closure Policy **does NOT** apply to cases where the family is on vacation or when the case requires a transfer to a municipality/locality outside of NYC.

Note: Instruction for navigating NYEIS are denoted in *italics* in the body of this Policy.

II. PROCEDURE:

Responsible Party	Action
Initial Service Coordinator (ISC)	1. Follows the closure procedure below for the following scenarios: • Upon the request of a parent/caregiver; • Family moves outside of NYS; • After an agreed upon period of time by ISC and family following the death of a child (not to exceed four (4) weeks); • Upon a determination of ineligibility for the Early Intervention Program, when the parent is in agreement. a. Obtains parent signature on the Closure Form. i. Your Family Rights in the Early Intervention Program must be provided to the family along with the Closure Form. ii. Do not send Closure Form or Your Family Rights in the Early Intervention Program to the family following the death of a child. b. Attaches the Closure Form to the child's integrated case in NYEIS within seven calendar days of the "effective date" of closure. i. The "effective date" of closure is entered by the ISC in the above scenarios. ii. When the parent signs the Closure Form, the signature date is the "effective date" of closure. iii. The "effective date" of closure is the last day the ISC can bill for

	Service Coordination on a case. c. Submits a request to close the Initial Service Coordination service authorization in NYEIS. <i>From the Inbox Menu Bar – Click on “My Cases”.</i> <i>Select the “Case Reference” number for the case.</i> <i>The “Service Coordination Service Authorizations” section displays the Initial Service Coordination Service Authorization (SA).</i> <i>Select the “Case Reference” link.</i> <i>Under the Manage section, select “Close”:</i> <i>Enter the closure date.</i> <i>Select the “Actual Outcome” from the drop-down list:</i> <i>“Attained” is selected when the case is being closed due to a determination of ineligibility.</i> <i>“Canceled” is selected when a case is being closed due to family change of location or child death.</i> <i>“Not Attained” is selected when the case is being closed due to family preference.</i> <i>Select the “Reason” from the drop-down list.</i> <i>Refer to Appendix A: Closure Reasons and Definitions of Categories</i> <i>Complete the Comments section.</i> <i>Indicate if parent signature was obtained and that the Closure Form is attached to the child’s integrated case in NYEIS.</i> <i>Click the “Save” button to save revised data for the SA.</i> <i>The SA Status will change to “EIOD Review Required”.</i> <i>A task will be sent to the EIOD to review your request for closure of the service authorization.</i> <i>You can check your amendment submitted details via the Events “View List” on the Integrated Case.</i> Note: The ISC <u>does not</u> initiate closures to the integrated case in NYEIS. The Regional Office will complete the NYEIS integrated case closure when all closure documentation is reviewed and approved. The Case Closure Policy does not apply to cases that require a transfer to a municipality/locality outside of NYC. 2. Follows the closure procedure below for the following scenarios: - After three (3) unsuccessful, documented attempts by the assigned ISC to contact a family; - When three (3) scheduled appointments for evaluation are missed; - The evaluation agency must contact the ISC who will attempt to contact the family. - After three (3) unsuccessful, documented attempts to schedule an IFSP meeting where the family was unwilling or unable to attend; and

	• After a family misses two (2) successive Initial IFSP meetings for which they have received notice without informing the ISC at least 24 hours before the scheduled meeting AND the ISC makes three (3) documented unsuccessful attempts to contact the family. - o When the family has an extenuating circumstance (ex: child or family illness), is unable to attend the Initial IFSP meeting at the time and place scheduled, and cannot give at least 24 hours notice, the RO working with the ISC must reschedule the meeting at a time and place convenient to the family. - o The ISC must document all attempts to schedule the initial IFSP in the child's case record. Note: • Three (3) documented unsuccessful attempts to contact the family are defined as: attempts made on different days, to contact the family by phone, and in writing (at least one through a certified letter). - o After the first failed attempt to contact a parent or a foster parent <u>of a child that is in foster care</u>, the second attempt must include a phone call to Administration for Children's Services (ACS) Education Unit, at 212-341-0977. - o The ISC must send a copy of Your Family Rights in Early Intervention when contacting the family by mail. a. Completes Closure Form i. The "effective date" of closure is NOT entered by the ISC in the above scenarios. b. Attaches the Closure Form, a copy of the certified letter, and certified label to the child's integrated case in NYEIS within seven calendar days of the third documented unsuccessful attempt to contact the family. i. A copy of the Closure Form, certified letter, and other unsuccessful contact attempts must be documented in the child's SC record. c. Submits a request to close the Initial Service Coordination service authorization in NYEIS. i. Refer to 1.c. above for detailed NYEIS instructions.
Ongoing Service Coordinator (OSC)	1. Follows the closure procedure below for the following scenarios: • Upon the request of a parent/caregiver; • Family moves outside of NYS; • After an agreed upon period of time by OSC and family following the death of a child (not to exceed four (4) weeks); • Upon a child's transition or age - out of the Early Intervention Program (EIP). a. Obtains parent signature on the Closure Form i. Your Family Rights in the Early Intervention Program must be provided to the family along with the Closure Form ii. Do not send Closure Form or Your Family Rights in the Early Intervention Program to the family following the death of a child. b. Update or complete the NYEIS Transition Sections i. Refer to the NYEIS Transition Cross-walk for step-by-step

instructions.

- c. Attaches the Closure Form to the child's integrated case in NYEIS within seven calendar days of the "effective date" of closure.
 - i. The "effective date" of closure is entered by the OSC in the above scenarios.
 - ii. The "effective date" of closure is the last day the OSC can bill for Service Coordination on a case.
- d. **Submits a request to close all open service authorizations in NYEIS including the Ongoing Service Coordination service authorization.**
 - i. *Go to the child's integrated case in NYEIS.*
 - ii. *Select the active IFSP.*
 - iii. *Select the service authorization reference number from the list of service authorizations.*
 - iv. *Click the "Close" link under the "Manage" section from the Service Authorization Home page:*
 - v. *Enter the closure date.*
 - vi. *Select the "Actual Outcome" from the drop-down list:*
 - *"Attained" is selected when the case is being closed due to a change in eligibility status, transition, or age-out.*
 - *"Canceled" is selected when a case is being closed due to family change of location or child death.*
 - *"Not Attained" is selected when a service is being terminated due to family preference.*
 - vii. *Select the "Reason" from the drop-down list.*
 - *Refer to Appendix A: Closure Reasons and Definitions of Categories.*
 - viii. *Complete the "Comments" section.*
 - *Indicate if parent signature was obtained on the Closure Form and that the Closure Form is attached to the child's integrated case in NYEIS.*
 - ix. *Click the "Save" button to save revised data for the SA.*
 - x. *The SA Status will change to "EIOD Review Required".*
 - xi. *A task will be sent to the EIOD to review your request for closure of the service authorization.*
 - xii. *You can check your amendment submitted details via the Events "View List" on the active IFSP.*

Note:

- **The OSC does not initiate closures to the integrated case in NYEIS. The Regional Office will complete the NYEIS integrated case closure once all closure documentation is reviewed and approved.**
- **The OSC does not initiate closures to open ("active") IFSPs in NYEIS.**
- The Case Closure Policy does not apply to cases that require a transfer to a municipality/locality outside of NYC.
- The Case Closure Policy does not apply to cases where the family is on vacation. See **[Vacation Policy](#)**.

	2. Follows the closure procedure below for the scenario below: • After a family misses three (3) consecutive scheduled intervention sessions for the same service without informing the OSC. When three (3) consecutive scheduled sessions are missed; - o Service provider agency must document in the child's record their inability to provide services or locate the family. - o The service provider agency must contact the OSC who will attempt to contact the family by phone and mail. a. Makes three (3) documented unsuccessful attempts to contact the family, defined as: attempts made on different days, to contact the family by phone, and in writing (at least one through a certified letter). i. After the first failed attempt to contact a parent or a foster parent of a child that is in foster care, the second attempt must include a phone call to Administration for Children's Services (ACS) Education Unit, at 212-341-0977. ii. The OSC must send a copy of Your Family Rights in Early Intervention when contacting the family by mail. b. Completes the Closure Form. i. The "effective date" of closure is NOT entered by the OSC in the above scenario. c. Update or complete the NYEIS Transition Sections i. Refer to the NYEIS Transition Cross-walk for step-by-step instructions. d. Attaches the Closure Form, a copy of the certified letter, and certified label to the child's integrated case in NYEIS within seven calendar days of the third documented unsuccessful attempt to contact the family. i. A copy of the certified letter and other unsuccessful contact attempts must be documented in the child's SC record. e. <i>Submits a request to close all open service authorizations in NYEIS.</i> i. Refer to 1.d. above for detailed NYEIS instructions.
Regional Office (RO)	1. Early Intervention staff (EIOD /EIOD Assistant) review closure request tasks within two (2) weeks of receipt. 2. EIOD will reject the assigned review request task in NYEIS if all of the required documentation is not attached to the child's integrated case: a. <i>From the Home Menu, click on "Inbox", and then click on "Assigned Tasks."</i> b. <i>Select the Task ID associated with the "Review Request for Closure of Service Authorization 999999" task.</i> c. <i>Select the "Reject" button on the Approve/Reject Service Authorization screen.</i> d. <i>A Confirm Rejection of Service Authorization Closure Request Screen is displayed.</i> i. <i>Enter the reason for rejection as "insufficient information provided" and specify the specific additional information that is being requested. Then select "Reject".</i> ii. <i>The rejection reason comments will be stored as a note on the SA.</i> 3. If the EIOD/Assistant authorizes closure and the Closure Form is signed by

	the parent: a. EIOD/Assistant does not send Prior Written Notice to the parent ISC/OSC. b. <i>EIOD/Assistant confirms that the Transition sections have been completed in NYEIS.</i> i. <i>The Transitions sections must be completed for any child that has had an IFSP meeting while in the EIP.</i> ii. <i>Refer to the NYEIS Transition cross-walk for step-by-step instructions.</i> c. <i>The EIOD/Assistant enters the Closure into NYEIS within two (2) weeks of receipt.</i> d. <i>The EIOD/Assistant documents the closure status in the “Notes” tab of the integrated case view.</i> 4. If the closure is authorized, but parent did not sign the Closure Form: a. EIOD/Assistant sends parents and the ISC / OSC Prior Written Notice Form and a copy of Your Family Rights in Early Intervention when the reason for closure requires Prior Written Notice (See Prior Written Notice Policy). i. <i>The EIOD/Assistant “Reserves” the closure request task in NYEIS, documents the Prior Written Notice schedule and reviews their reserved tasks daily.</i> ii. <i>EIOD/Assistant confirms that the Transition sections have been completed in NYEIS.</i> • <i>The Transitions sections must be completed for any child that has had an IFSP meeting while in the EIP.</i> • <i>Refer to the NYEIS Transition cross-walk for step-by-step instructions.</i> iii. If the parent responds within ten (10) business days requesting due process, all services must remain in place until a resolution is reached. The case is not closed in this instance. iv. If the parent does not respond within ten (10) business days, the closure is entered into NYEIS. v. <i>The EIOD/Assistant documents the closure status in the “Notes” tab of the integrated case view.</i> Note: • The effective date on the Closure Form and the date entered into NYEIS must be the same date as the date that is written on the Prior Written Notice Form. • Effective date of closure is defined as the last date on which service coordination and services will be provided to a child/family, based on the reason for closure. • Parent Signatures on Closure Forms are not required in cases of child death. • Regional Offices do NOT send Prior Written Notice in cases of child death.
ISC/OSC and Service Coordination Supervisor	1. Receives a Notification in their Inbox stating: “<i>Service Authorization 999999 for child (first name last name) has been closed as of mm-dd-yyyy</i>” when: a. <i>The ISC service authorization closure is approved the EIOD.</i> i. The ISC will no longer have access to the case.

	b. <i>The OSC service authorization closure is approved by the EIOD.</i> i. The OSC will no longer have access to the case.

A handwritten signature in black ink, appearing to be 'MCS', is written over the signature line.

Approved By:
Assistant Commissioner, Early Intervention

Date: 3/29/2013

New York City Early Intervention Program Case Closure Form

Child's Name (Last, First):	DOB:	EI#
Effective Date of Closure:	Submission Date:	
SC Name (Last, First):	SC Agency:	
Telephone #:	Fax#:	

I. Early Intervention Program Case Closure

Early Intervention Case Closure Reason (select only one): Delay/Condition resolved

*If this form is hand written, the reason for closure must be limited to those in **Appendix A: Closure Reasons and Definitions of Categories**

*If the EI case is being closed at any point after an IFSP has been developed, the Transition to CPSE and Other Transitions pages in NYEIS **must** be completed or updated by the service coordinator before the Closure Form is submitted to the Regional Office.

Parent's Signature: _____

Date: ____ / ____ / ____

☐ Parent is unavailable for signature. Explain below:

Note: If the parent is unavailable for signature, attach the SC notes, certified letter (if applicable) and certified label (if applicable) to NYEIS documenting unsuccessful contact attempts and parent availability issues. Parent's signature is not necessary in cases of child death. Refer to the **Closure Policy**.

II. Transfer to At-Risk (Developmental Monitoring)

Parent was informed of Developmental Monitoring Services (At-Risk): ☐ Transfer to At-Risk ☐ Parent objects to referral to Developmental Monitoring

If the case is being transferred to At-Risk/ Developmental Monitoring, select all the Risk Indicators that apply:

☐ Gestational age less than 33 weeks	☐ NICU stay of ten (10) days or more	☐ CNS insult/abnormality	☐ Asphyxia
☐ Abnormalities in muscle tone	☐ Birth weight less than 1501 grams	☐ Presence of Inborn Metabolic Disorder	☐ Maternal prenatal alcohol abuse
☐ Congenital malformations	☐ Hepatitis B	☐ Homelessness	☐ Hyperbilirubinemia
☐ Hypoglycemia	☐ Perinatally or congenitally transmitted infection	☐ Maternal prenatal abuse of illicit substances	☐ Prenatal exposure to therapeutic drugs
☐ Suspected hearing impairment	☐ Suspected vision impairment	☐ Maternal age less than 16 years	☐ Respiratory distress
☐ Parental developmental disability or mental illness	☐ Parental substance abuse	☐ Maternal PKU	☐ Suspect score on developmental/sensory screening
☐ Maternal education less than High School	☐ No prenatal care	☐ Parent- infant bonding difficulties	☐ Parental or caregiver concern about developmental status
☐ Parent difficulty with parenting functions	☐ Serious illness or traumatic injury with implication for CNS	☐ Growth deficiency/nutritional problems	☐ Elevated venous blood lead level (above 19 mcg/dl)
☐ Chronicity of Serous Otitis Media	☐ Absence of Primary Health Care (by six months of age)	☐ Child abuse or maltreatment	☐ Domestic violence
☐ Foster care placement	☐ HIV infection		

Select other risk criteria: ☐ No well child care by age 6 months ☐ No prenatal care ☐ Parental substance abuse ☐ Parental developmental disability or mental illness

INSTRUCTIONS FOR COMPLETION - CLOSURE FORM

The **Closure Form** may be completed by the Initial (ISC) or Ongoing Service Coordinator (OSC) under the circumstances described below (See Appendix A).

This form should not be completed if:

1. The child will be leaving one EI Provider and continue to receive any services through another EI provider within the five boroughs of New York City;
2. If an active case is transferred from one borough to another borough; or
3. If an active case is transferred to another New York State municipality

The individual completing the form will:

1. Complete the identifying information.
2. Complete *Effective Date of Closure* (if applicable) - Effective Date of Closure should only be indicated in those scenarios described in the **Case Closure Policy**.
3. Complete *Date of Submission* – The date of submission must be the date that the **Closure Form** is attached in NYEIS.
4. Complete the SC information.
5. Write the SC telephone and fax numbers.

When the **Closure Form** is completed and submitted by any of the ISC/OSC as an attachment to the child's Integrated Case in NYIS, the appropriate staff in the Regional Office will review the form and supporting documentation.

Initial and Ongoing Service Coordinators:

1. Complete **Section I** of the **Closure Form** when any of the conditions listed under "Closure Reason" occurs (see Appendix A: Closure Reason and Definition of Categories).
2. Obtain parent signature on the Closure Form.
3. Keep a completed copy of the **Closure Form** in the child's Service Coordination Case Record.
4. Submits a request to close all open Service Authorizations in NYEIS.
 - a. Refer to the **Case Closure Policy** for detailed instructions.
5. Attach the Closure Form and supporting documentation (if applicable) to the child's Integrated Case in NYEIS.
 - a. If the parent is unavailable for signature, attach the SC notes, certified letter (if applicable) and certified label (if applicable) documenting unsuccessful contact attempts and parent availability issues. For more information refer to the Case Closure Policy.
 - b. Parent signature is **NOT** necessary in cases of child death.
6. Fax copies of the Closure Form to the following: the evaluation site (if prior to the IFSP meeting); and transportation and respite providers, if authorized.
7. If a child is found not eligible for EI services, the SC should discuss referral to Developmental Monitoring (At-Risk) with the parents.
 - a. Indicate if parent agrees with a transfer to DM in Section II of the **Closure Form**.
 - b. Select the risk indicators associated with the transfer to DM.
 - c. Select any other risk criteria as applicable to the DM transfer.

Note: Ongoing Service Coordinators only - If the child is transitioning out of EI after an IFSP has been written, the Transition to CPSE and Other Transitions sections in NYEIS **must** be completed. Refer to Closure Policy for further details.

Regional Office Staff:

1. Review the **Closure Form** and any supporting documentation attached to the child's Integrated Case in NYEIS.
2. Send Prior Written Notice (if applicable)
3. Close the child's EI case in NYEIS.
4. If appropriate, upon transfer open the case in Developmental Monitoring.

Appendix A: Closure Reasons and Definitions of Categories	
Closure Reason	Definition of Category
Delay/ Condition resolved	The condition for which the child was receiving EI services has been resolved and the child no longer requires services.
Family Refused	Withdrawal by parent (or guardian) at any time in the EI process.
Can't locate family	Attempts to reach the parent were unsuccessful. Category includes children at any stage in the EI process, and for whom personnel have been unable to contact or locate after repeated, documented attempts.
Transitioned to 3-5 program	Children who have been determined to be eligible for services by the Committee on Preschool Special Education.
EI Evaluation found child not eligible	Children who have been evaluated and determined to be not eligible for EI services
Moved out of state	The family moved out of NYS.
Child died	Case is closed due to child's death.
Ageout, Not eligible for 3-5, no other referrals made	Children who have been determined to be not eligible for services by the CPSE and age out of EI with no referrals to other programs.
Ageout, Not eligible for 3-5, referred to other programs	Children who have been determined to be not eligible for services by the CPSE and age out of EI with referrals to other programs such as: preschool learning center, Headstart, child care center, health and nutrition services.
Ageout, Eligibility for 3-5 unknown, no other referrals made	Children who have aged out of EI and for whom eligibility for services by the CPSE is unknown or the process is incomplete. Also include children for whom parents did not consent to transition planning or to referral to CPSE.
Duplicate record for this child	Child is already active in NYEIS with another ID number
Closure due to amendment approval	A joint decision was made at an IFSP that services were no longer needed.

New York City Early Intervention Program

Policy Title: Session Note	Effective Date: 5/03/2013
Policy Number/Attachment: 6-K	Supersedes:
Attachments: NYC Early Intervention Program Session Note	Regulation/Citation: NYCRR 69-4.9(g)(6)(7); 69-4.26(a)(15) Early Intervention Memorandum 2003-1

I. POLICY DESCRIPTION:

Providers of Early Intervention must maintain and make available to the municipality and the State Department of Health (SDOH) upon request, complete financial records and clinical documentation related to the provision of early intervention services including information and documentation necessary to support billing to third party payors (including the medical assistance program) and the State, and to permit a full fiscal audit by appropriate State and municipal authorities. (NYCRR 69-4.9(g)(6))

Agency and individual providers must maintain Early Intervention Program records for each eligible child that includes documentation necessary to support claims to third party payors, including the medical assistance program, and to the Department for reimbursement of early intervention services. NYCRR 69-4.26(a)(15)

“Session notes specifically document that the early intervention provider delivered certain diagnostic and/or treatment services to a child and/or caregiver on a particular date. Session notes also assist payors, parents, early intervention providers and municipalities in assessing the extent to which services are helping the child/family to achieve the goals contained in the IFSP. Session notes must be completed by all qualified personnel (i.e. special educator, physical therapist, social worker, etc.) delivering the early intervention services authorized in a family's IFSP for *each service delivered*.” (NYS DOH EIP Memorandum 2003-1)

The session note is also a valuable clinical tool to document how well previous activities worked for the family and child, what occurred during the session, what strategies and natural routines were used, and what learning activities are planned next. The session note can be used by the parents/caregiver as a reference tool, and can help support collaboration and communication among the other interventionists working with the child on the same functional outcomes.

II. PROCEDURE:

Responsible Party	Action

EIP Interventionists	1. Document information regarding all scheduled sessions (held or cancelled) on the NYC session note form located in Chapter 6 of the <i>NYC Policy and Procedure Manual</i>. a. The session note must be completed in its entirety. b. The session note must be completed as close to the conclusion of the visit as possible. i. Session notes <u>cannot</u> be completed during intervention sessions. Note: The duties of the provider are discussed in Social Services Law at 18 NYCRR Section 504.3. Providers must prepare and maintain contemporaneous records that demonstrate the provider’s right to receive payment under the Medicaid program. (“Contemporaneous” records means documentation of the services that have been provided as close to the conclusion of the session as practicable.) c. A separate session note must be written for each service type that an interventionist is delivering. d. A separate session note must be written by each interventionist for authorized co-visits, and team meetings. e. Each interventionist must retain a copy of this session note and ensure that their corresponding provider agency(ies) receive a copy. f. Ensure that the parent/caregiver receive a copy of the session note(s) when requested. Note: • Demographic information (child’s name, DOB, EI #, interventionist name, and discipline) may be entered in preparation for the session. • Session notes may be corrected if each strikethrough is initialed and dated by the interventionist. • Session note corrections will be questioned if the corrections create the appearance of impropriety. g. When a session cannot be held for a family or provider reason: i. Session notes must be completed for every session that was cancelled/not held. ii. The reason for the non-delivery of service must be indicated and a make-up date must be provided when possible. • Refer to the <i>NYC Policy and Procedure Manual Policy 6-D - Make-up Sessions</i>. iii. A single session note can be completed to indicate a range of absences or cancellations such as in the case of vacations. 2. Insures session notes are signed by the parent/caregiver and the interventionist at the end of each session for all home/community based services. a. Parents should never be asked to sign a blank session note.

	3. Provides the family with a copy of the session note for their use as a reference tool and/or record of services when requested by the parent/caregiver. a. The family should receive a copy of their session note as close as possible to the corresponding visit. 4. Submits session notes to the authorized service provider. a. Independent contractors must keep original session notes and submit copies to the provider agency. b. Employed interventionists submit original session notes to the authorized provider agency. 5. Makes all session notes available when requested by parents; the interventionist's supervisor or by their provider agency; and by the internal departments of New York City Dept. of Health and Mental Hygiene Early Intervention Program such as the Regional Offices, Provider Oversight, and Technical Assistance; NYC Contracts Dept. (for financial audits) and the New York State DOH for system complaints and IPRO audit.
Service Provider Agency	1. Bills for services provided based upon the receipt and review of interventionist's session notes. 2. Reviews session notes to ensure that: a. Services were provided in accordance with IFSP service authorizations in terms of service type, frequency and duration; b. Session notes were completed according to the clinical instructions provided under the <i>NYC EIP Policy and Procedure Manual</i>; and c. Session notes demonstrate that services were delivered in compliance with regulatory requirements and include information necessary for reimbursement for services, as noted above (See I. Policy Description). 3. Upon request, expeditiously provide session notes to the various departments of the NYC DOHMH EIP and NYS DOH EIP. 4. Upon request, provide session notes to parents within: a. Ten (10) business days upon receipt of request; and b. Five (5) business days when requested as part of a mediation or impartial hearing.


Approved By:
Assistant Commissioner, Early Intervention

Date: 3/29/2013

Child's Name: _____ DOB: ____/____/____ Sex: ☐ Male ☐ Female EI #: _____	
Interventionist's Name: _____ Credentials: _____ National Provider ID #: _____ Service Type: _____	
Session Date: ____/____/____ IFSP Service Location: _____ Time: From _____ ☐ AM ☐ PM To _____ ☐ AM ☐ PM	Session Date: ____/____/____ IFSP Service Location: _____ Time: From _____ ☐ AM ☐ PM To _____ ☐ AM ☐ PM
Date Note Written: ____/____/____ ICD-9 code: _____ HCPCS Code (if applicable): _____ 1st CPT Code: _____ 2nd CPT Code: _____ 3rd CPT Code: _____ 4th CPT Code: _____	Date Note Written: ____/____/____ ICD-9 code: _____ HCPCS Code (if applicable): _____ 1st CPT Code: _____ 2nd CPT Code: _____ 3rd CPT Code: _____ 4th CPT Code: _____
☐ Session cancelled - reason listed in #1. Session must be made up by: ____/____/____ ☐ This is a make-up for a missed session on ____/____/____. (must be within 2 weeks) Session Participants: ☐ child ☐ parent/caregiver ☐ Other: _____ If the parent/caregiver was unavailable, how did you communicate with them about the session?	☐ Session cancelled- reason listed in #1. Session must be made up by: ____/____/____ ☐ This is a make-up for a missed session on ____/____/____. (must be within 2 weeks) Session Participants: ☐ child ☐ parent/caregiver ☐ Other: _____ If the parent/caregiver was unavailable, how did you communicate with them about the session?
1. Describe the progress that the child has made toward the IFSP outcomes since the last session. Include parent/caregiver feedback.	1. Describe the progress that the child has made toward the IFSP outcomes since the last session. Include parent/caregiver feedback.
Additional information about the session (as appropriate):	Additional Information about the session (as appropriate):
2. IFSP Functional Outcome(s) and Objective(s) addressed during this session:	2. IFSP Functional Outcome(s) and Objective(s) addressed during this session:
3. Routine Activities worked on during the session: ☐ Activities of Daily Living (ADL) ☐ Play/Social ☐ Community/Errand ☐ Other(s): _____ Strategies used within the Routine Activities: ☐ Modeling ☐ Cues ☐ Prompts ☐ Positioning ☐ Assistive Technology ☐ Other:	3. Routine Activities worked on during the session: ☐ Activities of Daily Living (ADL) ☐ Play/Social ☐ Community/Errand ☐ Other(s): _____ Strategies used within the Routine Activities: ☐ Modeling ☐ Cues ☐ Prompts ☐ Positioning ☐ Assistive Tech ☐ Other:
4. How did you work with the parent/caregiver? ☐ Observed parent/caregiver and child during routines ☐ Parent/caregiver tried activity, feedback exchanged ☐ Demonstrated activity to parent/caregiver ☐ Reviewed communication tool with parent/caregiver ☐ Other:	4. How did you work with the parent/caregiver? ☐ Observed parent/caregiver and child during routines ☐ Parent/caregiver tried activity, feedback exchanged ☐ Demonstrated activity to parent/caregiver ☐ Reviewed communication tool with parent/caregiver ☐ Other:
5. What strategies/activities did you and the parent/caregiver collaboratively agree to do to support their child's learning and development between visits?	5. What strategies/activities did you and the parent/caregiver collaboratively agree to do to support their child's learning and development between visits?
Parent/Caregiver Signature: _____ Date: ____/____/____ Relationship to child:	Parent/Caregiver Signature: _____ Date: ____/____/____ Relationship to child:
Interventionist Signature: _____ Date: ____/____/____ License/Certification #:	Interventionist Signature: _____ Date: ____/____/____ License/Certification #:

NYC Early Intervention Program Session Note

Child's Name: _____ DOB: ____/____/____ Sex: ☐ Male ☐ Female EI #: _____	
Interventionist's Name: _____ Credentials: _____ National Provider ID #: _____ Service Type: _____	
Session Date: ____/____/____ IFSP Service Location: _____ Date Note Written: ____/____/____ Time: From _____ ☐ AM ☐ PM To _____ ☐ AM ☐ PM	
ICD-9 code: _____ HCPCS Code (if applicable): _____ 1st CPT Code: _____ 2nd CPT Code: _____ 3rd CPT Code: _____ 4th CPT Code: _____	
☐ Session cancelled - reason listed in #1. Session must be made up by: ____/____/____ ☐ This is a make-up for a missed session on ____/____/____. (must be within 2 weeks) Session Participants: ☐ child ☐ parent/caregiver ☐ Other: _____ If the parent/caregiver was unavailable, how did you communicate with them about the session?	
1. Describe the progress that the child has made toward the IFSP outcomes since the last session. Include parent/caregiver feedback.	
Additional information about the session (as appropriate):	
2. IFSP Functional Outcome(s) and Objective(s) addressed during this session:	
3. Routine Activities worked on during the session: ☐ Activities of Daily Living (ADL) ☐ Play/Social ☐ Community/Errand ☐ Other(s): _____ Strategies used within the Routine Activities: ☐ Modeling ☐ Cues ☐ Prompts ☐ Positioning ☐ Assistive Technology ☐ Other: _____	
4. How did you work with the parent/caregiver? ☐ Observed parent/caregiver and child during routines ☐ Parent/caregiver tried activity, feedback exchanged ☐ Demonstrated activity to parent/caregiver ☐ Reviewed communication tool with parent/caregiver ☐ Other: _____	
5. What strategies/activities did you and the parent/caregiver collaboratively agree to do to support their child's learning and development between visits?	
Parent/Caregiver Signature: _____ Date: ____/____/____	
Relationship to child: _____	
Interventionist Signature: _____ Date: ____/____/____	
License/Certification #: _____	

**NYC EARLY INTERVENTION PROGRAM
INSTRUCTIONS FOR COMPLETION
SESSION NOTES**

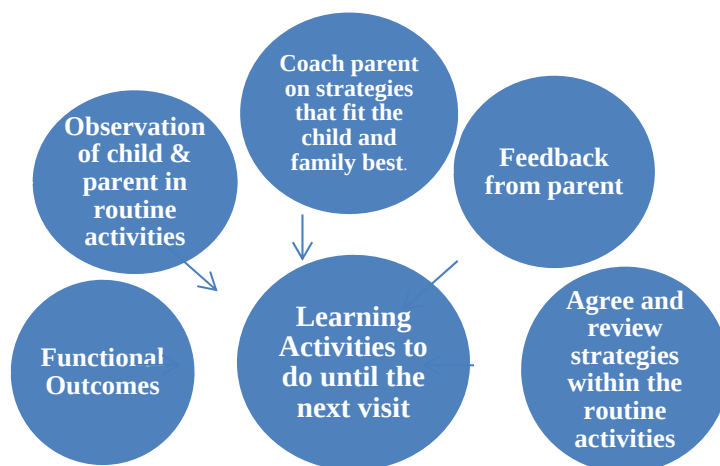
GENERAL DIRECTIONS

The interventionist must complete this form for each session completed and document whenever a session is cancelled and the reason for the cancellation on the form. The family should receive a copy of the session note as close as possible to the completed session. A copy must also be submitted to the interventionist's provider agency for billing purposes. **All Session Note fields are mandatory.** A provider may add additional fields to the form if necessary. **Refer to the [Session Note Policy](#)**

DEMOGRAPHIC/AUTHORIZATION INFORMATION

Child's Name:	Information must be the same as in NYEIS (do not use nickname).
DOB:	Enter child's date of birth.
Sex:	Enter the sex of the child (M, F)
EI #:	The EI # appears at the top of the "Child Homepage" in NYEIS
Interventionist Name:	Print the name of the interventionist who is completing this form.
Credentials:	Interventionist's discipline/credentials, e.g. speech therapist (Speech/Language Pathologist, MS, CCC/SP, special educator (MS Ed.), etc.
National Provider ID (NPI):	Write the National Provider ID (NPI). [See NY State regulations from June 2010.]
Service Type:	IFSP authorized service delivered by the interventionist, e.g. Speech, Physical Therapy
Session Date	Date session was held.
IFSP Service Location:	This is the location the IFSP indicates the service is to be provided (i.e., facility, etc.).
Date note written:	Date that the interventionist completes the note. It is expected that notes are written contemporaneously or as close as possible to the session.
Time:	Exact duration of session. From begin time to end time . AM/PM must be indicated in order to support billing.
ICD-9 code	The relevant ICD-9 code as indicated on the child's evaluation.
HCPCS Code (if applicable)	Enter the Level II HCPCS code for the service or product provided by a non-health care interventionist (for example, Special Educator).
CPT Code(s)	Enter the CPT code(s) as indicated by the interventionist's professional association. Depending on the CPT code, a session may require that more than one. For example, if the same service was provided for a 30 minute session and the CPT code is for 15 minutes of service, the CPT code would be listed twice. (See Early Intervention Memorandum 2003-1).
Session Cancelled:	When a session is cancelled: 1. Indicate that the session was cancelled and document the reason under question #1. 2. The missed session must be made up before: Write the date that is 2 weeks from the missed session. The make-up session should occur prior to this date. 3. This is a make-up session for: If this session is a make-up session, check this box and indicate the date of the missed session. Note: Refer to the Make-Up Policy
Session Participants	Check the box that indicates the session participants. Specify others not listed (e.g., siblings).
If the parent/caregiver was unavailable, how did you communicate with them about the session?	Indicate the method(s) used to communicate strategies to the parent/caregiver when they are not available. Consistent communication and collaboration with families and with the EI team are essential in early intervention services. - Communication with the family and other EI professionals is important for teaming and collaboration. Document briefly the strategies that were used to work with the child when the parent/caregiver was not available or chose not to participate in the session. Interventionists may refer to their documentation in questions #3 and #5 when this is the information they communicated. - Parents decide how they want to communicate with their EI team whether they are receiving services at home, at a center-based program, at a facility, and at a day care center. Different types of methods include a communication book, videos, phone calls, the voluntary NYC EIP Family Activity Sheet, etc. If parents want to use emails, please see the NYS DOH BEI Policy and Parent Consent to use emails.

Questions #1 to #5 support the interventionist in their work with the parent/caregiver and the child. Below is a diagram to visually show what kind of information is to be covered. (Refer to the [Appendix](#) for definitions of terms.)



1. Describe the progress/responses that the child has made toward the IFSP outcomes since the last session. Include parent/caregiver feedback. Additional information about the session (as appropriate)	The information in this section guides what will be worked on during the current session. In this section, the interventionist must document: 1. The progress the child has made since the last visit (e.g., generalization to other routines, ease of doing, obstacles encountered) after observing the child and parent/caregiver in the routine and discussing it with the parent/caregiver. 2. Document feedback from the parent/caregiver as to what strategies worked and did not work. Document any other information about activities that took place during the session. This may include the following: Updated information about the child/family if there are changes in medical or developmental status or in community services; indication of whether parent/caregiver is interested in attempting new functional outcomes or strategies. • Any other information about the session the interventionist wants to record.
2. IFSP Functional Outcome(s) and Objective(s) addressed during this session:	Document the IFSP functional outcome(s) and objective(s) that was worked on in this session with the child and parent/caregiver. • Interventionists should address the IFSP functional outcomes and objectives based on their own scope of practice proficiency, knowledge and experience. • Whenever interventionists believe that they cannot address an IFSP functional outcome or objective, they should document this in Question #1 in the NYC EIP Progress Note with an explanation. Note: Ongoing discussion with the parent/caregivers about what their concerns, priorities and resources currently are will help guide the functional outcome or objective that will be worked on during the sessions and promote collaboration with families.
3. Routine Activities worked on during the session:	The session note must include documentation that services are being delivered within the context of the family's natural routines and are functional for the child. 1. The routines must be specific to the family's cultural and social environment and are of a concern and priority for them. 2. The routine activities should include but are not limited to those listed in the functional outcomes in the IFSP. 3. It is expected that a range of family routines be documented when appropriate. Routines should not be limited to "play routines". Check off all those routine activities that were used during the session, or write in the daily routine if it is not listed. Routine activities may include: • Activities of Daily Living (ADL) Routines which cover hygiene routines, food routines, and dressing routines; • Play/Socialization routines, • Community/Family routines;

Strategies used within the Routine Activities:	• Song/Rhyme Routines; and • Book Routines. Note: Interventionists should work collaboratively with family to seek opportunities to adapt learning experiences and therapeutic strategies to reflect the individual characteristics of the child and family, and to identify and implement, as appropriate, strategies that enhance and promote the child’s participation in natural learning opportunities across both child and family routines and community settings (NYS DOH Provider Agreement XII C4). Indicate which strategies were used to help the families/caregivers successfully support their children’s participation in daily activities. The following are examples of strategies: • Positive reinforcement at all levels; • Parent models, child imitates; • Verbal cues only; • Gesture with verbal cues; • Physical prompts; • Hand-over-hand; • Increased opportunities to practice; • Modification of the social or the physical environment; • Positioning; • Adaptation of materials; • Use of Assistive Technology; and • Discrete trial instruction.
4. How did you work with the parent/caregiver?	Each family learns in different ways. Some families may not choose to participate in a session while others may choose to participate. Check off <u>all</u> techniques used during the session. If a technique was used that is not listed, please check “other” and describe the technique(s). Some techniques that can be utilized with the parent/caregiver include, but are not limited to: • Observed parent/caregiver and child performing activities; • Discussed activity with parent/caregiver; • Assisted parent/caregiver; • Gave the parent/caregiver a picture illustrating the way to position the child after demonstrating the method; • Demonstrated parent/caregiver-child activity while describing and explaining what was happening; • Modeled and explained a strategy and provided feedback as parent/caregiver tried the activity with the child; • Videotaped learning activity and reviewed with parent/caregiver; • Observed parent/caregiver and child performing activities, with both the parent/caregiver and the interventionist providing feedback during the session; • Reviewed communication tool with parent/caregiver; • Identified the methods and sequence of an activity for the parent/caregiver; and • Generalized the strategy to other routines with the parent/caregiver.
5. What strategies/activities did you and the parent/caregiver collaboratively agree to do to support their child’s learning and development between visits?	Outline the strategies/activities that the parent/caregiver has agreed to do until the next visit. Indicate here if the parent/caregiver did not agree to work on a strategy/activity with the reason (if given). During each visit, the interventionist and the parent/caregiver can determine and collaborate together on which learning activities: • Will be integrated into the child and family’s natural routines, based on family’s comfort level. • Will be used to build upon the child and family’s strengths and competencies. • Can be used by the family without the presence of the interventionist. Include the following information, if applicable: • If the child is authorized for an AT device, describe how the family will use the device as part of the child’s daily routine. • Support the generalization of the child’s new skills and abilities. Describe the framework of the strategies and whether they may be used in other natural routines when the child and family feel they have been successful. • Include recommendations made by other interventionists working with the

	parent/caregiver and child whenever possible.
Parent/caregiver signature and relationship to the child:	At the end of the session, the parent/caregiver who participated in the session signs the session note and indicates his/her relationship to the child. The date written on the note is the date that the parent signs the completed note. A parent must never be asked to sign an incomplete, blank, or undated note. *This does not apply for facility-based or group developmental services.
Interventionist signature, credentials, date and license/certification number:	The interventionist signs the session note and adds his/her credentials. If certified, write “certified” and do not indicate number. The date that the session note was created, and signed by the parent, is then entered. For sessions with student interns, CFYs, OTAs, and PTAs, this field may also include the signature and license/certification number of a supervisor, as applicable. A date should also be indicated.
Procedural Notes: A Family Activity Sheet is available to help support the parent/caregiver in the learning activities until the next session (it follows the session note in this chapter of the <i>NYC Policy and Procedure Manual</i>, and is also available on the www.nyc.gov website). The Family Activity Sheet is a <u>voluntary</u> tool that can be used to document the strategies that the family plans to use during targeted daily routines. The type of tool that the parent/caregiver decides to use is individual to the family. They may decide to use either the Family Activity Sheet, or a communication notebook, or a calendar or even a combination of these tools. They may also use different tools at different times, or decide not to use any tool.	

New York City Early Intervention Program

Policy Title: Provider Progress Notes	Effective Date: 5/03/2013
Policy Number: 6-L	Supersedes: N/A
Attachments: Provider Progress Note	Regulation/Citation: NYCRR 69-4.9(g)(7); 69-4.26(a)(15);(b)(5)(10) Early Intervention Memorandum 2003-1

I. POLICY DESCRIPTION:

Providers of Early Intervention must maintain and make available to the municipality and the State Department of Health (SDOH) upon request, complete financial records and clinical documentation related to the provision of early intervention services including information and documentation necessary to support billing to third party payors (including the medical assistance program) and the State, and to permit a full fiscal audit by appropriate State and municipal authorities. (NYCRR 69-4.9(g)(6))

Records must be maintained in accordance with NYCRR 69-4.17(a) that document the performance of activities required to be completed by the provider on behalf of an eligible child and the child's family.

Periodic progress notes summarizing the effectiveness of the service and progress being made toward major outcomes/rehabilitation goals should be prepared by all early intervention providers, at a minimum, for six-month reviews and annual evaluations of the IFSP. It is recommended that periodic progress notes be completed every 90 days.” (Early Intervention Memorandum 2003-1) .

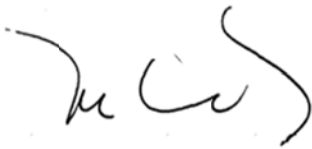
Note: Instruction for navigating NYEIS are denoted in *italics* in the body of this Policy

II. PROCEDURE:

Responsible Party	Action
NYCEIP Interventionist	1. Completes progress notes quarterly (every Three (3), Six (6), Nine (9), and Twelve (12) months). a. Uses the NYC Provider Progress Note form located in Chapter 6 of the <i>NYC Policy and Procedure Manual</i>. b. The Provider Progress Note must be completed in its entirety according to the provided clinical instructions.

	c. If a service provider is providing more than one service type (for example speech therapy and family training), a separate quarterly progress note must be written for each service type. 2. Reviews the progress note with the parent/caregiver, and obtains the parent's signature prior to submission. a. Submission should not be delayed pending parental signature. i. If the signature has not been obtained, an explanation should be attached to the note. b. Provides the parent with a copy of every Provider Progress Note quarterly, upon completion. 3. Submits the Provider Progress Note to the ongoing service coordinator quarterly. The Six (6) month and Twelve (12) month Progress Notes must be submitted at least two weeks prior to the respective IFSP meeting. Note: - If an interventionist drops a case for any reason, a progress report must be completed if it is due 30 days or less from the last date that he/she delivered services to the child and family.
Service Provider Agency	1. Reviews Provider Progress Notes for completion according to the clinical instructions provided in the <i>NYC EIP Policy and Procedure Manual</i>. 2. Ensures that Provider Progress Notes are reviewed with parents and copies of the notes are provided quarterly to the parent. 3. Ensures provider progress notes are submitted to the Ongoing Service Coordinator quarterly. a. For the Six (6) month and Twelve (12) month Progress Notes at least two weeks prior to the respective IFSP meeting. 4. Upon request, expeditiously provides Provider Progress Notes to the various departments of the NYC DOHMH EIP and NYS DOH EIP. 5. Provides copies of Provider Progress Notes to the parent within ten (10) business days of request, and/or within five (5) business days of request if is part of a mediation or impartial hearing.
Ongoing Service Coordinator	1. Provides follow-up to ensure that the parent has received and understands the content of the Provider Progress Notes before each IFSP meeting. 2. Submits the progress note in NYEIS no later than (2) weeks prior to the expiration date of the current IFSP. a. Refer to NYC Policy and Procedure Manual Policy: Chapter 5 – C: IFSP Review and Annual Meeting. 3. Attaches the progress notes to the child's Integrated Case in NYEIS. a. <i>From the Inbox Menu Button – Click on “My Cases.”</i> b. <i>Select the “Case Reference” for the child to navigate to the “Integrated Case Home Page.”</i> c. <i>Select “Attachments.”</i> d. <i>Select “New.”</i> i. <i>On the Create Attachment screen:</i> <i>Browse for the file to attach.</i> <i>File size cannot be more the 5MB.</i> <i>Complete the fields under “File Details.”</i>

	• <i>DO NOT enter any information in the “Location” and “Reference” fields.</i> • <i>Select the “Document type.”</i> - o <i>Document type for all documents above is “signature.”</i> • <i>“Receipt date” must be the date that the attachment is made.</i> • <i>Complete the “Attachment Description” field by listing the name of the form being attached (e.g., Three (3) Month Provider Progress Note).</i>
Regional Office	1. Reviews Provider Progress Notes as part of IFSP review process. 2. Requests that the Ongoing Service Coordinator obtain and/or submit missing Provider Progress Notes in NYEIS, if applicable. 3. Requests assistance from the Provider Oversight Unit in obtaining Provider Progress Notes that are not submitted. a. Changes in services will not be considered authorized if sufficient information, (ex: progress notes for the particular service type, additional evaluations etc.) noting current child status, is not available prior to the meeting. i. Informs the IFSP Team and parent of the reason for not authorizing change(s). ii. Provides Written Notice to the parent at the IFSP documenting the reason for not authorizing any change. Note: • Missing Progress Notes will not prevent convening an IFSP Review meeting.
Provider Oversight Unit	Assists Regional Office, as needed, in obtaining provider progress reports that have not been submitted.


Approved By:
Assistant Commissioner, Early Intervention

Date: 3/29/2013

Complete progress reports and review with the parent. Submit the completed report to the service coordinator **no later than 2 weeks prior to the 6-month or Annual review**. All questions must be answered. Illegible hand written reports will be returned. Use additional pages if needed. Typed reports are preferred. Parents should receive copies of session and progress notes.

Child's Name: _____ EI #: _____ DOB: _____ / _____ / _____
 IFSP Period: From: _____ To: _____ Provider Agency Name: _____
 Provider Agency ID #: _____ Print Name of Interventionist: _____
 Discipline: _____ Service Type: _____ Interventionist's Phone Number: _____
 Service Coordinator Name: _____ EIOD Name: _____
 Indicate the language(s) used during the sessions: _____
 Date reviewed note with parent: _____ / _____ / _____ Parent's Signature: _____
 *Parent Progress Note is available if parent wants to fill it out.

Authorized Frequency? _____ Date you started working with this child: _____ / _____ / _____
 Where have services been delivered? _____
 Has the parent(s) been present for the sessions, if not, how have you communicated with the family?

If there have been any gaps in service delivery of more than three consecutive scheduled visits, describe the length and the reason(s).

List the child's medical diagnosis(es) (if any):

Is the child using assistive technologies? ☐ Yes ☐ No Is a new AT Device being requested? ☐ Yes ☐ No

If yes, identify the type of device, and the Functional Outcome (from the IFSP) and specify how the device is helping (or will help) to achieve the Outcome:

I. Below list all the functional outcomes and objectives. Indicate the progress for each:

Functional Outcome 1: _____

Rate Progress in This Time Period				
No Progress	Little Progress	Moderate Progress	Great Deal of Progress	Outcome Achieved
☐	☐	☐	☐	☐

Check Y/N to indicate if the objective(s) was achieved in this time period. Check (E) to indicate if the skills related to the objective are emerging.

1a. Objective:	Yes ☐	No ☐	Emerging ☐
1b. Objective:	Yes ☐	No ☐	Emerging ☐
1c. Objective:	Yes ☐	No ☐	Emerging ☐
1d. Objective:	Yes ☐	No ☐	Emerging ☐
1e. Objective:	Yes ☐	No ☐	Emerging ☐

Was this functional outcome and objectives identified at the IFSP meeting? Yes ☐ No ☐

If not, the date it was changed and the reason (i.e. scope of practice or expertise).

IFSP Functional Outcome 2: _____

Rate Progress in This Time Period				
No Progress	Little Progress	Moderate Progress	Great Deal of Progress	Outcome Achieved
☐	☐	☐	☐	☐

Check Y/N to indicate if the objective(s) was achieved in this time period. Check (E) to indicate if the skills related to the objective are emerging.

1a. Objective:	Yes ☐	No ☐	Emerging ☐
1b. Objective:	Yes ☐	No ☐	Emerging ☐
1c. Objective:	Yes ☐	No ☐	Emerging ☐
1d. Objective:	Yes ☐	No ☐	Emerging ☐

1e. Objective:	Yes ☐	No ☐	Emerging ☐

Was this functional outcome and objectives identified at the IFSP meeting? Yes ☐ No ☐

If not, the date it was changed and the reason (i.e. scope of practice or expertise).

IFSP Functional Outcome 3: _____

	Rate Progress in This Time Period				
	No Progress	Little Progress	Moderate Progress	Great Deal of Progress	Outcome Achieved
_____	☐	☐	☐	☐	☐
_____	☐	☐	☐	☐	☐
_____	☐	☐	☐	☐	☐

Check Y/N to indicate if the objective(s) was achieved in this time period. Check (E) to indicate if the skills related to the objective are emerging.			
1a. Objective:	Yes ☐	No ☐	Emerging ☐
1b. Objective:	Yes ☐	No ☐	Emerging ☐
1c. Objective:	Yes ☐	No ☐	Emerging ☐
1d. Objective:	Yes ☐	No ☐	Emerging ☐
1e. Objective:	Yes ☐	No ☐	Emerging ☐

Was this functional outcome and objectives identified at the IFSP meeting? Yes ☐ No ☐

If not, the date it was changed and the reason (i.e. scope of practice or expertise).

2. Describe the learning activities (technique/strategies/method/ routine activities) that were successful for the child/ family and specify the functional outcomes and objectives related to these activities.

3. What changes were made to the learning activities (coaching techniques/strategies/method/routine activities) when they were ineffective for the family/caregiver? When you modified the learning activities; were they successful or if not, why? Please address each functional outcome as applicable.

4. Describe all collaborative efforts made to address the IFSP outcomes (Examples: interaction with other service provider/therapist, day care staff, community resources, and medical providers (with written parent consent)). Please include the family members/caregivers you have been working with.

5. Based on your on-going assessment of the child, what is the overall progress in this child's functional abilities since the last IFSP meeting or Progress Report? How was progress determined (e.g. standardized instrument, checklist, non-standardized assessments, observation & informed clinical opinion)?

6. For 6-month/Annual progress notes only: What skills will you be working on in the next 3 months? Are there new functional outcomes or objectives recommended? The functional outcomes must contain all 6 components and be written in parent friendly language. The new/revised functional outcomes or objectives must be discussed with the parent before submission to NYCEIP.

I certify that I have received & reviewed a copy of the child's IFSP and evaluation/progress notes prior to starting services, have provided services in accordance with the IFSP service's specified frequency and duration, and have worked towards addressing the relevant IFSP outcomes. I further certify that my responses in this report are an accurate representation of the child's current level of functioning.

Signature/credentials of therapist completing report: _____

Print Name: _____ **License number:** _____

Date Report Was Completed: ____/____/____

**NYC EARLY INTERVENTION PROGRAM
INSTRUCTIONS FOR COMPLETION
PROGRESS NOTES**

GENERAL DIRECTIONS

The therapist/teacher must complete this form at the 3-, 6-, 9-, and 12-month intervals after a child's initial IFSP meeting.

- The 3- and 6-month progress notes must be submitted at least two (2) weeks prior to the 6-month review.
- The 9- and 12-month progress notes must be submitted at least two (2) weeks prior to the Annual Review.

At the top of each page, please circle the IFSP interval that this progress note covers.

Please write notes clearly so that others can understand them. All questions must be answered or progress notes will be returned.

DEMOGRAPHIC/AUTHORIZATION INFORMATION

Child's Name:	Information must be the same as in NYEIS (do not use a nickname).
EI # and DOB:	Make sure that all identifying information is correct. The EI# is the number that appears at the top of the "Child Homepage" in NYEIS.
IFSP Period:	These are the start and end dates of the current IFSP (not the quarter covered by this progress note).
Provider Agency Name and ID#:	Name and identification number of the agency for which the interventionist works.
Interventionist Name:	Print the name of the interventionist who is completing this form.
Discipline:	Interventionist's discipline, e.g. speech therapist, special educator.
Service Type:	IFSP-authorized service delivered by the interventionist, e.g. speech, family training.
Interventionist's Phone Number:	Direct number (cell, etc.) at which the interventionist can be reached if there are questions about the report. Do not use the provider agency's phone number.
Service Coordinator Name	Print the name of the child's service coordinator.
EIOD Name	Print the name of the child's EIOD (if known).
Language of Sessions:	Please indicate the language(s) used during the sessions.
Date Reviewed Note with Parent/Parent Signature:	The interventionist must review the report with the parent prior to submission and document such review.
Authorized Frequency:	How often the service was authorized at the IFSP (Ex: 1 x 30)
Date you started working with the child	State the date that you delivered the first intervention session.
Where have services been delivered?	Location of services, e.g. parent's home, babysitter's home, day care center, agency location, etc.
Has the parent(s) been present for the session, if not, how have you communicated with the family?	Indicate whether the parent has been present for the session. If not who was present? Describe your method of communication with the family. (Ex: Phone calls, meetings at work, notebook left in the parent's home or day care center, etc.).
If there have been any gaps in service describe the length and the reason(s)	Explain the reason for, and length of, any gaps, whether make-up sessions were delivered, whether there was a gap between your service delivery to the child and that of the previous interventionist, etc.
List the child's medical diagnosis(es)	List all diagnoses. Indicate if any diagnoses are newly identified.
Is the child using assistive technologies (AT)	Check Yes or No
Is a new AT device being requested?	Check Yes or No
If yes, identify the type of device, and the Functional Outcome (from the IFSP) and specify how the device is helping (or will help) to achieve the Outcome:	If the child is currently using an AT device, or if an AT device is being requested, indicate type of device and how the device will help achieve an IFSP outcome. Specify the functional outcome(s) related to the AT device. If a child needs an AT device, refer to the AT Chapter for directions on requesting AT devices.

Progress Note Question Instructions

1. Below list all the IFSP functional outcomes and objectives. Indicate the progress for each.

(Refer to the Appendix for definitions of terms if needed.)

- a. For each functional outcome, rate the child's progress during the time period covered by this report.
 - i. Next break down each functional outcome into short-term objectives that have been, and are currently being worked on.

Example:

IFSP Functional Outcome #1: Ida will be able to pick up small objects, such as raisins or Cheerios, with either hand using her thumb and index finger without resting her arm on the table so that she can begin feeding herself everyday during meal time.

Objective 1a: Ida will pick up a Cheerio with fingers/scraping movement.

Objective 1b: Ida will pick up a Cheerio with side of finger and thumb.

- c. **For each objective listed, check the appropriate box to indicate if the objective has been achieved (Y), is not present (N), or is Emerging (E)** – the skill has started to develop but has not been incorporated into all aspects of the child’s routine.
- i. *If it has not been addressed yet, please write in “not addressed yet” next to the objective.
- d. **Was this functional outcome and objectives identified at the IFSP meeting? Indicate whether it’s “Yes” or “No”. If you indicated “No”, record the date it was changed and document the reason.**
- ii. Interventionists should record an explanation when they decide with the family to work on **non**-IFSP functional outcomes and objectives. Interventionists may work on **non**-IFSP functional outcomes and its objectives when for example:
- the family shares new concerns and priorities because there is a change in the child’s or family’s status;
 - the family wants to generalize the child’s new skills and abilities to other routine activities; or
 - the IFSP functional outcomes have already been met.

Example:

An additional objective was added to IFSP functional outcome to build upon Ida’s progress and achievement of the functional outcome:

Objective 1c: Ida will pick up a Cheerio with tip of finger and thumb while her arm is on the table.

- iii. **If the IFSP functional outcome/objective was not addressed because the interventionist believes this is outside his/her scope of practice or individual expertise, record this as the reason in this section.**

Note:

- The information that you have documented in your **session notes** will assist you in completing these questions.
- The questions must be addressed for each functional outcome and its objectives.
- Attach additional sheets to this progress note as needed.

2. Describe the learning activities (technique/strategies/method/routine activities) that were successful for the family and specify the functional outcomes and objectives related to these activities.

- a. Describe in detail what types of strategies are being integrated within specific routine-based activities the family used to achieve each objective/functional outcome. Include the family’s feedback as to how well these learning activities worked when you were not present. This question asks about the successes.

Example:

Objectives 1a, 1b, and 1c: During mealtime, Ms. Mills presents Ida with small bits of foods on a flat surface (ex: Ida’s favorite flat plate); these include peas, diced cooked carrots, and Cheerios. Ms. Mills picks up one cheerio at a time on Ida’s high chair tray to show Ida what to do.

Objectives 1b and 1c: Ms. Mills encourages Ida to turn the pages of a book with thin paper during story time.

Note:

- Describe and highlight what the child can do now which he/she was previously unable to do.
- Address each relevant outcome.
- Provide an overall picture of how the child is functioning within daily routines and how the learned skills have been incorporated.

3. What changes were made to the learning activities (technique/strategies/method/learning activity) when they were ineffective for the child/family? When you modified the learning activities; were they successful or if not, why? Address each functional outcome and the relevant objectives whenever applicable. –

- a. Explain how you changed your techniques or the learning activities when the child’s progress was limited or when it was difficult for the family to incorporate strategies into their daily routines.
- i. This question asks about how you worked with the family to modify your strategies/techniques and the learning activities to better fit the parent/caregiver and child and support their competencies and family culture.
- ii. Indicate when functional outcomes or objectives are not achieved and explain why.

Example of a change to an activity: Because Ida prefers to use all her fingers in a raking motion when presented with a plate of Cheerios, Ms. Mills started presenting Ida with one Cheerio at a time in the palm of her hand to encourage the use of Ida's thumb and index finger. In addition, throughout the day, Ms. Mills started encouraging Ida to turn a wall light switch on and off.

Example of a change to intervention approach: I found that Ida was tired at the time of my scheduled visit. The parent and I discussed what would be better times for Ida. We agreed and switched the time to after her nap. After this change, Ida had better results.

4. Describe all collaborative efforts made to address the IFSP outcomes (Examples: interaction with other service provider/therapists, day care staff, other caregivers, community resources, and medical providers (with written parent consent)). Please include the family members/caregivers you have been working with.

- a. Describe the communication and collaboration with the other EI therapists and how you worked with them to achieve the functional outcomes. With parental consent, have you communicated with relevant medical providers?
 - i. At the parent's request, how have you assisted the family in finding other resources (e.g. books, articles)?
 - ii. Have you communicated with day care staff, taught techniques to grandparents, nannies, etc. who are part of the child's routine activities? How have you worked with those people the family identified in the IFSP as important in helping achieve the outcomes?
 - iii. How have you continued to provide the family on-going opportunities to participate in sessions and to enhance their capacity to support their child's learning and development between visits while building on the interests and strengths of the child and family?

5. Based on your ongoing assessment of the child's progress, what is the child's overall progress in this child's functional abilities since the last IFSP meeting or Progress Report? How was progress determined (e.g. standardized instrument checklist, non-standardized assessments, observation, & informed clinical opinion)?

- i. Give a detailed description or specific examples of the child's current skills. Underline any new skills that have been achieved in the last 3 months.
 - Have the parents' expressed any new concerns or priorities for the next IFSP period?

Note:

- When documenting the evidence on which a determination regarding the child's current functional abilities is based, please refer to the *NYS DOH Memorandum 2005-02 – Standards and Procedures for Evaluations, Evaluation Reimbursement and Eligibility* as well as any relevant NYS DOH Clinical Practice Guidelines.
- If an instrument is administered, report the results according to the instrument's manual.

6. For 6-month/Annual progress notes only: What skills will you be working on in the next 3 months? Are there new functional outcomes or objectives you would like to recommend for the IFSP team to consider? The functional outcomes must contain all 6 components and be written in parent friendly language. The new/revised functional outcomes must be discussed and agreed to with the parent.

- a. **Indicate if the child's functional abilities are not within normal developmental range.**
 - i. **Indicate what skills you will be working on in the next 3 months?**
 - ii. Be specific in your explanation and do not use general words such as "more or less" or "greater".
- b. Interventionists may submit new functional outcomes when the new outcomes and related objectives more closely reflect the learning characteristics of the child (for example, when the previous outcomes have been achieved).
- c. Ensure that the functional outcomes you recommend:
 - i. include identified family routines;
 - ii. reflect the family's current priorities and concerns for the next IFSP period;
 - iii. are individualized to the child and family;
 - iv. reflect integrated functional skills and abilities across developmental domains and not domain specific test items;
 - v. describe measureable and observable skills so that everyone including the family will know the outcomes have been met;
 - vi. take into consideration the child's disabilities, characteristics, strengths and needs; and
 - vii. are written in parent friendly language with no clinical jargon or technical terms.
- d. Whenever the interventionist has been working on a **non**-IFSP functional outcome (and objectives) that has not yet been achieved, and the family still feels this is a priority; the interventionist may recommend this **non**-IFSP functional outcome and its objectives in this section so that it may become a goal on the next IFSP.

Note: Refer to the [Appendix: Functional Outcome and Embedded Coaching Terminology for Session and Progress Notes](#). For additional detailed information about functional outcomes, take the training posted on the NYC EIP website:

<http://www.nyc.gov/html/doh/html/hcp/ei-hcp.shtml>

Certification: Sign, date, provide license number and print name. Include interventionist's discipline/credentials, e.g. speech therapist (Speech/Language Pathologist, MS, CCC/SP, special educator (MS Ed.), etc. If a certified professional, indicate "certified" and do not write license number.

This field may also include the signature, License/Certification number of a supervisor in the case of student interns, CFYs, OTAs, and PTAs, as applicable. The date of the supervisor signature should also be indicated.

Procedural Notes:

- The family should receive a copy of all completed progress notes.
- Please address any questions the family may have related to the progress notes.
- Please write the progress note so that others (e.g., the family, EI/OD, team) may understand it. It should be written legibly, clearly and in parent friendly language.
- Discuss with the family their current concerns, priorities & resources, daily routines, and child's developmental status in preparation for 6- and 12-month IFSP reviews.
- **Submit completed progress notes no later than 2 weeks prior to the IFSP review meeting.**

NYC EARLY INTERVENTION PROGRAM

Appendix B: Functional Outcome and Embedded Coaching Terminology for Session and Progress Notes

Functional Outcome

A functional outcome is a practical result that:

- a. reflects the family's concerns and priorities,
- b. is developmentally and individually appropriate, and
- c. is considered critical for the child's participation in daily activities.

The outcome should include a measurable skill which the child can reasonably be expected to achieve in the next 6 months by receiving Early Intervention supports and services.

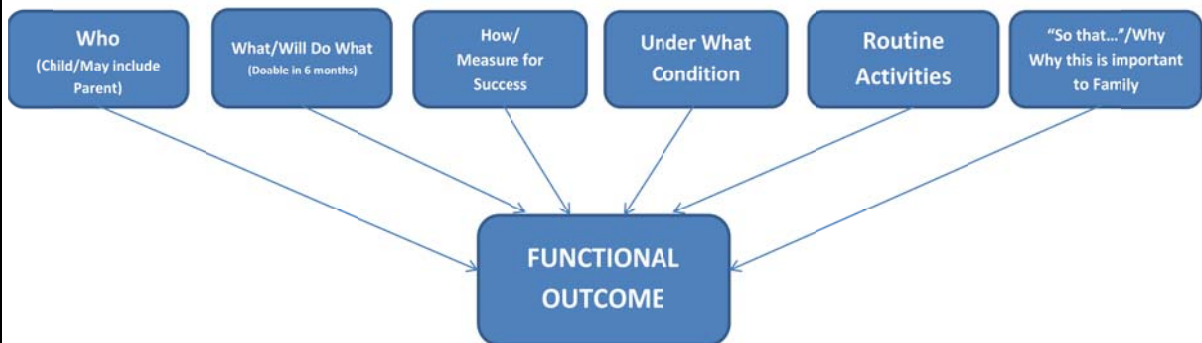
The functional outcome **MUST** be written in parent friendly language. All clinical terms must be avoided.

Functional outcomes can be found in the "Outcomes" section of the IFSP document in NYEIS. Each interventionist works on **all** the functional outcomes listed in the IFSP.

The **6** essential components of a functional outcome are:

1. **Who:** This is usually the child but may include the parent or family.
2. **What/Will do what:** This is what the child will do (that is reasonable for the next 6 months)
3. **How/Measure for success:** This is how everyone on the team including the parents/caregivers will know that the outcome has been met. It should be observable.
4. **Under What Condition:** This is any specific situation or adaptation that is reasonable.
5. **Routine Activity:** These are events that occur typically during the child's day and are individualized by the family's culture and environment.
6. **"So that"/Why:** This is what the family would like to achieve or the reason why it is important.

The six components that make up a Functional Outcome



Example: Functional Outcome #1:

Ida| will be able to pick up small objects, such as raisins or Cheerios,| by using her thumb and index finger

Who

Will Do What

Criteria for Success

while sitting in her high chair| so that she can begin feeding herself | during meal time.

Under What Condition

Why it is important to the Family

Routine Activity

Note: The *Functional Outcome Assistant* tool may be used to assist in the creation of the functional outcome.

Objectives

Objectives are short term goals that should be achieved in order for the child to reach the functional outcome. Objectives should be specific, measurable, and written in parent friendly language.

Examples of three objectives for the functional outcome listed above:

Objective 1a: Ida will pick up a Cheerio with fingers/scraping movement.

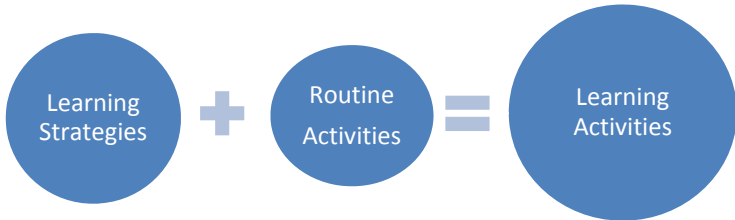
Objective 1b: Ida will pick up a Cheerio with side of finger and thumb.

Objective 1c: Ida will pick up a Cheerio with tip of finger and thumb while her arm is on the table.

Routine Activities

Routine activities are events that occur within the child's day (ex: bedtime, snack time, time at the playground, reading time) and that provide opportunities to learn and practice strategies with family members. Routines activities are also known as daily or natural routines.

Examples of routine activities*:

	<table><tr><td>Play Routines</td><td>Food/M meal Routines</td><td>Community/family errands</td></tr><tr><td>Dressing</td><td>Bath/Hygiene related</td><td>Socialization Activities</td></tr><tr><td>Book activities</td><td>Songs/Rhymes</td><td>Family Chores</td></tr><tr><td>Medical/Comfort</td><td>Recreation</td><td>Computer/TV/Video</td></tr></table>	Play Routines	Food/M meal Routines	Community/family errands	Dressing	Bath/Hygiene related	Socialization Activities	Book activities	Songs/Rhymes	Family Chores	Medical/Comfort	Recreation	Computer/TV/Video								
Play Routines	Food/M meal Routines	Community/family errands																			
Dressing	Bath/Hygiene related	Socialization Activities																			
Book activities	Songs/Rhymes	Family Chores																			
Medical/Comfort	Recreation	Computer/TV/Video																			
	*For additional information, please see http://fgrbi.fsu.edu/model.html or Woods, J. (2005). <i>Family-guided, routines-based intervention project</i>. Tallahassee, FL: Florida State University, Dept. of Communication Disorders. More specific examples are listed in the <i>NYC EIP Policy and Procedure Manual</i> Chapter 3: Family’s Concerns, Priorities, and Resources - Routine Activities Worksheet. Example of different routine activities for the functional outcome listed above: Objectives 1a, 1b, and 1c: During mealtime, Ms. Mills presents Ida with small bits of foods on a flat surface (ex: Ida’s favorite flat plate); these include peas, diced cooked carrots, and Cheerios. Ms. Mills picks up one Cheerio at a time from Ida’s high chair tray to show Ida what to do. Objectives 1b and 1c: Ms. Mills encourages Ida to turn the pages of a book that has thin paper during story time.																				
Strategies/Methods/Approaches	Strategies/Methods/Approaches are ways that the family and interventionist support the child’s learning in routine activities. The following are examples of strategies that the interventionist may show the parent/caregiver to use with the child during routine activities: <table><tr><td>Modify environment</td><td>Turn Taking</td></tr><tr><td>Encourage child to imitate</td><td>Use hand over hand</td></tr><tr><td>Positioning</td><td>Encourage initiation by child</td></tr><tr><td>Use of cues</td><td>Describe or label what is being done</td></tr><tr><td>Use of Assistive Technology (AT) device</td><td>Use of all forms of positive reinforcement</td></tr><tr><td>Model or demonstrate for child</td><td>Increase opportunities for child to practice</td></tr><tr><td>Discrete Trial Instruction & reinforcement</td><td>Positional, gestural, and physical prompting</td></tr><tr><td>Teaching replacement behaviors/proactive strategies</td><td>Incidental teaching</td></tr><tr><td>Redirection</td><td>Adaptation of the physical environment</td></tr><tr><td>Visual Support</td><td>Adaptation of the social environment</td></tr></table>	Modify environment	Turn Taking	Encourage child to imitate	Use hand over hand	Positioning	Encourage initiation by child	Use of cues	Describe or label what is being done	Use of Assistive Technology (AT) device	Use of all forms of positive reinforcement	Model or demonstrate for child	Increase opportunities for child to practice	Discrete Trial Instruction & reinforcement	Positional, gestural, and physical prompting	Teaching replacement behaviors/proactive strategies	Incidental teaching	Redirection	Adaptation of the physical environment	Visual Support	Adaptation of the social environment
Modify environment	Turn Taking																				
Encourage child to imitate	Use hand over hand																				
Positioning	Encourage initiation by child																				
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Teaching replacement behaviors/proactive strategies	Incidental teaching																				
Redirection	Adaptation of the physical environment																				
Visual Support	Adaptation of the social environment																				
Coaching Techniques	Coaching techniques are ways that the interventionist coaches the parent/caregiver in using the different strategies to support their children during routine activities. Coaching techniques should be individualized for the learning characteristics and preferences of the parent/caregiver in order to be effective. More than one coaching technique may be used during the session. Examples of coaching techniques include but are not limited to: • Parent/caregiver tried activity, therapist assisted • Observation of parent/caregiver and child performing activities • Giving the parent a picture illustrating the way to position the child after demonstrating the method • Discussed activity with parent/caregiver • Videotaping learning activity and viewing it with parent • Demonstrated parent/caregiver activity while providing explanations and descriptions • Tried different strategies with parent/caregiver to determine best fit for child and family • Parent/Caregiver tried activity and therapist provided verbal guidance • Reviewed communication tool with parent/caregiver • Reviewed with parent/caregiver the strategies the family developed and tried and provided feedback																				
Learning Activities	Learning activities incorporate the strategies and the routine activities to create natural learning opportunities for the child and family to practice and build upon their competencies.  Since learning activities occur during the child’s and family’s natural daily routines and fit the family’s culture																				

	and lifestyle, these learning activities should <u>not</u> be considered extra tasks or homework. For the session note, this is where the interventionist outlines the steps for the learning activities that both the parent and interventionist agreed on and that the parent/caregiver will do with the child until the next visit.
Embedded Coaching	Embedded Coaching is a family centered approach that facilitates communication and collaboration between the Early Intervention professional and the parent/caregiver. Family centered approaches help support families in providing multiple, natural learning opportunities during everyday routine activities for their children to learn and develop. There are three main components of Embedded Coaching (Keilty, Bonnie (2010), <i>Practice Mentor Guide</i>, NYC DOHMH EIP Learning Collaborative): 1. <u>On-Going Authentic, Routines-Based Assessments:</u> a. Interventionists observe the child in his/her routine activities, and engage in conversations with family members and other important adults, to gain an understanding of each child's unique developmental profile as the child functions in his/her natural environment. b. Assessment data include the child's strengths, needs, and learning characteristics within the context of everyday life, as well as the developmental impact of the social and physical environment. c. This authentic picture provides data to identify individualized approaches that fit the child, and his/her family <u>everyday activities and routines</u>. 2. <u>Embedded Interventions (into the child's everyday activities and routines):</u> a. Interventions occur during home and community routines, activities, and other times of the child's day that are specifically identified by family members as activities in which they would like support. b. Interventions are scheduled at the time of day when the specific routine activity usually occurs and includes the people who are usually a part of the routine activity. c. Interventionists limit changes in the way the routine activity happens, and suggest only those changes necessary for the child to successfully participate and learn. d. Agreed-upon developmental strategies are not only tailored to the unique strengths and needs of the child, but also fit the individual family's routine activities, and the family's own cultural values, where strategies will be used in between visits. 3. <u>Collaborative Coaching Approaches:</u> a. Specific approaches used to ensure that adult family members and other important people in the child's life (e.g., child care providers) are confident and competent in using agreed-upon strategies in between intervention visits to promote the child's learning and development. b. The interventionist explains, models, and supports family members as they practice the strategies. c. Professionals provide feedback on strategy use and elicit feedback from the family members on their comfort and confidence in using the strategies. d. Successful collaborative coaching results in: (1) intervention strategies that fit the individual family context and (2) family members who are effective in, and willing to, use the agreed-upon developmental strategies in between professional visits, during their everyday routine activities. *For additional information on Embedded Coaching, please review the Interventionist page on the NYC DOHMH Early Intervention website.

Chapter 7: Amendments

New York City Early Intervention Program

Policy Title: Amendments	Effective Date: 5/03/2013
Policy Number: 7-A	Supersedes: Policy 7-A Dated June 28th, 2010
Applicable Forms: - Change in Services/Service Provider/Service Coordinator Form - Consent to Release/Obtain Information Form - Justification for Change in Frequency, Duration or Method of Service Form - Progress Notes - IFSP Meeting Request/Confirmation Form IFSP Forms - Page 1: Identifying Information (eliminated by NYEIS) - Page 4: Functional Outcomes (Eliminated by NYEIS) - Page 5: Service plan: Service Setting and Incorporating Interventions into Natural Routines. (if applicable) (Eliminated by NYEIS) - Page 5a: Service Authorization Data Entry Form (Eliminated by NYEIS) - Page 5b: Co-visits (if applicable) (Eliminated by NYEIS) - Page 6: Transportation, Assistive Technology, and Respite Services (if applicable) (Eliminated by NYEIS) - Page 7: Service Coordination Activities (Eliminated by NYEIS) - Transportation Data Entry Form (if applicable) (Eliminated by NYEIS) - IFSP Consent for Services Form	Regulation/Citation: 10 NYCRR §69-4.11; 10 NYCRR §69-4.17(b)

I. POLICY DESCRIPTION:

“The IFSP shall be reviewed at six (6) month intervals and shall be evaluated annually to determine the degree to which progress toward achieving the outcomes is being made and whether or not there is a need to amend the IFSP to modify or revise the services being provided or anticipated outcomes. Upon request of the parent, or if conditions warrant, the IFSP may be reviewed at more frequent intervals.”

“The EIO must make reasonable efforts to ensure the parent receives written notification about the right to due process and the method by which mediation and an impartial hearing can be requested at the following times: upon denial of eligibility; upon disagreement between the EIO and the parent on an initial or subsequent IFSP or proposed amendment to an existing IFSP; and, upon request from the parent for such information.” 10 NYCRR §69-4.17(b)

Note: Instructions for navigating NYEIS are denoted in *italics* in the body of this Policy

II. PROCEDURE:

Responsible Party	Action

**Ongoing
Service
Coordinator
(OSC)**

1. Receives requests for changes (amendments) from the following individuals:
 - Parent/Caregiver;
 - Service provider; or
 - Foster care agency/Administration for Children's Services (ACS).
2. Reviews requests for changes at the Six (6) Month or Annual Review or at any other time when there is a/an:
 - a. Recommendation for a change in a Service Type, a Method by which a service is delivered, the *Location* of the services, or the Frequency/Duration of a service type;
 - b. Recommendation for an increase in Ongoing Service Coordination Units;
 - c. Recommendation for termination of a Service Type;
 - d. New Service Type being recommended;
 - e. Change in Service Provider Agency for any Service Types or Service Coordinator (SC);
 - f. Authorized change in transportation provider (e.g., a change to a new bus company, parent reimbursement for mileage, etc.); or
 - g. Request to add a co-visit.
3. Submits the proposed amended IFSP and required paperwork to the Early Intervention Official Designee (EIOD) in NYEIS as soon as it is completed.
 - a. Do not wait for the Six (6) Month Review or Annual Review to submit request.

Convening the Amendment Meeting:

1. When the parent would like a face-to-face meeting with the EIOD:
 - a. Submits an **IFSP Meeting Request/Confirmation Form**.
 - i. Refer to the Scheduling Policy.
 - b. Submits the Justification Packet as described in the "Submitting Justification Requests for Service Amendments" section of this policy document.
2. The Amendment meeting must be convened by the SC (regardless of whether the EIOD is present) for:
 - a. Changes to location of service;
 - b. Requests to increase frequency of service(s);
 - c. Requests to change duration of services(s);
 - d. Requests to change method of service delivery;
 - e. Termination of service(s) (when the parent agrees to the termination); and
3. If parent does not consent to a termination of service, an amendment meeting must be convened with the EIOD present.
4. The service provider(s) should be invited to attend this meeting:
 - a. In the rare instance that the interventionist is unable to attend the meeting s/he may participate via conference call.
 - i. Interventionist(s) participating through a conference call should be available for the pertinent portion of the meeting as required by the EIOD/SC (at a minimum: the discussion of child progress, outcome determination and recommendations for services).
5. Revise **IFSP content in NYEIS**, as appropriate for the requested change:
 - a. *Find the case*
 - i. *From the Home Menu, click on "My Cases."*
 - ii. *Select the "Case Reference Number." This will take you to the "Integrated Case Home" page.*
 - iii. *Scroll down to the IFSP section, and select the case reference number of the IFSP you wish to change.*

b. Amend the IFSP

- i. Under the “Manage” section of the IFSP Home page, select “Edit”.*
- ii. On the “Create Request to Amend IFSP screen”, select: “IFSP Amendment” from the drop-down list.*
- iii. Add changes to text boxes (see Note below), include at a minimum:*
 - *Outcomes*
 - *Indicate if the amendment will continue to address the current outcomes, or*
 - *List revised/new outcomes that the amended service period will address.*
 - ***Do not delete previous outcomes. Refer to the note below for specific guidance.***
 - *Natural Environment*
 - *Ensure this section is updated if the service setting is changing.*
 - *Transportation Needs*
 - *Ensure this section is updated if the service setting is changing to center-based.*
 - *Refer to the Initial IFSP Policy and NYEIS IFSP Crosswalk for detailed instructions.*
 - *Non-EI Services Needed*
 - *List any new/additional services that may be needed to support the child and family outcomes.*
 - *Specifically indicate if this will be a new OSC follow-up activity.*
 - *Public Programs*
 - *Enter any public programs the child/family may be eligible for at the time of the Amendment meeting that they were not eligible for at the previous IFSP.*
 - *Specifically indicate if this will be a new OSC follow-up activity.*
 - *Meeting Attendees*
 - *List all EI participants that attended the Amendment IFSP meeting including:*
 - *Parent(s)/Surrogate(s),*
 - *EIOD (if present),and*
 - *Ongoing Service Coordinator.*
 - *For each, list the Role, Agency name, and if participating by phone.*
 - *All meeting attendees must sign the **NYEIS IFSP Attendance Sheet.***
 - *Other meeting participants*
 - *Enter any other IFSP meeting participants, including:*
 - *Individuals invited by the parent(s)/surrogate(s),and*
 - *Foster Care Case Worker.*
 - *For each, list the Role, Agency name, and if participating by phone.*
 - *All meeting attendees must sign the **NYEIS IFSP***

Attendance Sheet.

- *Transition Plan*
 - *If the Amendment IFSP is the IFSP closest to the second birthday, Transition must be discussed and this section completed.*
- *IFSP Comments*
 - *For IFSP Amendment requests to change location of service; increase frequency of service(s); change duration of services(s); change method of service delivery; and termination of service(s) (when the parent agrees to the termination):*
 - ***The Comments section must indicate that the request, justification and consent documents are attached to the child's Integrated Case in NYEIS.***
 - ***Example: Request to Increase OT authorization from 1x30 to 1x60. Change in Services/Service Provider/Service Coordinator Form and Justification for Change in Frequency, Duration or Method of Service Form with clinical justification are attached to current IFSP document.***

Note:

- *When information needs to be updated/changed in the IFSP document:*
 - ***Do NOT delete the old information from the NYEIS field(s);***
 - *Insert the updated information in the appropriate field above the old information;*
 - *Ensure that the updated information is preceded by the date; and*
 - *Separate the updated information and the old information with a line.*

- c. Complete the **IFSP Consent for Services Form**.
 - i. **IFSP Consent for Services Form** with parent/surrogate signature(s) and EIOD stamp and signature is required.
 - **Refer to the Initial IFSP Policy for detailed instructions.**
- d. Complete the NYEIS IFSP Attendance Sheet.
 - i. Refer to the **Initial IFSP Policy** for detailed instructions.

Note:

- The parent/surrogate MUST receive a copy of *The Early Intervention Makeup Policy – Information for Families* and *Your Family Rights in Early Intervention* at every IFSP meeting (including Amendment meetings).

- e. Attaches the required justification documents to the child's Integrated Case in NYEIS.
 - i. Specific documentation requirements are listed in the "Submitting Justification Requests for Service Amendments" below.
- f. *When complete, click on the "Submit" button.*
 - i. *The IFSP Status will change to "EIOD Review Required."*

- 1. A task will be sent to the EIOD to review the changes.
 - ii. Check the amendment via Events on the active IFSP, and/or select “Tasks” in the Integrated Case to confirm that the task has been successfully submitted to the Regional Office for review.
 - g. Update or complete the NYEIS Transition Section, found on the left navigation pane, if the Amendment IFSP is closest to the child’s second birthday.
 - i. Refer to the **NYEIS Transition Cross-walk** for step-by-step instructions.

Submitting Justification Requests for Service Amendments that Require an IFSP Amendment Meeting (refer to the Convening the Amendment Meeting section above):

- 1. Completes the following actions when requesting an amendment to a current service plan.
 - a. **Requests to change service Method (i.e. home to facility) or Service Type:**
 - i. Submits the following documentation as attachments to the child’s Integrated Case in NYEIS:
 - **Change in Services/Service Provider/Service Coordinator Form**
 - Parent consent (signature) is required.
 - Brief explanation on agency letterhead is required, indicating:
 - The reason(s) for the change in location (should be child-based and related to functional outcomes).
 - ii. Revised IFSP content in NYEIS
 - Required information is listed under the “Convening an Amendment Meeting” section of this policy document.
 - Ensures that the amendment request and documents submitted as attachments are listed in the *IFSP Comments* section.
 - iii. Submits a request **to terminate the current service** in NYEIS:
 - *See 1.b.iii below for detailed NYEIS instructions.*
 - iv. Submits a request to **add a service type** in NYEIS reflecting the requested method:
 - *See 1.d.iii below for detailed NYEIS instructions.*

Note: Amendment requests will not be processed if appropriate supporting documentation is not attached to the child’s Integrated Case in NYEIS.

- b. **Requests to terminate a service:**
 - i. Submit the following documentation as attachments to the child’s Integrated Case in NYEIS:
 - **Change in Services/Service Provider/Service Coordinator Form**
 - Parent consent (signature) is required.
 - Current **Progress Notes** indicating developmental status as reason for termination.
 - Parent requests are considered valid reasons for termination of service (s).
 - **Justification for Change in Frequency, Duration or Method of Service Form**
 - Only questions 1, 2 and 5 of the justification should be addressed for termination of services.

- ii. Revised IFSP content in NYEIS
 - Required information is listed under the “*Convening an Amendment Meeting*” section of this policy document.
 - Ensures that the amendment request and documents submitted as attachments are listed in the *IFSP Comments* section.
- iii. Submits the request **to terminate a service** in NYEIS by:
 - *Go to the child’s integrated case in NYEIS.*
 - *Select the active IFSP.*
 - *Select the service authorization reference number from the list of service authorizations.*
 - *Click the “Close” link under the “Manage” section from the Service Authorization Home page:*
 - *Enter the closure date.*
 - *Select the “Actual Outcome” from the drop-down list:*
 - *“Attained” is selected when a service is terminated due to interventionist recommendation.*
 - *“Canceled” is selected when a service is being terminated due to a decision that another service is appropriate for the child and family.*
 - *“Not Attained” is selected when a service is being terminated due to family preference.*
 - *Select the “Reason” from the drop-down list.*
 - *Refer to [Appendix A: Closure Reasons and Definitions of Categories](#)*
 - *Click the “Save” button to save revised data for the SA.*
 - *The SA Status will change to “EIOD Review Required”.*
 - *A task will be sent to the EIOD to review your changes.*
 - *View “Events” in the active IFSP to confirm the amendment was submitted.*

Note: Amendment requests will not be processed if appropriate supporting documentation is not attached to the child’s Integrated Case in NYEIS.

- c. **Requests to change frequency, duration, or method of service delivery**
 - i. Submits the following documentation as attachments to the child’s Integrated Case in NYEIS:
 - **Change in Services/Service Provider/Service Coordinator Form.**
 - Parent notification is required.
 - Copies of the most current **Provider Progress Notes** and Calendars (if completed).
 - If a request is made prior to the (3) month progress note, session notes must be included instead of the Provider Progress Note(s).
 - **Justification for Change in Frequency, Duration or Method of Service Form.**

- ii. Revised IFSP content in NYEIS.
 - Required information is listed under the “*Convening an Amendment Meeting*” section of this policy document.
 - Ensures that the amendment request and documents submitted as attachments are listed in the IFSP Comments section.
- iii. Submits the request to **change frequency, duration, or method of service delivery** in NYEIS by:
 - *Go to the child’s integrated case in NYEIS.*
 - *Select the active IFSP.*
 - *Select the service authorization reference number from the list of service authorizations.*
 - *Click the “Edit” link under the “Manage” section from the Service Authorization Home page.*
 - *On the “Reason for Modification” drop-down list, select “Service Authorization Amendment.”*
 - ***Leave the Decision Date blank.***
 - *Edit the “Location Type” to amend location of service, or “Frequency & Duration details” to amend the frequency and duration details depending on the amendment request.*
 - *Click the “Submit button to save revised data for the SA.*
 - *The SA Status will change to “EIOD Review Required.”*
 - *A task will be sent to the EIOD to review your changes.*
 - *View “Tasks” in the Integrated Case to confirm the task.*

Note: Amendment requests will not be processed if appropriate supporting documentation is not attached to the child’s Integrated Case in NYEIS.

d. Requests to add a new service type:

- i. Submits the following documentation as attachments to the child’s Integrated Case in NYEIS:
 - **Change in Services/Service Provider/Service Coordinator Form**
 - Parent consent is required.
 - Copies of the most current **Provider Progress Notes** and Calendars (if completed) from services currently being received.
 - If a request is made prior to the three (3) month progress note, all session notes for the period must be included instead of the Provider Progress Note(s).
 - Supplemental Evaluation
 - Refer to the Policy on *Additional Evaluations* for requesting, completing and submitting additional evaluations.
- ii. Revised IFSP content in NYEIS
 - Required information is listed under the “*Convening an Amendment Meeting*” section of this policy document.
 - Ensures that the amendment request and documents submitted

- as attachments are listed in the IFSP Comments section.
- iii. Submits the request **to add a new service type** in NYEIS:
 - *Go to the child's integrated case in NYEIS.*
 - *Select the active IFSP.*
 - *Click the "Add Service Authorization" link under the Manage section from the IFSP Home page.*
 - *On the "Enter Amendment Reason" screen, click "Select" to indicate this is an amendment to add a service type.*
 - *Refer to the Initial IFSP Policy for detailed NYEIS directions to create service authorizations.*
 - *Click on the "Create Service Authorization" button to submit the request to add a service type.*
 - *The IFSP Status will be "EIOD Review Required."*
 - *A task will be sent to the EIOD to review your request.*
 - *View "Tasks" in the Integrated Case to confirm the task.*

Note: Amendment requests will not be processed if appropriate supporting documentation is not attached to the child's Integrated Case in NYEIS.

Submitting Justification Requests for Service Amendments that DO NOT Require IFSP Amendment Meetings:

1. Completes the following actions when requesting an amendment to a current service provider or Ongoing Service Coordination Units:
 - e. **Requests for additional Ongoing Service Coordination Units:**
 - i. Submits the following documentation as attachments to the child's Integrated Case in NYEIS:
 - **Change in Services/Service Provider/Service Coordinator Form**
 - Parent consent is required.
 - Brief explanation is required on agency letterhead, indicating
 - The reason(s) for adding service coordination units must be included.
 - ii. Revised IFSP content in NYEIS.
 - For the purpose of this amendment type, only the comments section of the IFSP needs to be amended.
 - Ensures that the amendment request and documents submitted as attachments are listed in the IFSP Comments section.
 - ii. Submits the request add **Ongoing Service Coordination Units** in NYEIS by:
 - *Go to the child's integrated case in NYEIS.*
 - *Select the active IFSP.*
 - *Select the Ongoing Service Coordination service authorization from the Service authorization List.*
 - *Click the "Edit" link under the Manage section from the Service Authorization Home page.*
 - *On the "Reason for Modification" drop-down list, select "Service Authorization Amendment."*
 - **Leave the Decision Date blank.**
 - *Edit the "Number of Units" in the "Service Details"*

section to reflect the new total number of units for the IFSP period.

- o Click the "Submit" button to save revised data for the SA.
 - The SA Status will change to "EIOD Review Required."
 - A task will be sent to the EIOD to review your changes.
- o View "Tasks" in the Integrated Case to confirm that the task was created and sent.

f. Requests to change the Ongoing Service Coordination Agency:

- i. Submits the following documentation as attachments to the child's Integrated Case in NYEIS:
 - **Change in Services/Service Provider/Service Coordinator Form**
 - o Parent consent is required.
 - Brief explanation on provider agency letterhead is required explaining the reason for the change in service coordination agency.
- ii. Submits the request to change the Ongoing Service Coordination Agency in NYEIS by:
 - Go to the child's integrated case in NYEIS.
 - Select the active IFSP.
 - Select the Ongoing Service Coordination service authorization from the Service authorization List.
 - o Click "Change/Assign Service Coordination Provider."
 - o Enter and Select the new provider agency.
 - o On the Re-assign Service Coordinator screen:
 - **Leave the Decision Date blank.**
 - Click "Save."

g. Requests to change the Ongoing Service Coordinator:

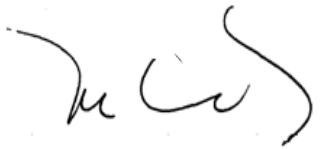
- i. Submits the following documentation as attachments to the child's Integrated Case in NYEIS:
 - **Change in Services/Service Provider/Service Coordinator Form**
 - o Parent consent (signature) is required.
 - Brief explanation on provider agency letterhead is required explaining the reason for the change in service coordinator.
- ii. Submits the request to change the Ongoing Service Coordinator in NYEIS by:
 - Go to the child's integrated case in NYEIS.
 - Select the active IFSP.
 - Select the Ongoing Service Coordination service authorization from the Service authorization List.
 - o Click "Change/Assign Service Coordination Provider."
 - o Enter and Select the new provider agency.
 - o On the Re-Assign Service Coordinator screen:

	▪ <i>Click on the magnifying glass to select the new service coordinator.</i> ▪ <i>Leave the Decision Date blank.</i> ▪ <i>Enter the “Number of Units.”</i> ▪ <i>Click “Save.”</i> h. Requests to change service provider agency: i. Submits the following documentation <u>as attachments to the child’s Integrated Case in NYEIS</u>: • Change in Services/Service Provider/Service Coordinator Form ○ Parent notification is required [no parental consent (signature) is required]. ○ Parent notification also should be documented in the SC notes. • Brief explanation on provider agency letterhead is required explaining the reason for the change in service provider agency. ii. Submits the request to change the service provider agency in NYEIS by: • <i>Go to the child’s integrated case in NYEIS.</i> • <i>Select the active IFSP.</i> • <i>Select the service authorization to be transferred from the Service authorization List.</i> ○ <i>Click “Change/Assign Provider and Location.”</i> ○ <i>Enter and Select the new provider agency.</i> ▪ <i>Leave the Decision Date blank.</i> ○ <i>Click “Save.”</i> Note: Requests for additional ISC Units are addressed in the Changes in Initial Service Coordinator or Initial Service Coordination Units Policy.
Early Intervention Official Designee (EIOD)	1. Reviews Amendment request within three (3) weeks of attachment to NYEIS: a. EIOD may schedule an Amendment Meeting after reviewing the Amendment Packet: i. Notifies the Scheduling Unit to set up an Amendment Meeting: ii. Refer to Policy on IFSP Meeting Scheduling in Chapter 5 of the Policy and Procedure Manual. b. EIOD may request additional information from the interventionist if insufficient information was provided by rejecting the assigned review request task in NYEIS: i. <i>From the Home Menu, click on “Inbox”, and then click on “Assigned Tasks.”</i> ii. <i>Select the Task ID associated with the “Review Request for Amendment of IFSP 999999” task or “Review Request for Amendment of Service Authorization 999999 for child NNNNN” task.</i> iii. <i>On the Task Home screen under the Primary Action section, click on the “Review IFSP Amendment” link or the “Review SA Amendment” link:</i> • <i>Review the Modified field, Reason for Amendment, Existing Value</i>

	<i>and Requested Value.</i> • <i>Review the attached justification documentation.</i> iv. <i>Select “Reject All.”</i> • <i>A Confirm Reject of Amendment Request Screen is displayed.</i> v. <i>Enter the reason for rejection as “insufficient information provided” and specify the specific additional information that is being requested.</i> • <i>If the rejection comment relates to a change affecting the IFSP, the comment will be stored as a note on the IFSP.</i> • <i>If the rejection comment relates to a change affecting an SA, the comment will be stored as a note on the SA.</i> c. <i>EIOD may authorize the amendment by:</i> <i>From the Home Menu, click on “Inbox”, and then click on “Assigned Tasks.”</i> <i>Select the Task ID associated with the “Review Request for Amendment of IFSP 999999” task or “Review Request for Amendment of SA 999999 for child NNNNN” task.</i> <i>On the Task Home screen under the Primary Action section, click on the “Review IFSP Amendment” link or “Review SA Amendment” link:</i> • <i>Review the Modified field, Reason for Amendment, Existing Value and Requested Value.</i> • <i>Review the attached justification documentation.</i> <i>Check the appropriate box to approve individual amendments or click the "Select All" box at the top of the list.</i> <i>Enter the Decision Date (as applicable).</i> • <i>Enter the start date of the amendment.</i> <i>Select “Save.”</i> • <i>The task is removed, the IFSP/SA status is returned to “Approved”, and the changes will now be visible in the IFSP/SA.</i> Note: When a transportation amendment is authorized, the transportation authorization is forwarded to the NYEIS Administration Unit or the designated Regional Office Transportation Liaison for entry into the DOE Rider System. 2. <i>If the EIOD denies the Amendment Request:</i> <i>EIOD will “reject” the request as outlined under “EIOD may request additional information...” in 1.b above.</i> <i>Prior Written Notice must be sent to the parent/caregiver by the EIOD detailing the reason for the denial.</i> <i>Prior Written Notice will also be attached to the NYEIS IFSP for which the amendment is denied.</i> <i>A written explanation will be provided to the service coordinator via NYEIS attachment to the current IFSP when a request for additional ongoing service coordination units is denied.</i> Note: The amended IFSP is only considered to be in effect after the EIOD reviews and approves the documentation.
Provider Manager	- Accept/Reject assignment generated by SA amendment. <i>From the Home Menu, click on “Inbox”, then click on Work Queues on the left</i>

with access to the Service Authorization Queue	<i>Navigation bar.</i> <i>b. Click on “View” under the “Action” column for the Service Authorizations Work Queue which displays a list of Service Authorizations for your provider agency.</i> <i>c. Select the Task ID associated with the “Accept/Reject assignment for the child case.”</i> Note: To view detailed service authorization information: • <i>From the Task Home screen under the Supporting Information section, select the Service Authorization Homepage link.</i> <i>d. On the Task Home screen under the Primary Action section, click on the “Accept/Reject Service Authorization” link.</i> <i>e. Select from one of the following actions:</i> <i>i. If a Rendering Provider name is displayed, verify the assignment by, clicking the “Accept” button to keep the assigned Rendering Provider and accept the SA.</i> <i>ii. If the Rendering Provider is not named, click on the “Choose Rendering Provider” button to choose a Rendering Provider</i> • <i>Select a Rendering Provider name.</i> • <i>Select “Accept”.</i> <i>iii. Select “Reject” to reject the Service Authorization.</i> • <i>Type a rejection reason.</i> • <i>Select “Reject” sends a Rejection task to the EIOD’s Assigned Tasks.</i> Note: If the provider agency rejects the service authorization in NYEIS, the SC must be contacted no later than one (1) business day after the service authorization is rejected. 2. Submits changes to Rendering Provider/Interventionist a. Notifies the parent and the Ongoing Service Coordinator of the change to rendering provider/interventionists. Parent notification is required [no parental consent (signature) is required]. i. Enters the change to the rendering provider/interventionists in NYEIS by: • <i>Go to the child’s integrated case in NYEIS.</i> • <i>Select the active IFSP.</i> • <i>Select the service authorization to be transferred from the Service authorization List.</i> ○ <i>Click “Change/Assign Rendering Provider.”</i> ○ <i>Assign the interventionist by clicking the select option that appears next to their name.</i> ▪ <i>The change takes effect immediately.</i>
Ongoing Service Coordinator (OSC)	1. Upon EIOD approval of an amendment, the SC will receive a Notification in his/her Inbox stating: • <i>“Service Authorization 999999 for child NNNNN has been approved as of mm-dd-yyyy”;</i> • <i>“Service Authorization 999999 for child NNNNN has been closed due to amendment as of mm-dd-yyyy”;</i> or • <i>“The IFSP containing Service Authorization 999999 for child NNNNN has been amended as of mm-dd-yyyy”.</i>

	a. Ensures that the parent receives a copy of the IFSP expeditiously, but no later than 48 hours after approval. b. If a new/amended authorization for transportation was approved, the OSC must give a copy to the service provider's transportation coordinator, who must give a copy to the transportation provider and to the Department of Education. c. Ensures that all new/amended services begin within two (2) weeks of the service start date on the IFSP (see policy on <i>Start Date of Services</i>). 2. Explains due process rights to parent if the Amendment request is denied.


Approved By:
Assistant Commissioner, Early Intervention

Date: 3/29/2013

NYC EARLY INTERVENTION PROGRAM
CHANGE IN SERVICE(S)/SERVICE PROVIDER/SERVICE COORDINATOR

Child's EI ID Number:	Child's DOB:	
Child's Name: (Last, First)		
Service Coordinator: (Last, First)		
SC Agency Name:	Tel. #	Fax #

Complete sections as applicable. Changes are not official until approved by the EIOD.

☐ SECTION I: CHANGE IN SERVICE PROVIDER AGENCY – Parent Signature not required	
FROM:	TO:
Provider Name:	
State Provider ID:	
NYEIS Service Authorization (SA) Reference Number (Ref # of the SA being requested for amendment):	
Anticipated Date: ____/____/____	
Parent was notified of this change on (date): ____/____/____ SC signature: _____	

☐ SECTION II: INITIAL SERVICE COORDINATOR (ISC) – Parent Signature not required	
FROM:	TO:
ISC Agency Name:	
ISC Name:	
ISC NPI#:	ISC NPI#:
NYEIS SA Reference Number (Ref # of the SA being requested for amendment):	
Anticipated Date: ____/____/____	
Parent was notified of this change on (date): ____/____/____ SC signature: _____	

☐ SECTION III: ONGOING SERVICE COORDINATOR (OSC) – Parent signature required	
FROM:	TO:
OSC Agency Name:	
State Provider ID:	
OSC Name:	
SC NPI#:	
NYEIS SA Reference Number (Ref # of the SA being requested for amendment):	
Anticipated Date: ____/____/____	
Parent Consent: I have been consulted about the changes to my Ongoing Service Coordinator and consent to the assignment of the OSC indicated above.	
Parent/Guardian Signature: _____ Date: ____/____/____	

☐ SECTION IV: CHANGE IN SERVICES – Parent Signature required
A separate form for each service must be completed when the following requests are made: - Changes to a service type currently on the IFSP (Method, Location, and Frequency can be requested on a single form) - Adding Ongoing Service Coordination units - Adding a service type to an IFSP - Terminating a service type currently on an IFSP
Service Type:
☐ Add Service Type ☐ Method ☐ Location ☐ Termination of Service ☐ Frequency/Duration (Mins./Days/Weeks)
☐ Add Ongoing Service Coordination Units - Number of Units being requested: _____
NYEIS Service Authorization Reference Number (Ref # of the SA being requested for amendment):
Anticipated Date: ____/____/____
Parent Consent: I have been consulted about the change in services and have reviewed the justification for those changes. I consent to the addition of and/or changes to the service type indicated above.
Parent/Guardian Signature: _____ Date: ____/____/____

NYC EARLY INTERVENTION PROGRAM INSTRUCTIONS FOR COMPLETION CHANGE IN SERVICE(S)/SERVICE PROVIDER/SERVICE COORDINATOR INSTRUCTIONS

GENERAL DIRECTIONS:

The Service Coordinator (SC) must complete this form when there is a proposed change in Service(s), Service Provider, or Service Coordinator. After completing the identifying information about the child and the currently assigned service coordinator, place an "X" in the appropriate section and complete/attach the relevant information. Once the parent has indicated his/her review of the proposed changes by signing in the relevant section (a change in provider of services and initial service coordination do not need parent's signature), the SC must attach the completed form along with the appropriate documentation to the child's Integrated Case in NYEIS.

SECTION I - SERVICE PROVIDER

Complete the Service Provider Name, State Provider Early Intervention Number, of the current **and** the new service provider.

- The current provider information is located by selecting *the Service Authorization (SA) Reference number for the SA you wish to amend*.
- The new service provider information is obtained when *the "Change/Assign Provider and Location" Button is selected and the SC searches for a new provider agency*

NYEIS Authorization Reference Number of the service authorization being amended - located on the bottom of the NYEIS IFSP.

A change in provider agency/rendering provider does not require a parent signature. **However, the date that the parent was notified of the change in provider agency/rendering provider must be provided.**

SECTION II – INITIAL SERVICE COORDINATOR

Complete the Initial Service Coordination (ISC) agency name, and the individual ISC name for the current and proposed ISC/ ISC agency

Include the NYEIS Authorization Reference Number of the service authorization being amended – located in the *"Service Coordination Service Authorizations"* section on the child's Integrated Case Page in NYEIS.

Although a change in the Initial Service Coordinator (ISC) should be discussed with the parent, the parent does not need to give consent.

SECTION III – ONGOING SERVICE COORDINATOR

Indicate the Service Coordinator (SC) names, SC NPI #, and State Provider ID # for the current and proposed Service Coordinators/Service Coordination Agency.

- The current provider information is located by selecting *the Service Authorization Reference number for the Service Coordination SA you wish to amend*
- The new service provider information is obtained when the *"Change/Assign Service Coordination Provider" Button is selected and the SC searches for a new SC provider agency/ Ongoing Service Coordinator*

NYEIS Authorization Reference Number of the service authorization being amended - located on the bottom of the NYEIS IFSP.

The parent's written consent is necessary when there is a change in the Ongoing Service Coordinator (OSC). The reason for the change must be documented on agency letterhead.

SECTION IV - CHANGE IN SERVICES

This form must be submitted in NYEIS reflecting only changes being requested with the **Justification for Change in Frequency, Intensity, or Method of Services form**, **progress notes**, recent evaluations and the required justification. Refer to the policy on Amendments in Chapter 7 of the Policy and Procedure Manual for instructions requesting an addition to ongoing service coordination units.

PLEASE NOTE:

To request a change in Initial Service Coordination Units refer to the **Changes in Initial Service Coordinator or Initial Service Coordination Units Policy**.

***All proposed changes, except for a change in the ISC, and a change in the provider of services already on an IFSP must have written parental consent.**

NYC EARLY INTERVENTION PROGRAM

JUSTIFICATION FOR CHANGE IN FREQUENCY, INTENSITY OR METHOD OF SERVICES

Child's EI ID Number: _____ Child's DOB: ____/____/____
 Child's Name: Last _____ First _____
 Name of Provider: _____ Discipline: _____
 Therapist Phone Number: (____) _____ Agency Name: _____
 Name of Supervisor: _____ Supervisor Phone Number: (____) _____
 Date of Submission to OSC: _____

Authorization Information: All areas must be completed on this form or it will be returned as incomplete.

IFSP Start Date: ____/____/____ IFSP End Date: ____/____/____ Authorized Service: _____

of sessions authorized: _____

of sessions delivered by provider prior to this **Justification for Change:** _____

of sessions missed (due to either provider or parent reasons): _____

Date(s) of any **Previous Justification for Change** in this Discipline: ____/____/____

Request for Change (Complete all that apply): ☐ Termination of Service ☐ Increase/Change in Service

☐ Frequency: From: _____ times per _____ To: _____ times per _____

☐ Duration: From: _____ minutes To: _____ minutes

☐ Method: From: _____ To: _____

Required Justification Components: Justifications will be returned if all questions are not answered. Responses must be numbered and addressed in the below order. For termination of service(s), complete sections 1, 2, and 5 only.

1. Current Function:
 - a. What is the child's current level of function?
 - b. If an evaluation was administered, provide the name of the test and the score, unless this information is included in an evaluation report.
 - c. What was the child's level of function at the last IFSP?
 - d. What can the child do now, that he/she was unable to do previously (give skill-based examples).
2. Service(s) Provided to Date:
 - a. When did you begin delivery of the service?
 - b. Did a different provider deliver these services before you were assigned?
 - c. Did service(s) begin on time?
 - d. Explain any gaps in service(s) including: missed sessions, frequent illness, vacations etc. Include both provider and family reasons when available.
3. Family Involvement:
 - a. Describe how you are supporting the family and/or caregivers in integrating suggested activities into the child's and family's daily routines (Describe specific activities).
 - b. What successes or difficulties has the family had in integrating these activities?
 - c. When suggested activities were integrated into everyday activities, what changes in the daily routines have you observed?
4. Service Plan Coordination
 - a. Have you coordinated with other team members to achieve IFSP outcomes?
 - b. Have you addressed the same or different IFSP outcomes as other therapists? Explain.
5. IFSP Outcomes:
 - a. What is/are the functional outcome(s) that you are currently working on as stated in the IFSP?
 - b. What are the short term objectives that you are currently working on to reach the functional outcome(s)?
 - c. What progress has the child made toward the IFSP outcomes since initiation of this service plan?
 - d. What alternate strategies have you used to replace ineffective strategies? Have they been effective?
6. What will the recommended change offer that the present plan does not?
 - a. Does the proposed plan recommend a new functional outcome?
 - b. What new, short term objectives are being proposed to reach the functional outcomes?
 - c. What are the new strategies being proposed to achieve the short term objectives?
 - d. Will the new plan involve strategies and methods that cannot be reinforced by activities that are part of the child's daily routine? If yes, describe why and indicate if changes in the daily routine are possible.
7. List any changes in the child's medical diagnoses, conditions or medications since the last IFSP which may have an impact on the child's reaction to EI Services. Describe how a change in the child's medical condition or medications will affect the service delivery plan.

**NYC EARLY INTERVENTION PROGRAM
JUSTIFICATION FOR CHANGE
IN FREQUENCY, INTENSITY OR METHOD OF SERVICE**

GENERAL DIRECTIONS

This form is to be used for a change(s) in a **service already on an IFSP**, not to request a new service or a change to service coordination units.

- The therapist/teacher must complete this form and submit it to the Ongoing Service Coordinator (OSC) when there is a proposed termination to, or change in frequency, duration or method of a service currently on an IFSP.
- The OSC must submit this form to the Regional Office with other required paperwork whenever there is a request for a change in frequency, intensity or method of a service in the IFSP, (please refer to Amendment Policy in this chapter).

DEMOGRAPHIC INFORMATION

Please fill out this section in its entirety. The name and contact information of the therapist's supervisor must be indicated.

AUTHORIZATION INFORMATION

This section **must** be completed in its entirety. Incomplete **Justifications** will be returned to submitter.

1. IFSP Start Date: ____/____/____ IFSP End Date: ____/____/____	Copy the Begin and End dates from the upper left hand corner of the IFSP being amended.
2. Authorized Service:	Indicate IFSP service type being amended.
3. # of sessions authorized:	Copy the # of session units authorized from the IFSP.
4. # of sessions completed by Provider:	Provide the total number of sessions that were delivered (include any make-up sessions).
5. # of sessions missed (due to either provider or parent reasons):	Indicate the number of any sessions missed, (exclude any sessions that were made-up).
Date of Previous Justification(s) for Change in this Discipline: If there were prior requests to amend this service, indicate the date of request.	
Request for Change: Indicate all changes to this service that are being requested at this time.	
Required Justification Components: For requests to terminate services or decrease frequency , complete questions 1, 2, and 5 only. For all other requests , answer questions 1 through 7.	

Chapter 8: Transportation

New York City Early Intervention Program

Policy Title: Transportation	Effective Date: 5/01/2015
Policy Number: 8-A	Supersedes: Policy 6-H - Effective 10/17/10
Attachments: • Parent Consent for Public Transportation, Mileage Reimbursement, or Car Service Form • Justification for Transportation Method Form • Car Service Information Form • Request for Mileage Reimbursement • Transportation Attendance Sheet	Regulation/Citation: Title II-A of Article 25 of the Public Health Law §2545 (3); § 2559-a 10 NYCRR §69-4.19 (a) – (c)

I. POLICY DESCRIPTION:

The New York City Early Intervention Program (NYC EIP) will ensure that transportation is available beginning the first day of service as agreed upon in the Individualized Family Service Plan (IFSP) when transportation is necessary to enable the child and the child's family to receive Early Intervention services. Transportation, along with all other Early Intervention services must begin within **two (2) weeks** of the date that the parent(s) signs the IFSP. Transportation may be provided by a bus or car vendor in contract with New York City, or through reimbursement of the parent at a mileage rate authorized by the municipality for the use of a private vehicle or for other reasonable transportation costs, including public transportation, tolls, and parking fees. **(Sec. 69-4.19 (a) (1))**

Transportation will be considered when services are authorized in group or facility-based settings and are located more than six (6) blocks from the child's residence. In addition, transportation services can only be provided for authorized services provided by EIP service providers who have an Appendix Agreement with the State Department of Health and providers who have a Basic Agreement with the State Department of Health and are subcontracted to a provider that holds an Appendix Agreement.

In developing the IFSP, consideration shall first be given to provision of transportation by a parent of a child to Early Intervention services. Other modes of transportation shall be provided if the parent can demonstrate the inability to provide appropriate transportation services. **(Title II-A of Article 25 of the Public Health Law §2545 (3))**

The IFSP team will consider transportation options in the following order:

1. Transportation provided by the parent/surrogate or a responsible caregiver via public transportation
2. Transportation provided by the parent/surrogate or a responsible caregiver via family car.
3. School bus provided by the New York City Department of Education, Pre-K Transportation.
4. Car service provided by car service vendors in contract with the NYC Department of Health and Mental Hygiene (DOHMH).

The NYC EIP will take all relevant information into account when determining the appropriate form of transportation (e.g., family situation, medical status, distance to provider agency, and the presence of an established transportation route).

The NYC EIP will only cover the cost of up to one (1) round trip per family per day, for a single mode of transportation. One way transportation options are available.

The New York City Early Intervention Fiscal Management Unit (EIFM) will make all payments, either to vendors for car service or directly to parents for mileage, tolls, and parking fees when transportation is provided via family car.

NYC EIP service provider agencies that use transportation to bring children on-site for service must designate a staff member as the Transportation Coordinator (TC). The TC will act as the point of contact for **all** transportation matters. The TC does not have to be dedicated to only transportation issues.

Instructions for authorizing transportation in NYEIS are denoted in *italics* in the body of this Policy.

II. PROCEDURE:

Responsible Party	Action
Early Intervention Official Designee (EIOD)	1. At face-to-face IFSP meetings discusses transportation needs of the family when: a. Group or facility-based Early Intervention services are authorized; and b. The child resides more than six (6) blocks from the location of services. 2. With the IFSP team, considers transportation options in the following order: a. Transportation provided by the parent/surrogate or a responsible caregiver using public transportation is considered when: > The parent/surrogate or a responsible caregiver is able to transport the child using public transportation. > The mode of transportation meets the medical, behavioral, and safety needs of the child and family as documented in the child's Multidisciplinary Evaluation (MDE). Refer to Assessing Transportation Needs in the MDE Policy. > The trip from the child's home to the provider agency does not exceed one (1) hour and fifteen (15) minutes within a borough OR one (1) hour and forty-five (45) minutes between boroughs. i. If the IFSP team determines that public transportation is appropriate, the team will then determine if the parent can pay for the cost of using public transportation to transport the child. • If the cost of public transportation presents a barrier to selecting this mode of transportation, the IFSP team discusses parent reimbursement via monthly prepaid Metro Cards. ii. Authorizing monthly prepaid Metro Cards: • Documents the mode of transportation in the IFSP as described in the Initial IFSP Policy and NYEIS IFSP Crosswalk. • Completes the Parent Consent for Public Transportation, Mileage Reimbursement, or Car service Form and obtains signed parental consent. • Creates a Transportation Service Authorization(s) in NYEIS:

Early Intervention Official Designee (EIOD) Cont.	○ On the Individualized Family Service Home Screen, under Manage, select “Add Service Authorization.” ○ On the Select Service Type and Method Screen, under the Selection Criteria heading, click on the drop-down and select “Transportation” from the drop-down box. Then click on the “Search” button. ○ On the Select Service Type and Method category, click on “Transportation (Caregiver).” ○ Under Select Transportation Type, click “Parent/Caregiver.” ○ On the Select Transportation Vendor Screen: ▪ Under “Transportation Provider Name,” enter the name of the parent. ▪ Under “Municipality,” select the borough of the child’s residence. ▪ Click on “Continue.” ○ On the Create Caregiver Transportation Details Screen: ▪ Click on “Caregiver – Public Transport.” ▪ Modify the Start Date and/or End Date <u>only</u> if different than the IFSP period. - The date must fall within the current IFSP period. ▪ Under “Days per Week,” enter the days of the week that transportation services are needed (e.g., Tues., Thurs.). ▪ Under “Total Days per Week,” enter the number of days per week that transportation is needed (e.g., 2). ▪ Under “Total Weeks,” enter the number of weeks transportation will be provided (e.g., 26). ▪ Under “Comments,” enter the total number of prepaid Metro Cards distributed to the parent, and the date ● Attaches the Parent Consent for Public Transportation, Mileage Reimbursement, or Car Service Form with parental signature to the child’s Integrated Case in NYEIS. ● At the IFSP meeting, gives the parent/surrogate prepaid Metro Cards based on the total number of months in the service authorization. Note: ● Public Transportation will always be considered first. ● Transportation provided by the parent/surrogate or a responsible caregiver using public transportation will be considered regardless of available school bus transportation. ● Additional/replacement prepaid Metro Cards will not be provided for any reason. ● If the parent provides transportation, at no cost to the EIP, a separate NYEIS Transportation service authorization is not required. b. Transportation provided by the parent/surrogate or a

Early Intervention Official Designee (EIOD) Cont.	responsible caregiver using a family car is considered when: > The trip via public transportation exceeds one (1) hour and fifteen (15) minutes within a borough OR one (1) hour and forty-five (45) minutes between boroughs. > The parent/surrogate or a responsible caregiver is able to transport the child using the family car. > The mode of transportation meets the medical, behavioral, and safety needs of the child and family as documented in the child’s Multidisciplinary evaluation (MDE). Refer to Assessing Transportation Needs in the MDE Policy. i. If the IFSP team determines that family car is appropriate, the team will then determine if the parent can pay for the cost of using the family car to transport the child. • If the cost of using the family car presents a barrier to selecting this mode of transportation, the IFSP team discusses parent reimbursement for mileage, tolls, and parking as appropriate. ii. Authorizing mileage reimbursement: • Documents the mode of transportation in the IFSP, as detailed in the Initial IFSP Policy and NYEIS IFSP Crosswalk. • Informs the parent/surrogate that the NYC DOHMH will reimburse up to \$100.00 per day for mileage and any applicable tolls and parking (if authorized in the IFSP). - o Reimbursement will be issued to the parent/surrogate in the form of a check sent via mail no more than three (3) weeks from the date that the Mileage Reimbursement Form is received by the EIFM. • Completes the Parent Consent for Public Transportation, Mileage Reimbursement, or Car Service Form and obtains signed parental consent. • Creates a Transportation Service Authorization(s) in NYEIS: - o <i>On the Individualized Family Service Home Screen, under Manage, select “Add Service Authorization.”</i> - o <i>On the Select Service Type and Method Screen, under the Selection Criteria heading, click on the drop-down and select “Transportation” from the drop-down box. Then click on the “Search” button.</i> - o <i>On the Select Service Type and Method category, click on “Transportation (Caregiver).”</i> - o <i>Under Select Transportation Type, click “Parent/Caregiver.”</i> - o <i>On the Select Transportation Vendor Screen.</i> ▪ <i>Under “Transportation Provider Name,” enter the name of the parent.</i> ▪ <i>Click on “Continue.”</i> - o <i>On the Create Caregiver Transportation Details Screen:</i> ▪ <i>Click on “Caregiver – Private Car.”</i> ▪ <i>Modify the Start Date and/or End Date only if different than the IFSP period.</i> - <i>The date must fall within the current IFSP</i>

Early Intervention Official Designee (EIOD) Cont.	<i>period.</i> ▪ Under “Days per Week,” enter the days of the week that transportation services are needed (e.g., Tues., Thurs.). ▪ Under “Total Days per Week,” enter the number of days per week that transportation is needed (e.g., 2). ▪ Under “Total Weeks,” enter the number of weeks transportation will be provided (e.g., 26). ▪ Under “Comments,” enter any additional information (if applicable). ▪ Click “Create Service Authorization.” • Attaches the Parent Consent for Public Transportation, Mileage Reimbursement, or Car Service Form with parental signature to the child’s Integrated Case in NYEIS. Note: • If public transportation is not a viable option, transportation provided by the parent/surrogate or a responsible caregiver using family car will always be considered before school bus transportation. • Refer to the Initial IFSP Policy and NYEIS IFSP Crosswalk for detailed instructions on documenting general mode of transportation in the IFSP. • If the parent provides transportation at no cost to the EIP, a separate NYEIS Transportation service authorization is not required. c. School bus transportation provided by the Department of Education (DOE) Office of Pupil Transportation (OPT) is considered when: > Parent/surrogate or other responsible caregiver cannot transport the child using family car or public transportation. > Public transportation or use of the family car is contraindicated due to the child’s physical or developmental condition. > There is an established DOE bus route. ○ If transportation via school bus is appropriate, the NYC EIP will work with DOE to establish a new bus route for a child and family if no bus route is currently available. Refer to the note below for additional information. > The school bus trip does not exceed one (1) hour and fifteen (15) minutes within a borough OR one (1) hour and forty-five (45) minutes between boroughs. i. Authorizing school bus transportation provided by the DOE OPT: • Documents the mode of transportation as part of the IFSP as detailed in the Initial IFSP Policy and NYEIS IFSP Crosswalk. • Creates a Transportation Service Authorization(s) in NYEIS: ○ On the Individualized Family Service Home Screen, under Manage, select “Add Service Authorization.” ○ On the Select Service Type and Method Screen, under the Selection Criteria heading, click on the drop-down and select “Transportation” from the drop-down box. Then click on the “Search” button.

Early Intervention Official Designee (EIOD) Cont.	- o On the Select Service Type and Method category, click on “Transportation (Vendor).” - o Under Select Transportation Type, click “Transportation vendor.” - o On the Select Transportation Vendor Screen ▪ Under “Transportation Provider Name,” enter the name of the relevant provider. ▪ Click on “Continue.” - o On the Create Transportation Details Screen: ▪ Choose an option under “Child Transportation Needs” (if applicable). ▪ Modify the Start Date and/or End Date <u>only</u> if different than the IFSP period. - Dates selected must fall within the current IFSP period. ▪ Under “Days per Week,” enter the days of the week that transportation services are needed (e.g., Tues., Thurs.). ▪ Under “Total Days per Week,” enter the number of days per week that transportation is authorized (e.g., 2). ▪ Under “Total Weeks,” enter the number of weeks transportation will be provided (e.g., 26). ▪ Under “Total Authorized Amount,” enter (Round trip rate x total days per week) x (Total weeks). ▪ Under “Payment Type” select “per child.” ▪ If “Other” was selected under “Child Transportation Needs,” enter a description of the transportation needs under “If other, provide a description.” ▪ Complete the “Pick-up Details” section, if different from home address (e.g., day care). ▪ Complete the “Drop-off Details” section, if different from home address. ▪ Click “Create Service Authorization.” Note: • If DOE bus routing or other issues present a barrier to service delivery, the NYC EIP will contact the Ongoing Service Coordinator (OSC) to discuss alternate transportation options with the parent. This may result in an IFSP amendment meeting. Refer to the section on car service below. • When school bus transportation provided by the DOE OPT is authorized, the EIOD will forward the authorization to the NYEIS Administration Unit or the designated Regional Office Transportation Liaison for entry into the DOE Rider System. • The DOE OPT will only drop off a child at his or her home address, unless the child’s IFSP specifies an alternative drop-off location. • The NYC EIP allows a maximum of two (2) companions to accompany the child on the school bus. - o The duration of companion authorizations may vary, as determined

Early Intervention Official Designee (EIOD) Cont.	by the IFSP team.
	d. Transportation provided by a car service vendor in contract with the NYC DOHMH, is considered when: > Parent or another responsible caregiver can accompany the child. > Public transportation, family car, and school bus transportation are contraindicated due to the child’s physical, medical, or developmental needs; and/or > There is no established school bus route. i. If the IFSP team determines that car service is appropriate, the EIOD will inform the family that a car seat is required in order to use a NYC DOHMH-contracted car service vendor, and that the caregiver traveling with the child is responsible for bringing and securing the car seat. ii. If the parent does not own a car seat and the purchase of a car seat would create a financial barrier to transporting the child using a car service, the IFSP team discusses providing the parent with a gift card to purchase a car seat. • The gift card may only be used to purchase the car seat, and not for any other items (no exceptions). • Parents must return to DOHMH any balance over \$25 that remains on the gift card after purchasing the car seat, along with the receipt for the car seat. iii. If a gift card for the purpose of buying a car seat is authorized: • Documents the mode of transportation in the IFSP, as detailed in the Initial IFSP Policy and NYEIS IFSP Crosswalk. • Completes the Parent Consent for Public Transportation, Mileage Reimbursement, or Car Service Form and obtains signed parental consent. • Creates a Transportation Service Authorization(s) in NYEIS o On the Individualized Family Service Home Screen, under Manage, select “Add Service Authorization.” o On the Select Service Type and Method Screen, under the Selection Criteria heading, click on the drop down and select “Transportation” from the drop-down box. Then click on the “Search” button. o On the Select Service Type and Method category, click on “Transportation (Vendor).” o Under Select Transportation Type, click “Transportation vendor.” o On the Select Transportation Vendor Screen: ▪ Enter the name of the relevant provider under “Transportation Provider Name.” - Bronx: New Elegante Car Service - Brooklyn: Corporate Transportation Group - Manhattan: Corporate Transportation Group - Queens: AMN Management - Staten Island: JJS Transportation ▪ Click on “Continue.”

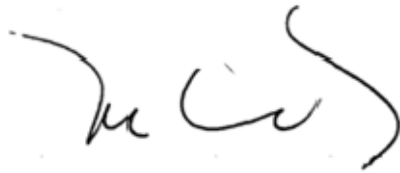
Early Intervention Official Designee (EIOD) Cont.	- o <i>On the Create Transportation Details Screen:</i> ▪ Under <i>Child Transportation Needs</i>, select “infant seat” or “toddler seat,” as appropriate. ▪ Modify the <i>Start Date</i> and/or <i>End Date</i> only if different than the <i>IFSP</i> period. - Dates selected must fall within the current <i>IFSP</i> period. ▪ Under “<i>Days per Week</i>,” enter the days of the week that transportation services are needed (e.g., Tues., Thurs.). ▪ Under “<i>Total Days per Week</i>,” enter the number of days per week that transportation is needed (e.g., 2.). ▪ Under “<i>Total Weeks</i>,” enter the number of weeks transportation will be provided (e.g., 26). ▪ Under “<i>Total Authorized Amount</i>,” enter “As approved by DOHMH Fiscal Administration Unit.” ▪ Under “<i>Payment Type</i>,” select “per child.” ▪ If “<i>Other</i>” was selected under “<i>Child Transportation Needs</i>,” enter a description of the transportation needs under “<i>If other, provide a description.</i>” ▪ Complete the “<i>Pick-up Details</i>” section, if different from home address. ▪ Complete the <i>Drop-off Details</i> section, if different from home address. ▪ Under “<i>Comments</i>,” enter the date that the gift card was given to the family. • Attaches the Parent Consent for Public Transportation, Mileage Reimbursement, or Car Service Form with parental signature to the child’s Integrated Case in NYEIS • At the IFSP meeting, gives the parent/surrogate a gift card for the purpose of buying a car seat. 3. Alerts NYEIS Administration Transportation Liaison, via email, of the creation of the car service authorization within one (1) business day. Note: • NYC EIP will only authorize a drop-off of a child at his or her home address, unless the child’s IFSP specifies an alternative location. • NYC EIP will not provide replacement gift cards for any reason. 4. For an IFSP Review or Annual meeting where parent reimbursement via prepaid monthly Metro Card was previously authorized and requires extension: a. Participates in a face-to-face Review, or Annual IFSP meeting. b. Completes the Parent Consent for Public Transportation, Mileage Reimbursement or Car Service Form and obtains parental consent. c. Completes the Metro Card Distribution Log. d. Distributes monthly prepaid Metro Cards to the parent/surrogate at the meeting.

Early Intervention Official Designee (EIOD) Cont.	5. If a request to change or add transportation as part of an Amendment, Review or Annual IFSP is submitted for car service with a gift card, or parent reimbursement via prepaid monthly Metro Card: a. Participates in a face-to-face Amendment, Review, or Annual IFSP meeting. b. Completes the Parent Consent for Public Transportation, Mileage Reimbursement, or Car Service Form and obtains parental consent. c. Gives the parent monthly prepaid Metro Cards or a gift card for the purpose of buying a car seat at the meeting. 6. If a request is made for car service without a gift card, or for school bus transportation provided by the Department of Education Office of Pupil Transportation. a. Reviews amendment request as outlined in the Amendment Policy.
Ongoing Service Coordinator (OSC)	1. For an IFSP Review or Annual meeting where parent reimbursement via prepaid monthly Metro Card was previously authorized and requires extension: a. Contacts the Regional Office (RO) Scheduling Staff by phone to arrange for a face-to-face IFSP meeting. This should be done no later than two (2) weeks before the end of the IFSP period. b. Completes and submits the IFSP Meeting Request and Confirmation Form to schedule a face-to-face meeting with the EIOD as required in the IFSP Scheduling Policy. i. Under “Special Circumstances” in Section I of the IFSP Meeting Request and Confirmation Form, documents that “a face-to-face meeting is required to distribute prepaid Metro Cards and to extend services”. ii. Refer to the IFSP Review & Annual Meeting Policy. 2. Initiates a request to change or add transportation as part of an Amendment to the IFSP, IFSP Review or Annual meeting: a. Discusses transportation options with the parent based on the procedure laid out in the EIOD responsibility section. b. If a request is made for car service with a gift card for the purpose of purchasing a car seat, or parent reimbursement via pre-paid monthly Metro Card: i. Completes and attaches the following required documentation to the child’s Integrated Case in NYEIS: • Justification for Transportation Method Form. ○ Refer to Policy 3-A.1: Initial Service Coordinator Responsibilities for detailed instructions on attaching documents to the child’s integrated case in NYEIS. ii. Completes and submits the IFSP Meeting Request and Confirmation Form to schedule a face-to-face meeting with the EIOD as required in the IFSP Scheduling Policy. • Under “Special Circumstances” in Section I of the form, documents that a face-to-face meeting is required to discuss prepaid monthly prepaid Metro Cards or car service with a gift card for the purpose of purchasing a car seat. c. If a request is made for car service without gift card or for school bus transportation provided by the DOE OPT: i. Completes and attaches the following required documentation to

Service Coordinator (OSC) Cont.	<i>changes.</i> ▪ <i>View “Events” in the active IFSP to confirm that the amendment was submitted.</i> ○ <i>Creates a new service authorization in NYEIS as described under 2.c.ii above.</i> i. If a change to transportation type is being requested from school bus to car service (or vice-versa): • Submits the request to change the transportation vendor in NYEIS by: ○ <i>Go to the child’s Integrated Case in NYEIS.</i> ○ <i>Select the active IFSP.</i> ○ <i>From the list of service authorizations, select the transportation service authorization reference number.</i> ○ <i>Under the “Manage” section, click on the “Change Vendor” button.</i> ○ <i>On the “Vendor Search Transportation (Vendor)” screen:</i> ▪ <i>Enter the name of the relevant provider under “Vendor Name.”</i> ▪ <i>Click on “Search.”</i> ▪ <i>Select “Car Service Vendor.”</i> ▪ <i>Leave the Decision Date blank.</i> ▪ <i>Select “Save.”</i> Note: Amendment requests will not be processed if appropriate supporting documentation is not attached to the child’s Integrated Case in NYEIS. 3. If no car seat is authorized, sends the Provider Agency Transportation Coordinator a copy of the approved Transportation Service Authorization within two (2) business days of the IFSP meeting or approval in NYEIS. a. If a car seat is authorized, ensures that the car seat is purchased by the parent within two (2) weeks of the IFSP meeting. i. Sends the Provider Agency Transportation Coordinator a copy of the approved Transportation Service Authorization within two (2) business days of confirming with the parent/surrogate that the car seat has been purchased. ii. Reminds the parent to return any gift card balance greater than \$25, along with the receipt for the car seat, to the address below within 30 days of the IFSP meeting: Early Intervention Fiscal Management 42-09 28th Street, CN- 48 Long Island City, NY 11101 iii. Follows the following procedure for “when car service is authorized.” b. When car service is authorized: i. Ensures that the Transportation Coordinator faxes the Car Service Information Form to the NYEIS Administration Transportation Liaison within two (2) business days of receiving the service authorization. ii. Receives the approved Car Service Information Form back from the NYEIS Administration Transportation Liaison.
Ongoing Service	

Coordinator (OSC) Cont.	iii. Notifies the Transportation Coordinator and parent/ surrogate that the car service vendor should be contacted as soon as possible to initiate car service transportation. iv. Attaches the approved Car Service Information Form to the child's Integrated Case in NYEIS. 4. Routinely checks the status of transportation amendment approvals in NYEIS. 5. Ensures all services begin as required by the Start Date of Service Policy.
Provider Agency/ Transportation Coordinator	1. When school bus transportation provided by the DOE OPT is authorized: a. Checks that the child's information and authorization are correct in the DOE OPT Rider System b. Enters the child's attendance information in the OPT Rider System c. Completes the Transportation Attendance Sheet each month to indicate the: i. Names of all children on the bus who receive services at that agency; ii. Names of any companions of those children; and iii. Days that each child and his/her companion(s) were on the bus. Note: - Provider agencies are no longer required to mail or forward the completed attendance sheet(s) to DOHMH Early Intervention Fiscal Management (EIFM). - Providers must retain the Transportation Attendance Sheets on file for monitoring purposes. 2. When car service is authorized, completes the Car Service Information Form. a. Faxes the completed Car Service Information Form to the NYEIS Administration Transportation Liaison at 347-396-8983 within two (2) business days of receiving the Service authorization from the OSC. b. Works with the parent/ surrogate and the car service vendor to initiate car service transportation and notify the car service vendor of any scheduling modifications. 3. When mileage reimbursement is authorized, completes the Mileage Reimbursement Form with the parent. a. Ensures any required attachments for parking/tolls are present. b. Sends Mileage Reimbursement Form with attachments to EIFM, username Hinrjk02, using the HCS Secure File Transfer within seven (7) calendar days after the end of each calendar month.
NYEIS Administration Transportation Liaison	1. Reviews the Car Service Information Form within two (2) business days of receipt to verify: a. Child information, and b. Car service authorization information. i. If all information is complete, arranges for car service by sending the approved Car Service Information Form to the car service vendor and the child's OSC via Fax. ii. If information is not complete, immediately contacts the provider agency by phone to rectify the issue.

Early Intervention Fiscal Management Unit (EIFM)	1. Receives the Mileage Reimbursement Form via HCS Secure File Transfer from the Transportation Coordinator. 2. Reviews the Mileage Reimbursement Form and all accompanying parking and toll information (if applicable) a. Notifies the Transportation Coordinator if any additional information is necessary. 3. Issues payment directly to the parent/surrogate for mileage reimbursement no more than three (3) weeks from the date that the Mileage Reimbursement Form is received. 4. Issues payment directly to car service vendors for the provision of car service.
Provider Agency/ Transportation Coordinator	1. Corrects any inaccurate information on the Car Service Information Form, and/or adds missing information, and resubmits within one (1) business day of receiving notification from the NYEIS Administration Transportation Liaison. 2. Corrects any inaccurate information on the Mileage Reimbursement Form, and/or adds missing information, and resubmits via HCS Secure File Transfer within one (1) business day of receiving notification from EIFM.



Approved By:
Assistant Commissioner, Early Intervention

Date: 3/20/2015



Marie B. Casalino, MD, MPH
Assistant Commissioner

Bureau of Early Intervention
Gotham Center, CN #12
42-09 28th Street – 18th Floor
Queens, NY 11101-4132

347-396-6974 tel.
347-396-6982 fax

May 15, 2015

Dear Early Intervention Provider:

On May 1, 2015, the New York City Department of Health and Mental Hygiene (NYC DOHMH) Bureau of Early Intervention (NYC BEI) implemented Policy and Procedure regarding the transportation of children in the Early Intervention Program. As part of that policy, NYC DOHMH implemented a process to transport children and their parents or other caregivers using car service vendors in contract with the NYC DOHMH. The Procedure and Guidance below serves as an addendum to the NYC BEI Transportation Policy implemented on May 1, 2015. **The Procedure and Guidance below goes into effect on May 22, 2015.**

Car Service Scheduling

In order to facilitate smooth and effective communication and collaboration between the Car Service vendors and Early Intervention Provider Transportation Coordinators, Transportation Coordinators must:

1. Complete and submit a weekly transportation schedule to identify the Car Service trips that will be requested and those trips that are not requested/canceled for the following week.
 - a. Transportation Coordinators must submit the completed spreadsheet to the NYEIS Administration Transportation Liaison by 10 AM on Friday of the current week to ensure timely transportation for the following week.
 - b. Spreadsheets must be submitted by Fax to 347-396-8983.
 - c. The schedule must be completed based on the child's borough of residence.

Note: A template is attached to this letter, titled: *Early Intervention Transportation Schedule Template.xls*

Clarification Regarding Companions

Due to the expansion of transportation options available, questions and issues have emerged regarding NYC BEI policies regarding companions:

1. **School Bus transportation** - The NYC BEI allows a maximum of two (2) companions to accompany the child on the school bus.
2. **Pre-paid monthly Metro Cards** - The NYC BEI will only provide pre-paid monthly Metro Card(s) for one (1) parent or caregiver to accompany the child receiving Early Intervention services.

- 3. Car Service transportation** - The NYC BEI allows companions. Any companion eight (8) years old or younger requires a car seat/booster seat. The parent or caregiver is responsible for providing the car seat/booster seat for any companion child eight (8) years old or under. Car service vendors have the right to decline to transport children eight (8) years old or under without a car seat.

Updated Transportation Forms

Attached to this Guidance please find updated contact information for AMN Management, Inc. (Queens Car Service Vendor) and New Elegante Car Service (Bronx Car Service Vendor). The updated contact information is reflected on the:

1. Car Service Information Forms; and
2. Parent Consent for Public Transportation, Mileage Reimbursement or Car Service Form.

Communication with Car Service Vendors

In order to maintain the confidentiality of child and family information, do not discuss issues other than scheduling with Car Service vendors. Direct all questions regarding unique child and family situations to the appropriate Regional Office.

Thank you for your collaboration.

Sincerely,



Marie B. Casalino, MD, MPH
Assistant Commissioner

Attachments

c:w/attachments:

- Ireti Bobb Lewis, Director, EI Services
- Lidiya Lednyak, Director, Policy and Quality Assurance
- Nora Puffett, Director, Administration and Data Management
- Barbara Bieyro, Director, Technical Assistance
- Sim Peters, Director, NYEIS Administration
- Rick Kennedy, EI Fiscal Management
- Isabel Borja-Godinez, EI Fiscal Management
- NYC BEI Regional Directors

New York City Early Intervention Program

Policy Title: Complaints Regarding Bus Transportation	Effective Date: 10/17/2010
Policy Number: 8-B	Supersedes: 6-I
Attachments: • Transportation Service Data Entry Form	Regulation/Citation:

I. POLICY DESCRIPTION:

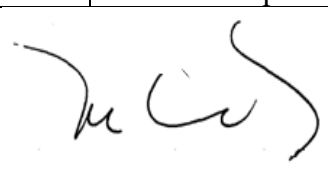
The New York City Department of Education, Pre-K Transportation contracts with bus companies to transport children to NYC Early Intervention (EI) provider agencies for services. Complaints about transportation providers must be directed accordingly.

Bus transportation may be authorized for a child receiving services at an EI provider site. Transportation needs are discussed and documented in the IFSP. The EIOD will authorize bus transportation, if warranted, by completing a **Transportation Service Data Entry Form**. If companions are authorized to accompany the child, their names are listed on the form.

Providers should alert the EI Regional Office (RO) to any ongoing concerns or complaints about bus transportation.

II. PROCEDURE:

Responsible Party	Action
Early Intervention Agencies, Service Coordinators (SCs), Parents	1. Direct inquiries or complaints regarding Pre-K Transportation to: a. The Department of Education Pre-K Customer Service hotline at 718-482-3800. Agents are available to assist. b. 311. Calls will be forwarded to someone who can assist. 2. EI agencies and SCs should also contact the EI Regional Office (Assistant Director or Regional Director) when there are any ongoing concerns or complaints about bus transportation.


Approved By:
Assistant Commissioner, Early Intervention

Date: **09/17/10**

Transportation Forms

New York City Early Intervention Program Parent Consent for Public Transportation, Mileage Reimbursement or Car Service Form

Instructions: This form must be completed when the Individualized Family Service Plan (IFSP) team with the parent and Early Intervention Official Designee determine that Public Transportation, Mileage Reimbursement, or Car Service is appropriate as a means of transportation to an Early Intervention center-based program. This form must also be completed by Ongoing Service Coordinators when requesting transportation amendments.

Child's Name:(Last)	(First)	Date of Birth (DOB):
EI #:	IFSP Period: Start: End:	Service Authorization Number:

I am aware of the options available to transport my child. I have selected: ☐ **Public Transportation** ☐ **Mileage Reimbursement** ☐ **Car Service**

Public Transportation: The parent/surrogate must initial each item below to indicate consent.

_____ I have received _____ (number) of monthly prepaid MTA Metro Cards to cover the IFSP period above.

_____ I understand that the NYC Early Intervention Program will not replace lost or stolen Metro Cards.

I agree to the provision of public transportation (MTA) services to and from my child's Early Intervention provider.

Parent/Surrogate Name: _____ Signature: _____ Date: _____

Mileage Reimbursement: The parent/surrogate must initial each item below to indicate consent.

_____ I must complete the **Mileage Reimbursement Form** with the Transportation Coordinator at the Early Intervention provider to get reimbursed for mileage.

_____ I must submit receipts with the **Mileage Reimbursement Form** to get reimbursement for tolls and parking.

_____ I will receive a maximum of \$100.00 per day for all mileage, toll, and parking costs associated with services authorized on my child's IFSP.

_____ I assume all risk associated with the use of my motor vehicle to transport my child to and from my child's Early Intervention provider.

I agree to have my child transported to and from my child's Early Intervention provider using a personal car.

Parent/Surrogate Name: _____ Signature: _____ Date: _____

Car Service: The parent/surrogate must initial each item below to indicate consent.

My Car Service Vendor: ☐ Bronx: New Elegante Car Service (Tel: 718-492-7680 or 718-492-7680 ext. 1024) ☐ Staten Island: JJS Transportation (Tel: 718-667-2022) ☐ Brooklyn & Manhattan: Corporate Transportation Group (Tel: 718-643-3900) ☐ Queens: AMN Management (Tel: 718-326-5115)

_____ My child must be accompanied by a responsible caregiver.

_____ The accompanying caregiver is responsible for bringing the car seat, and correctly installing the car seat.

_____ Car service transportation will only pick up and drop off my child at the locations specified in the IFSP.

_____ If my child will not need car service transportation for any reason, I will give the car service vendor at least 2 hours' notice.

_____ I will call the car service vendor and my Service Coordinator to restart car service transportation after any absence.

☐ Family does not own a car seat, and no means of transportation except car service is appropriate, based on the needs of the child and family.

_____ I received a bank gift card with a value of \$200.00.

_____ I will only use this gift card to purchase a car seat that is appropriate for my child.

_____ I will purchase a car seat by (date) _____ (two (2) weeks after the IFSP meeting), in order for services to begin on time.

_____ If more than \$25.00 is left on the gift card after I buy the car seat, I agree to send a personal check or money order for the remaining balance, and the receipt for the car seat, to: **Early Intervention Fiscal Management, 42-09 28th Street, CN- 48Long Island City, NY 11101**

I agree to the provision of car service transportation services to and from my child's Early Intervention provider by a vendor that is in contract with the New York City Department of Health and Mental Hygiene.

Parent/Surrogate Name: _____ Signature: _____ Date: _____



New York City Early Intervention Program Justification for Transportation Method

Instructions: The Ongoing Service Coordinator (OSC) must complete this form as part of an amendment request. Refer to the [NYC EIP Transportation Policy](#). This form must be completed when a change to an authorized transportation method is requested, or a request to add or change a service authorization to a group or facility-based setting is being requested, and transportation is needed. Incomplete submissions will be returned.

When a particular type of transportation is requested, the OSC must explain why other forms of transportation are not appropriate:

If car service is requested, complete 1, 2, 3, 4, and 4a (if applicable) • If DOE School Bus is requested, complete 1, 2, 3, and 3a (if applicable).

If Family Car is requested, complete 1, 2, and 2a • If Public Transportation is requested, complete 1, and 1a.

Child's Name:(Last)		(First)	Date of Birth (DOB):
EI #:	IFSP Period: Start:	End:	Transportation SA Number (if applicable):
Currently authorized method of transportation: ☐ Public Transportation ☐ Family Car ☐ DOE bus ☐ Car Service ☐ No transportation on IFSP			
Requested change to: ☐ Public Transportation w/ Metro Card ☐ Family Car w/ reimbursement ☐ DOE bus ☐ Car Service ☐ No transportation			
Location of service (name and address):			
1. Public Transportation: Indicate why this mode of transportation is or is not appropriate for the child & family based on family situation, medical status etc. 1a: (Metro card request only): Describe the hardship that would be created if Metro Cards are not provided by the EIP:			
2. Family car: Indicate why this mode of transportation is or is not appropriate for the child and family based on the family situation, medical status etc. 2a: (Mileage reimbursement only): Describe the hardship that would be created if mileage reimbursement was not provided by the EIP:			
3. DOE School Bus: Indicate why this mode of transportation is or is not appropriate for the child and family based on the family situation, medical status, etc. 3a: Companions (Maximum 2): Provide a justification for each companion requested:			
4. Car Service: Indicate why this mode of transportation is appropriate for the child and family based on the family situation, medical status etc., etc. 4a: If a Gift Card is requested, describe the hardship that would be created if a Gift Card for the purpose of purchasing a car seat was not provided by the EIP:			

Service Coordinator Name: _____ Sign: _____ Date: _____

Parent Name: _____ Sign: _____ Date: _____



NYC EARLY INTERVENTION PROGRAM CAR SERVICE INFORMATION FORM – Bronx

New York City Department of Health and Mental Hygiene Early Intervention Bronx Car Service Vendor:

New Elegante Car Service • General number: 718-492-7680 or 718- 492-7680 ext.1024

Instructions: Within two (2) business days of receiving a service authorization for car service from the Ongoing Service Coordinator (OSC), the Early Intervention service provider agency Transportation Coordinator (TC) completes the **Car Service Information Form** and faxes it to the NYEIS Administration Transportation Liaison at 347-396-8983. The NYEIS Administration Transportation Liaison returns the approved form to the OSC via Fax. The OSC attaches the approved **Car Service Information Form** to the child's integrated case in NYEIS and faxes a copy to the TC.

Child and Family Information – Completed by Provider Agency Transportation Coordinator

Child's Name (Last, First):	EI ID:	DOB:
Parent's Name (Last, First):	Phone:	
Name of Caregiver Accompanying Child:	Name of Alternate Caregiver:	
Pick-up Address:	Drop-off Address:	

Early Intervention Provider Agency Information - Completed by Provider Agency Transportation Coordinator

Agency Name:	Address:	
Transportation Coordinator Name:	Phone:	Fax:
Transportation Coordinator HIN ID:		

Service Authorization Information - Completed by Provider Agency Transportation Coordinator

Schedule				Transportation SA Number:
	Day(s) that child will attend group	Session Start Time (AM/PM)	Session End Time (AM/PM)	Authorization Period
Monday				From: Date:
Tuesday				To: Date:
Wednesday				Comments:
Thursday				
Friday				

Car Service Vendor: Notification to Proceed with Car Service (NYC Bureau of Early Intervention Use Only)

This form serves to advise New Elegante Car Service that car service has been approved and can be initiated to the Early Intervention provider identified in Section II of this document on date: _____

Above please find the Parental Contact and Child Scheduling information. Vendor may contact the family to schedule the pick-up. Contact New York City Bureau of Early Intervention at nycnyeis@health.nyc.gov if you have any questions.

NYC Bureau of Early Intervention Approval Signature:

Date:



NYC EARLY INTERVENTION PROGRAM CAR SERVICE INFORMATION FORM – Manhattan and Brooklyn

New York City Department of Health and Mental Hygiene Early Intervention Manhattan & Brooklyn Car Service Vendor:

Corporate Transportation Group LTD • General number: 718-643-3900 • Contact Number: 718-643-3900 • Contact: Stephanie Prasker
Email: Stephanie@nyc2way.com

Instructions: Within two (2) business days of receiving a service authorization for car service from the Ongoing Service Coordinator (OSC), the Early Intervention service provider agency Transportation Coordinator (TC) completes the **Car Service Information Form** and faxes it to the NYEIS Administration Transportation Liaison at 347-396-8983. The NYEIS Administration Transportation Liaison returns the approved form to the OSC via Fax. The OSC attaches the approved **Car Service Information Form** to the child's integrated case in NYEIS and faxes a copy to the TC.

Section I: Child and Family Information – Completed by Provider Agency Transportation Coordinator

Child's Name (Last, First):	EI ID:	DOB:
Parent Name (Last, First):	Phone:	
Name of Caregiver Accompanying Child:	Name of Alternate Caregiver:	
Pick-up Address:	Drop-off Address:	

Section II: Early Intervention Provider Agency Information - Completed by Provider Agency Transportation Coordinator

Agency Name:	Address:	
Transportation Coordinator Name:	Phone:	Fax:
Transportation Coordinator HIN ID:		

Section III: Service Authorization Information - Completed by Provider Agency Transportation Coordinator

Schedule				Transportation SA Number:
	Day(s) that child will attend group	Session Start Time (AM/PM)	Session End Time (AM/PM)	Authorization Period
Monday				From: Date:
Tuesday				To: Date:
Wednesday				Comments:
Thursday				
Friday				

Car Service Vendor: Notification to Proceed with Car Service (NYC Bureau of Early Intervention Use Only)

This form serves to advise Corporate Transportation Group LTD that car service has been approved and can be initiated to the Early Intervention provider identified in Section II of this document on date: _____

Above please find the Parental Contact and Child Scheduling information. Vendor may contact the family to schedule the pick-up. Contact New York City Bureau of Early Intervention at nycnyeis@health.nyc.gov if you have any questions.

NYC Bureau of Early Intervention Approval Signature:

Date:



NYC EARLY INTERVENTION PROGRAM CAR SERVICE INFORMATION – QUEENS

New York City Department of Health and Mental Hygiene Early Intervention Queens Car Service Vendor:

AMN MANAGEMENT, INC. • Dispatch: 718-326-5115 • Contact: Kathy

Instructions: Within two (2) business days of receiving a service authorization for car service from the Ongoing Service Coordinator (OSC), the Early Intervention service provider agency Transportation Coordinator (TC) completes the **Car Service Information Form** and faxes it to the NYEIS Administration Transportation Liaison at 347-396-8983. The NYEIS Administration Transportation Liaison returns the approved form to the OSC via Fax. The OSC attaches the approved **Car Service Information Form** to the child's integrated case in NYEIS and faxes a copy to the TC.

Section I: Child and Family Information – Completed by Provider Agency Transportation Coordinator				
Child's Name (Last, First):		EI ID:		DOB:
Parent Name (Last, First):		Phone:		
Name of Caregiver Accompanying Child:		Name of Alternate Caregiver:		
Pick-up Address:		Drop-off Address:		
Section II: Early Intervention Provider Agency Information - Completed by Provider Agency Transportation Coordinator				
Agency Name:		Address:		
Transportation Coordinator Name:		Phone:	Fax:	
Transportation Coordinator HIN ID:				
Section III: Service Authorization Information - Completed by Provider Agency Transportation Coordinator				
Schedule				Transportation SA Number:
	Day(s) that child will attend group	Session Start Time (AM/PM)	Session End Time (AM/PM)	Authorization Period
				From: Date:
				To: Date:
				Comments:
Monday				
Tuesday				
Wednesday				
Thursday				
Friday				
Car Service Vendor: Notification to Proceed with Car Service (NYC Bureau of Early Intervention Use Only)				
This form serves to advise AMN MANAGEMENT, INC. that car service has been approved and can be initiated to the Early Intervention provider identified in Section II of this document on date:_____				
Above please find the Parental Contact and Child Scheduling information. Vendor may contact the family to schedule the pick-up. Contact New York City Bureau of Early Intervention at nycnyeis@health.nyc.gov if you have any questions.				
NYC Bureau of Early Intervention Approval Signature:				Date:



NYC EARLY INTERVENTION PROGRAM CAR SERVICE INFORMATION FORM – Staten Island

New York City Department of Health and Mental Hygiene Early Intervention Staten Island Car Service Vendor:

JJS Transportation Co. Inc. D/B/A Grant City Car Service • General Number: 718-979-6200 • Contact Number: 718-667-2022

Contact: April Bates • Email: nctaxis@aol.com

Instructions: Within two (2) business days of receiving a service authorization for car service from the Ongoing Service Coordinator (OSC), the Early Intervention service provider agency Transportation Coordinator (TC) completes the **Car Service Information Form** and faxes it to the NYEIS Administration Transportation Liaison at 347-396-8983. The NYEIS Administration Transportation Liaison returns the approved form to the OSC via Fax. The OSC attaches the approved **Car Service Information Form** to the child's integrated case in NYEIS and faxes a copy to the TC.

Section I: Child and Family Information – Completed by Provider Agency Transportation Coordinator

Child's Name (Last, First):	EI ID:	DOB:
Parent Name (Last, First):	Phone:	
Name of Caregiver Accompanying Child:	Name of Alternate Caregiver:	
Pick-up Address:	Drop-off Address:	

Section II: Early Intervention Provider Agency Information - Completed by Provider Agency Transportation Coordinator

Agency Name:	Address:	
Transportation Coordinator Name:	Phone:	Fax:
Transportation Coordinator HIN ID:		

Section III: Service Authorization Information - Completed by Provider Agency Transportation Coordinator

Schedule				Transportation SA Number:
	Day(s) that child will attend group	Session Start Time (AM/PM)	Session End Time (AM/PM)	Authorization Period
Monday				From: Date:
Tuesday				To: Date:
Wednesday				Comments:
Thursday				
Friday				

Car Service Vendor: Notification to Proceed with Car Service (NYC Bureau of Early Intervention Use Only)

This form serves to advise JJS Transportation Co. Inc. D/B/A Grant City Car Service that car service has been approved and can be initiated to the Early Intervention provider identified in Section II of this document on date:_____

Above please find the Parental Contact and Child Scheduling information. Vendor may contact the family to schedule the pick-up. Contact New York City Bureau of Early Intervention at nycnyeis@health.nyc.gov if you have any questions.

NYC Bureau of Early Intervention Approval Signature:

Date:



NYC Early Intervention Program Mileage Reimbursement Form

Instructions: The NYC Early Intervention (EI) provider agency Transportation Coordinator (TC) must complete the Mileage Reimbursement Form with parents/caregivers monthly when mileage reimbursement is authorized as part of the child's Individualized Family Service Plan (IFSP). The TC will then send the completed form and accompanying documentation for tolls and/or parking to the EI Fiscal Management Unit (EIFM) using HCS Secure File transfer to username: *Hinrjk02* within seven (7) calendar days after the end of each calendar month.

Child's Name:(Last)		(First)	
Date of Birth (DOB):		EI #:	
IFSP Period: Start:	End:	Service Authorization Number:	
Parent's Full Name:		Phone:	
Parent's Address:		City:	State: Zip Code:
Name of IFSP Authorized Destination (EI Provider):			
Destination Address:		City:	State: Zip Code:

I certify that the expenses itemized below are for the purposes of transporting my child to and from facility-based services authorized on his/her IFSP. I understand that I will not be reimbursed for tolls and parking unless I submit receipts as part of this request. I will receive a maximum reimbursement of \$100.00 per day in the form of a check mailed to me by the NYC Department of Health and Mental Hygiene (NYC DOHMH) no more than three (3) weeks from the date that the Mileage Reimbursement Form is received by the EIFM. I hold the NYC DOHMH harmless in the case of accidental death, injury or property damage associated with the use of my motor vehicle.

	Date Traveled	Total Miles	Rate per Mile	Total Expenses
1	MM/DD/YYYY	Round Trip (1)	\$ 0.575 (2)	(1) x (2)
2			\$ 0.575 (2)	
3			\$ 0.575 (2)	
4			\$ 0.575 (2)	
5			\$ 0.575 (2)	
6			\$ 0.575 (2)	
7			\$ 0.575 (2)	
8			\$ 0.575 (2)	
9			\$ 0.575 (2)	
10			\$ 0.575 (2)	
11			\$ 0.575(2)	
12			\$ 0.575 (2)	
13			\$ 0.575 (2)	
14			\$ 0.575 (2)	
15			\$ 0.575 (2)	
Sub-Total				
Tolls (if applicable)				
Parking (if applicable)				
Grand Total				

Name (Parent): _____ Signature: _____ Date: ____ / ____ / ____

I certify that the above EI child received services at the program on the above dates.

Name (TC): _____ Signature: _____ Date: ____ / ____ / ____

**NEW YORK CITY DOHMH EARLY INTERVENTION PROGRAM
TRANSPORTATION COMPANION ATTENDANCE SHEET**

Page: of:

Transportation Contractor Name:

Transportation Provider EI#:

Month:

Year:

Program /School's Name:

Address:

Program Provider EI#:

EI #	DOB	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	Total
Child's Name (Last, First)																																	
Companion's Name (Last, First)																																	
Companion's Name (Last, First)																																	

EI #	DOB	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	Total
Child's Name (Last, First)																																	
Companion's Name (Last, First)																																	
Companion's Name (Last, First)																																	

EI #	DOB	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	Total
Child's Name (Last, First)																																	
Companion's Name (Last, First)																																	
Companion's Name (Last, First)																																	

EI #	DOB	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	Total
Child's Name (Last, First)																																	
Companion's Name (Last, First)																																	
Companion's Name (Last, First)																																	

I certify that the above EI child(ren) and authorized companion(s) were actually transported to receive services at the program on the above dates. I understand that any misrepresentation of fact provided by me on this form may result in criminal action.

Print Name/telephone #: _____ Signature of Authorized Program/School Official: _____ Date: ____ / ____ / ____

Transportation Companion Attendance Sheet Instructions

- 1) **Transportation Contractor Name** - Enter company's name (not subcontractor)
- 2) **Transportation Provider EI #** - Enter your five-digit Early Intervention number
- 3) **Month** - Enter the month of service (should be spelled out) and Year
- 4) **Program/School Name** - Enter Program/School name exactly as it appears on your contract
- 5) **Address/Site** - Enter site address of Early Intervention Program/School
- 6) **Provider EI #** - Enter provider Early Intervention five-digit number
- 7) **EI #** - Child's 7- digit Early Intervention number
- 8) **DOB** – Child's date of birth (MM/DD/YY) format
- 9) **Child's Name** – Enter the child's name in the Last Name, First Name Columns
- 10) **Companion Name** – If parent/guardian or other companion is authorized on the child's IFSP to accompany the child when traveling, enter the authorized companion's name last name and first name. You must enter companion name under authorized child's name. Multiple companions can continue on next line as long as the child's ID is also entered.
- 11) **Day of Trip** - Put an "x" in the box for the date child was transported/attended and "x" for each companion in boxes below for same date.
- 12) **Signature** - Please sign and indicate telephone # of Transportation Coordinator.

Chapter 9: Assistive Technology

New York City Early Intervention Program

Policy Title: Assistive Technology	Effective Date: October 1, 2014
Policy Number: 9-A	Supersedes:
Applicable Forms: • NYC EIP Assistive Technology Medical Necessity Justification Form • NYC EIP Assistive Technology Notification of Item Delivery, Condition and Status Form • NYC EIP Assistive Technology Information Exchange Form	Regulation/Citation: NYCRR Section 69-4.1(k)(2)(i) NYCRR Section 69-4.1(k)(2)(ii) NYCRR Section 69-4.9(g) NYCRR Section 69-4.11 New York State Early Intervention Memorandum 99-1

I. POLICY DESCRIPTION:

Assistive technology (AT) should be considered when an AT device (ATD) or service is needed to increase, maintain, or improve the functional capabilities of an eligible child, and facilitate the attainment of functional outcomes included in the child and family's Individualized Family Service Plan (IFSP) meeting.

All provider agencies are required to designate an AT Agency Coordinator to serve as the clinical point person for ATD requests. The AT Agency Coordinator is responsible for coordinating with Individual Rendering Providers, Service Coordinators, and the NYC Assistive Technology Unit (NYC ATU) on the provision of ATD.

Early Intervention (EI) provider agencies must submit all required ATD documentation necessary to support Medicaid and private insurance billing **no later than two (2) calendar weeks** after being notified of the potential ATD need by the child's IFSP team or Individual Rendering Provider.

Only EI provider agencies that hold agreements with the New York State Department of Health (SDOH) or Individual Rendering Providers and agencies that subcontract with EI provider agencies may make ATD requests.

The New York City Early Intervention Program (NYC EIP) will ensure that all authorized ATDs comply with New York State Early Intervention Memorandum 99-1, NYS Early Intervention Regulations, and Federal Regulations. Under these regulations and guidance, the following devices are not reimbursable by the EIP:

- Equipment or medical supplies that are solely related to a medical condition or chronic illness unrelated to the child's disability or developmental status, or are life-sustaining by nature.
- Toys used by all children that are not specifically designed or adapted to increase, maintain, or improve the functional capabilities of children with disabilities.
- Generic items typically needed by all children.
- Items that are standard equipment used by service providers in the provision of EI services.

- Environmental adaptations.
- Devices purchased prior to being authorized in the IFSP.
- Devices that are surgically implanted, including cochlear implants, or the optimization (e.g., mapping), maintenance or replacement of such devices.

EI service providers are no longer responsible for the purchase of ATD with a service authorization start date on or after October 1, 2014. Beginning on October 1, 2014, the State Fiscal Agent (PCG) will make all ATD purchases, and only from ATD vendors that have an agreement with SDOH.

II. PROCEDURE:

Responsible Party	Action
IFSP Team/ Individual Rendering Provider in collaboration with the AT Agency Coordinator	- As part of an IFSP meeting or as part of an Amendment to an IFSP, discusses an Assistive Technology device (ATD) with the family and how it might address the functional capabilities of the child, including: - Category of device and necessary accessories (if applicable). - A discussion of how low- versus high-tech devices can increase, maintain or improve the child's functional skills is required. - The IFSP functional outcomes that the ATD will help the child and family achieve, and how it will do so. - How the ATD will be integrated into the child and family's natural routines, and the settings where the device will be used. - If an ATD is being considered, the Individual Rendering Provider first requests an ATD trial/loan, by: - Initiating a conversation with the TRAID Center Loan Closet (212-677-7400, x 712; email: techworks@ucpnyc.org) to determine if: - The TRAIID Center can provide the proposed ATD via its Loan Closet to a child and family for demonstration or loan. - The ATD is currently available for demonstration or loan. - How long the device is available for loan. - How to make arrangements with TRAIID Center for its use. - If the TRAIID loan fully meets the child's needs, the AT Agency Coordinator, in consultation with the Individual Rendering Provider, notify the child's Service Coordinator and inform her/him that they will not proceed with the ATD request through the EIP. - Proceeds with the ATD request process outlined below while also pursuing the ATD trial loan. - The Individual Rendering Provider completes the Assistive Technology Medical Necessity Justification Form: - Refer to the Assistive Technology Medical Necessity Justification Form Instructions for detailed completion requirements. - The AT Agency Coordinator obtains a dated, authorized prescription or written recommendation form that is dated and written by:

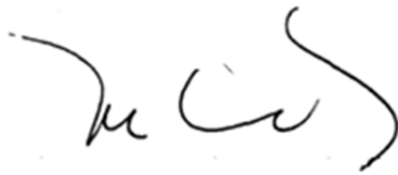
	i. Non-amplification request: Child's primary health care provider (physician or nurse practitioner) ii. Amplification request: Audiologist or Otolaryngologist • Prescriptions and recommendations for amplification must be dated no more than two (2) months from the date of the signature on the Assistive Technology Medical Necessity Justification Form. • ATD requests with prescriptions dated more than two (2) months before the date on the Assistive Technology Medical Necessity Justification Form are incomplete and will be returned. c. The AT Agency Coordinator obtains the Individual Rendering Provider's most current Provider Progress Note for the child. 4. The AT Agency Coordinator sends the ATD Packet to the child's Service Coordinator within one (1) week of receiving the required components, including: a. Assistive Technology Medical Necessity Justification Form; b. Prescription or written recommendation (for amplification); and c. Most current Provider Progress Note for the child. Note: • The Assistive Technology Medical Necessity Justification Form, prescription/written order and Provider Progress Note are necessary to provide adequate clinical justification to support Medicaid and private insurance billing. • If during the course of a trial/loan it becomes apparent that the ATD is not appropriate for the child, the AT Agency Coordinator must contact the NYC Assistive Technology Unit (NYC ATU) within one (1) business day of the determination. • Individual Rendering Providers may contact the NYC ATU at 347-396-6830 or BEIATU@health.nyc.gov for technical assistance related to ATD. • The Agency AT Coordinator must contact the NYC ATU prior to submitting required documentation if there will be a change to the Individual Rendering Provider, in order to ensure that the ATD will have appropriate clinical oversight.
Service Coordinator	1. Assists (as needed) with obtaining the dated, authorized prescription or written recommendation when the request is made by the AT Agency Coordinator. 2. Reviews the submitted ATD Packet for completeness, including: a. Assistive Technology Medical Necessity Justification Form; b. Prescription or written recommendation; and c. Most current Provider Progress Note for the child. 3. Faxes the ATD Packet to the NYC ATU (347-396-8967) within one (1) week of receipt.

Early Intervention Official Designee (EIOD)/ NYC Assistive Technology Unit (NYC ATU)	1. Reviews IFSP Amendment request, including: a. Assistive Technology Medical Necessity Justification Form; b. Prescription or written recommendation; and c. Most recent Provider Progress Note for the child. 2. Immediately notifies the AT Agency Coordinator and Service Coordinator if the submitted request is not complete. a. Attaches all such notifications to the child's Integrated Case in NYEIS. 3. If the ATD is not appropriate based on the unique needs of the child and family, or if the item is not reimbursable by the EIP: a. Immediately notifies the AT Agency Coordinator, Service Coordinator and family to consider other options, including an AT evaluation (if appropriate). b. Sends Prior Written Notice to the family, and attaches a copy to the child's Integrated Case in NYEIS. 4. If the request is complete and the item is reimbursable by the EIP, amends the child's IFSP by creating a service authorization in NYEIS. To create this service authorization: a. <i>Go to the child's Integrated Case in NYEIS.</i> b. <i>Select the active IFSP.</i> c. <i>Click the "Add Service Authorization" link under the Manage section from the IFSP Home page.</i> d. <i>On the "Enter Amendment Reason" screen, click "Select" to indicate this is an amendment to add a service type.</i> e. <i>In the "Selection Criteria" field, select "ATD" and click "Search."</i> i. <i>Under "Select Service Type and Method" select "ATD."</i> ii. <i>Under "Vendor Search" search for "SFA."</i> iii. <i>Select the "State Fiscal Agent" as the vendor for AT.</i> f. <i>The fields under "Create AT Device Service Authorization" should be completed as follows:</i> i. <i>Start Date: pre-populated. Date will be indicated as the day after the authorization is entered.</i> ii. <i>End Date: pre-populated.</i> iii. <i>Leave DME Code field blank.</i> iv. <i>Under "Quantity" enter "1"</i> • "1" must be entered regardless of the number of devices or accessories being authorized v. <i>Under "Non-DME Device," enter "Request sent to SFA."</i> vi. <i>Under "Non-DME Description," enter "Request sent to SFA."</i> vii. <i>Under "Authorization up to Amount," enter "\$.01"</i> viii. <i>Select "Create Service Authorization."</i> 5. Attaches the approved ATD packet to the child's integrated case in NYEIS. Sends the approved ATD Packet to PCG Assistive Technology Coordinator (PCG ATC) via the HCS secure file transfer.

	Note: Service session(s) with the Individual Rendering Provider(s) and the ATD vendor will be authorized to meet the unique needs of the child and family.
Service Coordinator	1. Notifies the parent, AT Agency Coordinator, and the Individual Rendering Provider within two (2) business days that the ATD request was authorized.
PCG Assistive Technology Coordinator (PCG ATC)	1. Receives approved ATD packet from the NYC Regional Office or NYC ATU. 2. Within two (2) business days of receipt of request, seeks competitive pricing information, when needed, from ATD vendors having agreements with SDOH. Selection of a vendor will be based on: a. Best pricing; b. Delivery terms; c. Insurance in-network status; d. Convenience for the family; e. Initiation of a hearing aid loan (applicable dispensaries only); and f. Assistive Technology Medical Necessity Justification Form. 3. Selects an ATD vendor and informs the NYC ATU of the selection by providing the vendor's name, contact information, and liaison. 4. Sends the ATD vendor: a. Child's demographic information; b. Child's insurance information, with the physician's orders; and b. Assistive Technology Medical Necessity Justification Form. 5. Instructs the ATD vendor to coordinate with the child's Individual Rendering Provider and AT Agency Coordinator to identify the specific ATD, components and accessories (as applicable). 6. Receives the final device specification based on the collaboration between the ATD vendor and the child's Individual Rendering Provider and AT Agency Coordinator. 7. Sends the selected ATD vendor a final purchase authorization. 8. Sends a copy of the purchase authorization and the ATD warranty information to the NYC ATU as they become available. 9. Coordinates with the ATD vendor to determine an estimated delivery date. a. Informs the NYC ATU of the estimated delivery date. 10. Informs the ATD vendor to collaborate with the Individual Rendering Provider regarding the delivery schedule, when appropriate or necessary based on the nature of the device.
NYC Assistive Technology Unit	1. Receives notification from the PCG ATC regarding ATD vendor selected. 2. Notifies the child's Service Coordinator and AT Agency Coordinator of the selected vendor and provides appropriate contact and liaison information. 3. Receives and attaches the ATD vendor purchase authorization and the ATD warranty information to the child's Integrated Case in NYEIS. 4. Notifies child's Service Coordinator and AT Agency Coordinator of the estimated delivery date.
Individual Rendering	1. AT Agency Coordinator receives notification from the PCG ATC regarding ATD vendor selected, and ensures that the Individual Rendering Provider

Provider /AT Agency Coordinator	contacts the ATD vendor to ensure that an appropriate ATD, components and accessories (as applicable) are selected. - Once the estimated delivery date is received, the AT Agency Coordinator contacts the ATD vendor to coordinate delivery with the Individual Rendering Provider. - Reminds the Individual Rendering Provider to complete the Assistive Technology Notification of Item Delivery, Condition and Status form within one (1) service session with the child and family after the ATD is delivered. - The Individual Rendering Provider must complete the Assistive Technology Notification of Item Delivery, Condition and Status form within one (1) service session with the child and family after the ATD is delivered: - The AT Agency Coordinator must fax the completed Assistive Technology Notification of Item Delivery, Condition and Status form within two (2) business days from the service session to the Service Coordinator for submission to the NYC ATU. - Notifies the Service Coordinator of any issues related to delivery, fit, utilization and/or family readiness by use of this form. - Provides training and ongoing oversight on the use of device to the family. - Documents child's use of the device in Session and Progress Notes.
Service Coordinator	- Stays in close communication with the family to ensure that the Individual Rendering Provider and the ATD vendor are collaborating, and have contacted the family to select a specific device. - Monitors to ensure that the ATD is delivered in a timely manner. - Attaches the Assistive Technology Notification of Item Delivery, Condition and Status form to the child's Integrated Case in NYEIS within two (2) business days of receipt from the AT Agency Coordinator - Contacts the NYC ATU when there are any issues related to the delivery, fit, utilization and/or family readiness of the ATD.
AT Agency Coordinator/ Individual Rendering Provider	- Addresses routine adjustments needed due to usage, growth, and/or changes in the child's development, and contacts the purchasing vendor for assistance when necessary. - Directs the family to immediately discontinue the use of any ATD and notify the NYC ATU if a safety concern related to the ATD is discovered. - Emails NYC ATU when the adjustments needed are not routine or when vendor issue cannot be independently resolved. - Discusses donation options with the family, including donation to the TRAIID Loan Closet, when the Individual Rendering Provider and family determine that the ATD is no longer warranted or consistently utilized. - Ensures that the Assistive Technology Information Exchange form is completed by the Individual Rendering Provider that is currently providing oversight on the ATD if he/she will no longer be providing EI services to the child and family. - The Assistive Technology Information Exchange form captures

	critical information about the child and family's use of an ATD. b. Faxes form to Service Coordinator within two (2) business days of last session.
Service Coordinator	1. Within two (2) business days of receipt, attaches Assistive Technology Information Exchange form to the child's Integrated Case in NYEIS. 2. Notifies the ATU (via email) and the provider agency of the newly assigned Individual Rendering Provider that the Assistive Technology Information Exchange form has been attached to the child's Integrated Case in NYEIS.
NYC Assistive Technology Unit	1. Reviews all Assistive Technology Notification of Item Delivery, Condition and Status forms. 2. Communicates vendor issues to the PCG ATC within one (1) business day of notification.



Approved By:
Assistant Commissioner, Early Intervention

Date: 8/29/2014



NEW YORK CITY DEPARTMENT OF
HEALTH AND MENTAL HYGIENE
Mary T. Bassett, MD, MPH
Commissioner

Marie B. Casalino, MD, MPH
Assistant Commissioner

September 9, 2014

Bureau of Early Intervention
Gotham Center, CN #12
42-09 28th Street – 18th Floor
Queens, NY 11101-4132

347-396-6974 tel.
347-396-6982 fax

Dear Early Intervention Dispensary:

As you know, the New York State Department of Health (SDOH) and Public Consulting Group (PCG), as the State Fiscal Agent, will be implementing a new process for the acquisition of Assistive Technology Devices (ATD) on October 1, 2014. Beginning on October 1, 2014, PCG will make all ATD purchases exclusively from ATD vendors that have an agreement with SDOH.

New York City Early Intervention provider agencies that also serve as dispensaries are required to provide the following information as part of amplification requests for Interim, Initial, Review and Amendment Individualized Family Service Plans (IFSPs):

1. **Assistive Technology (AT) Medical Necessity Justification Form;**
 - a. Date of signatures on AT Specification Form must be within two (2) weeks of price quote date
2. A recent audiological evaluation report (signed by licensed audiologist) or recommendation from an otolaryngologist (for initial hearing aid request only);
3. Last quarterly audiologist **Provider Progress Note** for the child (Amendment, Review, and Annual IFSPs only); and
4. Dispensary price quote, which must include:
 - a. Name of dispensary that has a provider agreement with SDOH,
 - b. Manufacturer's price quote,
 - c. HCPCS codes and costs for each device and accessory, and
 - d. Anticipated date of delivery.

New York Early Intervention System (NYEIS) Service Authorizations will be entered as specified in New York City Early Intervention Program (NYC EIP) **Policy and Procedure 9-A: Assistive Technology**, which was distributed to the provider community on September 2, 2014.

As with all other ATDs, NYC EIP service providers are no longer responsible for billing in NYEIS for ATD service authorizations that have a start date on or after October 1, 2014. All billing will be completed by PCG.

SDOH is collaborating with the NYC EIP to develop a process that will maximize Medicaid and private insurance when purchasing hearing aids and amplification-related devices. Dispensaries that are currently serving the NYC EIP will be notified when the process is finalized. At this time, in order to facilitate a smooth transition, insurance coverage will not be considered when selecting a dispensary for new requests or existing amplification-related requests.

All requests for ATDs submitted by NYC providers on or after October 1, 2014 must comply with applicable policy and procedure.

Sincerely,

A handwritten signature in black ink, appearing to read 'M Casalino', with a stylized flourish at the end.

Marie B. Casalino, MD, MPH
Assistant Commissioner

c: Brenda Knudson Chouffi, SDOH
Margaret Adeigbo, SDOH
Assunta Rozza, NYC DOHMH
Rosa Pico, NYC DOHMH
Ireti Bobb Lewis, NYC BEI
Lidiya Lednyak, NYC BEI
Nora Puffett, NYC BEI

NYC Early Intervention Program Assistive Technology Medical Necessity Justification Form

Service Providers: The Individual Rendering Provider must complete this form for each device being requested and submit it to their AT Agency Coordinator for submission to the child's Service Coordinator. Service providers must contact the TRAIID Center (212-677-7400 ext. 712) to determine ATD availability and document the outcome in order for the ATD category to be considered for authorization through the EIP. The AT Agency Coordinator submits this completed form, the physician's order/recommendation, and the most current Progress Note written by the Individual Rendering Provider who is recommending the ATD to the child's Service Coordinator within 1 week of obtaining all of these required elements. A complete submission is required in order to support Medicaid and private insurance billing. If additional pages are included, indicate which question is being answered.

Service Coordinators: Fax the completed ATD packet to the NYC AT Unit: 347-396-8967.

Child's Name: _____		DOB: ____/____/____	
EI #:	Service Type:	Service Location:	
Child's Diagnosed Condition(s):		ICD-9 Code(s):	
Individual Rendering Provider's Name:		Credentials:	
Can the child and caregiver travel to vendor location? ☐ Yes ☐ No			
1. On what date did you contact the TRAIID Center Loan Closet? (required) _____ ☐ TRAIID will provide a short-term loan until the requested device, if approved, is ordered and delivered to the family. ☐ TRAIID will provide a long-term loan for the duration of the child's anticipated use. ▪ Anticipated provision date: _____ ▪ Anticipated length of loan: _____ ☐ TRAIID was contacted - device is not available.			
2. Requested ATD category: 2a. List each accessory of the ATD category requested. Justify why each accessory is required to meet the child's current functional skills and ensures the child's safe and functional use of the ATD category:			
3. List the existing and new (if necessary) functional IFSP outcomes that the requested ATD category will address:			
4. Describe how the ATD category will help the child increase, maintain or improve his/her functional capabilities and meet his/her unique developmental needs and the IFSP functional outcomes:			
5. Indicate any precautions related to the child's medical/developmental condition(s) that may impact the safe use of the device:			

6. Describe how the ATD category will be integrated into the child's and the family's natural routines (include the settings where the device will be used, the routine activities, and the frequency with which the device will be used):
7. What lower-tech devices have you and the family discussed or used prior to this request? Explain why they are not appropriate for this child:
8. Identify any other ATD categories and/or adaptive items currently used by other Individual Rendering Providers, family, or by you, and describe how the requested ATD category may be used with them and any other requested ATD:
9. Describe how you will collaborate with the other Individual Rendering Providers serving this child and family (in the same setting or across settings) in the use of the proposed ATD category (if no other Individual Rendering Providers are serving this child, write "Not Applicable"):
10. List the parents/caregivers that require training on the device, and list the specific items that need to be addressed in that training to ensure the parents'/caregivers' safe and functional use of the ATD category:
I understand and agree that if any ATD equipment is authorized for my child, I will not use the delivered device or allow my child to use the device until my therapist has instructed me in its safe and appropriate use. Parent/Caregiver Signature: _____ Date: ____/____/____
Individual Rendering Provider Signature: _____ Date: ____/____/____ License/Certification #: _____ Phone Number: _____

NYC EARLY INTERVENTION PROGRAM

ASSISTIVE TECHNOLOGY MEDICAL NECESSITY FORM INSTRUCTIONS FOR COMPLETION

GENERAL DIRECTIONS

The Individual Rendering Provider is required to complete this form for each device being requested and submit it to his/her EI agency's AT Agency Coordinator for submission to the child's Service Coordinator. The Individual Rendering Provider is responsible for contacting the TRAIID (Regional Technology Related Assistance for Individuals with Disabilities) Center (212-677-7400 ext. 712) to inquire about device availability. Documentation of the outcome of this discussion is required for this device to be considered for authorization by the NYC EIP. If you attach additional pages, please indicate which question(s) you are answering. All questions are required and must be answered fully.

Child's Name, EI #, DOB,	Ensure that all identifying information is correct. The EI# is the child's reference number identified in NYEIS (it appears at the top of the Child Homepage in NYEIS). Information must match the information in NYEIS (do not use alternate/nicknames).
Service Type, Service Location	Indicate the service type and service location.
Child's Diagnosed Conditions, ICD-9 Codes	Indicate the child's diagnosed medical and/or developmental condition(s). ICD-9 codes are required to correspond to diagnosed conditions (e.g., ASD, 299.0).
Individual Rendering Provider's Name, Credentials	Provide the name and credentials of the current Individual Rendering Provider that is completing this form and recommending this device (e.g., speech therapist: Speech/language Pathologist, MS, CCC/SP). If you are a certified professional, indicate "certified" and <u>do not</u> write the certification number. OTAs must include the license number of their supervisor.
Can the child and caregiver travel to vendor location?	Indicate whether the child and caregiver can travel to the selected vendor. The determination should reflect the child's capacity to travel safely. For example, a child who is dependent on oxygen, resulting typically in susceptibility to illness, would benefit from a vendor and Individual Rendering Provider meeting in the child's home.
The TRAIID Center Loan Closet 212-677-7400 ext. 712	TRAIID Center Loan Closets are equipped with ATD specifically for children eligible for the Early Intervention Program. Equipment from a loan closet may be provided to the child and family on either a short-term basis to determine the appropriateness of a device for the child or for the duration indicated in the child's IFSP. The availability of the device and timeframe of this loan is dependent on TRAIID's resources. All devices loaned through the TRAIID Center must be returned to the TRAIID Center in accordance with the terms of the loan.

Question #1: Contact with the TRAIID is a required part of all ATD requests.

1. On what date did you contact the TRAIID Center Loan Closet?	Indicate the date of your call to the TRAIID Center Loan Closet. Check off one of the following outcomes and add the relevant information. The TRAIID Center Loan Closet (TCLC) has confirmed that: a. A short-term loan is available. b. A long-term loan is available. i. Provide the loaner begin date (from the TCLC to the family) ii. Provide the TCLC's timeframe (begin date to return date) for the loan of this device c. The device is unavailable for short-term or long-term loan by TCLC.

Questions #2 to #12: Document the ATD request and justify how it is necessary to maintain or improve the functional capabilities of the child.

2. Requested ATD category

- a. Indicate the category of ATD requested for this child.
- b. Refer to the chart below for examples of common ATDs (Note: This list is meant to provide examples and is not exhaustive).

	ATD Category
DME - Independent Mobility, Positioning, DME ADL, Seating and Transport Devices	Bath System Crawler Gait Trainer/Walker Orthopedic Car Seat Pediatric Wheelchair Positioning System and Wedges Seating Stander Adaptive Stroller Adaptive Toileting and Adaptive Potty Systems
DME - Head Support	Protective Helmet Un-mounted and Mounted Head Supports
Hearing	Hearing Aid(s) and Amplification Accessories FM System and FM System Accessories
Orthoses	Orthoses (KAFO, SMO, UCBL, AFO, Orth. Shoes)

	Orthoses (WHO, elbow)
	Orthoses (Theratogs/Benik/TLSO/Hip Holders/SPIO)
Vision	Eyeglasses (incl. sunglasses/protective)

2a. List each accessory of the ATD category requested. Justify why each accessory is required to meet the child's current functional skills and ensures this child's safe and functional use of the ATD category:

- List each requested accessory of the selected ATD category.
- Justify the need for each individual accessory.
 - A justification is required to explain how each accessory will support this individual child's functional abilities and skills and safe and optimal use of the device. For example, the Individual Rendering Provider may recommend a stander:
 - The Individual Rendering Provider must identify how the stander will support the child's gross motor skills and functional abilities, and
 - Based on the identified functional capacities, the Individual Rendering Provider also determines all accessories required to meet the child's safe and optimal use of the device

For example, the ATD category is Seating. Based on the needs of the child, a justification for each accessory for the Seating such as a pelvic harness, a head rest, or side pads should include how it supports the child's skills and ensures the child's safety and optimal utilization of the ATD.

3. List the existing IFSP functional outcomes, as well as any new functional outcomes added since the IFSP, that the requested ATD category will address:

- ATD should facilitate the attainment of the IFSP functional outcomes included in the child and family's Individualized Family Service Plan (IFSP).
 - Document the current IFSP functional outcome(s) that will be addressed with the requested device category and any new functional outcomes that will be developed related to this device.
 - New outcomes are required to be written in the appropriate functional outcome format, using the following 6 components of a functional outcome:

Who: This is usually the child but may include the parent or family.

Will do what: This is what the child will do (that is reasonable for the next 6 months).

Criteria for success: This is how everyone on the team including the parents/caregivers will know that the outcome has been met. It should be observable. It should not be described in percentages or ratios or as more or less.

Under what condition: This is any specific situation or adaptation (e.g., physical prompt by parent, special spoon for meal times) that is reasonable. When this is not indicated in the outcome, it is assumed to be 100% independence.

Routine activity: This is an event that typically occurs during the child's day and is individualized by the family's culture and environment.

"So that": This is what the family would like to achieve or the reason why it is important.

For example:

| Justin | will eat an entire meal| using an adaptive spoon| during all | meal times | so that he can feed himself.
 (who) (will do what) (under what condition) (criteria for success) (routine activity) (why it is important to the family)

Note: For more information/training on functional outcomes, go to the NYC EIP website: <http://www.nyc.gov/html/doh/html/hcp/ei-hcp.shtml> To use the Functional Outcome Assistant Tool and Key, go to <http://www.nyc.gov/html/doh/downloads/pdf/earlyint/ei-functional-outcomes.pdf>

4. Describe how the ATD category will help the child increase, maintain or improve the child's functional capabilities and meet his/her unique developmental needs and the IFSP functional outcomes:

- Document how the requested assistive technology category meets the child's current and specific developmental needs, functional abilities, and family priorities.
 - Highlight how the requested device category will help increase, maintain, or improve the child's functional capabilities.
 - This section should explain how the ATD device category is developmentally relevant to the child's functional capacities and supports the achievement of the IFSP functional outcomes and family priorities.**

5. Indicate the precautions related to the child's medical/developmental condition that may impact the safe use of the device:

- Document all confirmed and prospective contraindications for use of the selected device category; and
- Document how the child's medical conditions and developmental status will affect how the device is used and/or how often it is used.

6. Describe how the ATD category will be integrated into the child's and the family's natural routines (include the settings where the device will be used, the routine activities, and the frequency with which the device will be used):

- The Individual Rendering Provider is required to assess and document how the ATD category will be used within the context of the family's natural routines, and with respect for the family's cultural, physical and social environments.
- In selecting a device category, the following criteria must be considered:
 - When the device category will be used by the child in each of a variety of settings (at home and in the community);
 - How safety concerns will be addressed so that the device category will be safely used within each setting, including how it will be transported safely; and
- When the device category provides a dual function, (e.g., a seating device that also functions as a transport device, based on

an interchangeable accessory), documentation is required to illustrate the family's ability to modify the device for safe dual functionality and ease of use.

7. What lower tech devices have you and the caregivers discussed or used prior to this request? Explain how they would or would not be appropriate for this child:

- a. ATD ranges from low technology to high technology.
- b. The Individual Rendering Provider must document the process by which the device range or level was chosen. This documentation should include:
 - i. A discussion of which lower technology device was considered and, as appropriate, used by the child and family on a trial basis. Describe the outcome(s) of using the lower technology device.
 - ii. The rationale for why a lower technology device category is not being proposed.

8. Identify any other ATD categories and/or adaptive items currently used by you, other Individual Rendering Providers, and parents/caregivers; and describe how the requested ATD category may be used with them and any other requested ATD devices:

- a. Consideration must be given to any other ATD that the child may already have or will obtain, to determine whether multiple devices are essential to meet the child's functional outcomes, and, if so, to ensure compatibility of the devices or systems with one another.
- b. The Individual Rendering Provider is required to identify and document any device categories currently used with the child by:
 - i. The recommending Individual Rendering Provider (you);
 - ii. The other Individual Rendering Providers on the team; and
 - iii. The parents/caregivers/family.
- c. When a device category other than the one being requested now is currently being utilized, the Individual Rendering Provider is required to document:
 - i. How the requested device category will be used in conjunction with any current device; and
 - ii. Who will use the requested device with the child (other Individual Rendering Providers, parents/caregivers, others).

9. Describe how you will collaborate with other Individual Rendering Providers (in the same setting or across settings) in the use of the proposed ATD category:

- a. Document what was discussed with the other Individual Rendering Providers (and with any other service providers) about:
 - i. The child's use of the device category in applicable settings/locations;
 - ii. The family's routine activities in which the device category should be used;
 - iii. The child's functional abilities and skills that the device category is intended to support; and
 - iv. For the EI team members, the IFSP functional outcomes the ATD category will address.

10. List the parents/caregivers that require training on the device, and list the specific items that need to be addressed in that training to ensure the parents'/caregivers' safe and functional use of the ATD category:

- a. Who are the parents/caregivers that will be trained on the requested device category?
- b. List all of the areas that the training will cover, including precautions to ensure the safe and effective use of the device category.

Signature

The parent/caregiver and the Individual Rendering Provider are both required to sign this form. Please include the Individual Rendering Provider's license # and direct contact information, such as a cellular phone number. Do not write in the provider agency's phone number.

NYC EARLY INTERVENTION PROGRAM
ASSISTIVE TECHNOLOGY NOTIFICATION OF ITEM DELIVERY, CONDITION & STATUS

This form is required to document that the assistive technology device (ATD) has been delivered as authorized, and to document any issues with the device.

- The Individual Rendering Provider is responsible for completing this form with the parent **no later than one (1) service sessions** after the device has been delivered.
- The AT Agency Coordinator is responsible for sending this form to the child's Service Coordinator **no later than two (2) weeks** after the device has been delivered.
- Service Coordinators must fax this form to the NYC Assistive Technology Unit (NYC ATU) at 347-396-8967 **within two 2 business days** of receipt.
- The NYC ATU will notify the SDOH PCG Assistive Technology Coordinator **within 1 business day** when delivery, condition or status issues are identified.

Section A: The Individual Rendering Provider must complete this section when the child/family receives the ATD.		
Child's Name (Last, First):	EI #:	DOB:
Individual Rendering Provider's Name:	Credentials:	
Provider Agency:		
Source of Device(s): ☐ Vendor ☐ Dispensary Category of device and exact name: _____ Date of receipt: ____ / ____ / ____ If item was purchased, was it received new? ☐ Yes ☐ No – explain in Section B		
Section B: The Individual Rendering Provider must complete this section when there are issues or delivery problems with the device.		
Indicate the issues that affected the successful provision and utilization of the authorized device:		
<u>Delayed Delivery</u>		
☐ The device was not delivered on the designated delivery date		
Indicate the scheduled delivery date: ____ / ____ / ____		
<u>Incorrect/Incomplete Order</u>		
☐ Device received was not the device authorized ☐ Missing authorized accessories ☐ Needed accessories were not requested by Individual Rendering Provider		
<u>Device Condition</u>		
☐ Poor fit ☐ Assembly problem		
<u>Other</u>		
☐ Family refused device after authorization and/or provision ☐ Vendor dispute ☐ Other – describe below		
<u>Provide a detailed description of the issue:</u>		
Parent/Caregiver Signature: _____		Date: ____ / ____ / ____
Individual Rendering Provider Signature: _____		Date: ____ / ____ / ____

**NYC EARLY INTERVENTION PROGRAM INSTRUCTIONS FOR COMPLETION
ASSISTIVE TECHNOLOGY NOTIFICATION OF ITEM DELIVERY, CONDITION & STATUS**

GENERAL DIRECTIONS	
This form is required to document that the ATD has been delivered as authorized, and to document any issues with the device. - The Individual Rendering Provider is responsible for completing this form with the parent no later than one (1) service session after the device has been delivered. - The AT Agency Coordinator is responsible for sending this form to the child's Service Coordinator no later than two (2) weeks after the device has been delivered. - Service Coordinators must fax this form to the NYC Assistive Technology Unit (NYC ATU) at 347-396-8967 within two 2 business days of receipt. - The NYC ATU will notify the SDOH PCG Assistive Technology Coordinator within 1 business day when delivery, condition or status issues are identified.	
Section A: The Individual Rendering Provider must complete this section when the child/family receives the ATD.	
Child's name, EI #, DOB	Make sure that all identifying information is correct. The EI # is the number that appears at the top of the Child Homepage in NYEIS. Information must match NYEIS (do not use a nickname).
Individual Rendering Provider name, discipline, and provider agency	Print the name, discipline (e.g. speech therapist, special educator), and provider agency of the Individual Rendering Provider who is completing the form.
Source of the device	Indicate if the device was delivered by an ATD Vendor, or Dispensary.
Category of device and exact name	Provide the category (e.g., seating, stander) and full brand name and model of the device received.
Date of receipt	Provide the date the device was received.
If item was purchased, was it received new?	Purchased items must be provided new from vendors. Reconditioned or refurbished used items are not acceptable.
Section B: The Individual Rendering Provider must complete this section when there are issues with the device or delivery problems.	
Please indicate any issues that may have affected the successful provision and utilization of the authorized device: <u>Delayed delivery</u> <u>Incorrect/incomplete order</u> <u>Device condition</u> <u>Other</u>	Check as many issues as apply.
Provide a detailed description of the issue	A full explaining is required for any issue indicated.
Parent/caregiver signature, Individual Rendering Provider signature	The parent/caregiver and the Individual Rendering Provider are required to sign the form. Please include the Individual Rendering Provider's provider agency name and contact information.

NYC EARLY INTERVENTION PROGRAM

ASSISTIVE TECHNOLOGY INFORMATION EXCHANGE FORM

AT Agency Coordinator: Ensures that this form is completed by the Individual Rendering Provider that is providing oversight on an assistive technology device (ATD) if he/she will no longer be providing EI services to the child and family. This form ensures that critical information about the child and family's use of an ATD is communicated to the new Individual Rendering Provider.

- The Individual Rendering Provider must complete this form, along with their last session note for this child.
- The AT Agency Coordinator must send this form to the child's Service Coordinator no later than **two (2) business days** after the Individual Rendering Provider's last session with the child.
- Service Coordinators must attach this form to the child's Integrated Case in NYEIS within **two (2) business days of receipt**. They must also notify both the NYC ATU (via email) and the provider agency of the new Individual Rendering Provider that the form has been attached to the child's Integrated Case in NYEIS.

Child's Name (Last, First):	EI #:	DOB:
Individual Rendering Provider:	Credentials:	
Provider Agency:	Phone #:	
Source of Device(s): ☐ Vendor ☐ Dispensary		
Category of ATD and exact name:		
Answer the questions below to describe how the ATD is being used with the child and family:		
1. IFSP outcomes related to ATD use that have increased, maintained or improved the functional outcomes of this child.		
2. How is the ATD being used?		
a. Schedule of use:		
b. Routine activities in which the device has been and is currently being used:		
c. Location(s) of use:		
d. Caregivers who have been trained on the use of the ATD:		
3. Describe any precautions related to the safe use of the ATD as it relates to the child's unique needs:		
4. Additional information (optional):		
Parent/Caregiver Signature: _____		Date: ____/____/____
Individual Rendering Provider Signature: _____		Date: / /

**NYC EARLY INTERVENTION PROGRAM
ASSISTIVE TECHNOLOGY INFORMATION EXCHANGE FORM INSTRUCTIONS FOR COMPLETION**

GENERAL DIRECTIONS

AT Agency Coordinator: Ensures that this form is completed by the Individual Rendering Provider that is providing oversight on an ATD if he/she will no longer be providing EI services to the child and family. This form ensures that critical information about the child and family's use of an ATD is communicated to the new Individual Rendering Provider.

- The Individual Rendering Provider must complete this form, along with their last session note for the child.
- The AT Agency Coordinator must send this form to the child's Service Coordinator no later than **two (2) business days** after the Individual Rendering Provider's last session with the child.
- Service Coordinators must attach this form to the child's Integrated Case in NYEIS within **two (2) business days** of receipt. They must also notify both the NYC ATU (via email) and the provider agency of the new Individual Rendering Provider that the form has been attached to the child's Integrated Case in NYEIS.

Child's name, EI #, DOB	Make sure that all identifying information is correct. The EI # is the number that appears at the top of the Child Homepage in NYEIS. Information must match NYEIS (do not use a nickname).
Individual Rendering Provider name, discipline, and provider agency	Print the name, discipline (e.g., speech therapist, special educator), and provider agency of the Individual Rendering Provider who is completing the form.
Source of ATD	Check the appropriate option to identify if the item was obtained through a Vendor or Dispensary.
Category of ATD and exact name	Provide the category (e.g., seating, stander) and full brand name and model of the ATD received.
IFSP functional outcomes that ATD use increased, maintained or improved	List all of the functional outcomes from the child's current IFSP that are facilitated or improved by use of the device.
How is the ATD being used? a) Schedule of use b) Routine activities in which the device has been/is being used c) Location(s) of use d) Caregivers who have been trained on the use of the ATD	Describe how the device has been used with the child, and identify the caregivers who have been trained on the use of the ATD. For example: a. One 30-minute session per day, 7 days a week b. Mealtime and story time c. Home, playgroup d. Mother and father, grandmother, Day Care teacher
Describe any precautions related to the safe use of the ATD as it relates to the child's unique needs	Describe any important safety information. Example: Eric requires a 15 degree backward tilt in his adaptive seating device.
Additional information (optional)	The Individual Rendering Provider may include any additional information for the effective and safe use of the ATD so that the child and family can achieve their outcomes.
Parent/caregiver signature, Individual Rendering Provider signature	The parent/caregiver and the Individual Rendering Provider are required to sign the form.

Chapter 10: Transition Out of the Early Intervention Program

NYC Early Intervention Program
Early Intervention Transition Timelines and Age-Out Dates

Activity Timeline							
For All Children in Early Intervention (EI)							
Transition Plan	First developed at the Individualized Family Service Plan closest to the child's second (2nd) birthday or six (6) months prior to discharge. Note: - Transition Plans must be developed for any child leaving EI regardless of his/her participation in the Committee on Preschool Special Education. - If a child is leaving EI before the age of three (3) (due to parent/surrogate withdrawal, child progress, family move, etc.) a Transition Plan must be developed.						
For Parents Interested in CPSE							
Notification	120 days prior to the child's first potential transition date from EI to CPSE unless the parent opts-out. <table border="1"> <thead> <tr> <th>Dates of Birth:</th><th>Notification Must Occur By:</th></tr> </thead> <tbody> <tr> <td>January 1 to June 30</td><td>September 1 of the year before the child turns three (3)</td></tr> <tr> <td>July 1 to December 31</td><td>March 1 of the year the child turns three (3)</td></tr> </tbody> </table>	Dates of Birth:	Notification Must Occur By:	January 1 to June 30	September 1 of the year before the child turns three (3)	July 1 to December 31	March 1 of the year the child turns three (3)
Dates of Birth:	Notification Must Occur By:						
January 1 to June 30	September 1 of the year before the child turns three (3)						
July 1 to December 31	March 1 of the year the child turns three (3)						
Transition Conference	With parent/surrogate consent, convened no later than 90 days prior to child's first potential age-eligibility date for preschool special education services or no later than 90 days prior to the child's third (3 rd) birthday, whichever comes first.						
Referral	Can be made by the parent/surrogate at any time during this time frame: As early as 120 days before the child's first potential age-eligibility date for preschool special education services <table border="1"> <thead> <tr> <th>Dates of Birth:</th><th>1st potentially age-eligible for CPSE on:</th></tr> </thead> <tbody> <tr> <td>January 1 to June 30</td><td>January 2 of the year the child turns three (3)</td></tr> <tr> <td>July 1 to December 31</td><td>July 1 of the year the child turns three (3)</td></tr> </tbody> </table> Or No later than 90 days before the child's third (3rd) birthday.	Dates of Birth:	1 st potentially age-eligible for CPSE on:	January 1 to June 30	January 2 of the year the child turns three (3)	July 1 to December 31	July 1 of the year the child turns three (3)
Dates of Birth:	1 st potentially age-eligible for CPSE on:						
January 1 to June 30	January 2 of the year the child turns three (3)						
July 1 to December 31	July 1 of the year the child turns three (3)						
Age out:	Day before third birthday (3rd) if not referred to, or found eligible by the CPSE; Or If found eligible for preschool special education services by the CPSE and had an Individual Education Plan meeting, but remaining in EI until last possible age out date: <table border="1"> <thead> <tr> <th>Dates of Birth:</th><th>Must Leave EI On:</th></tr> </thead> <tbody> <tr> <td>January 1 to August 31</td><td>August 31 of the year the child turns three (3)</td></tr> <tr> <td>September 1 to December 31</td><td>December 31 of the year the child turns three (3)</td></tr> </tbody> </table>	Dates of Birth:	Must Leave EI On:	January 1 to August 31	August 31 of the year the child turns three (3)	September 1 to December 31	December 31 of the year the child turns three (3)
Dates of Birth:	Must Leave EI On:						
January 1 to August 31	August 31 of the year the child turns three (3)						
September 1 to December 31	December 31 of the year the child turns three (3)						

Note: The NYEIS "Transition" Section auto calculates each child's transition timeline. EIP to 4410 (CPSE) transition calculator can also help determine specific dates for individual children. It is located on the State Education Department (SED) website at: <http://eservices.nysed.gov/ei/>

New York City Early Intervention Program

Policy Title: Transition Out of The Early Intervention Program (EIP)	Effective Date: 6/4/2012
Policy Number: 10-A	Supersedes: N/A
Attachment(s): • Notification to ACS and Foster Care Agency of Transition Out of Early Intervention Form • Notification of Potential Eligibility to the CPSE • Parent Consent for Transition Conference and Invitation to the CPSE Chairperson for Transition Conference Form • Parent Referral to the CPSE for Initial Evaluation • Consent for Transmittal of Parent Referral for Initial Evaluations, EIP Evaluations, and Program Records to the CPSE • Transition Notice Information Document • Transition Timelines and Age-Out Dates	Regulation/Citation: EI Regs., Sec. 69-4.1(m); 69-4.11(10)(xiii); 69-4.20(a)-(d); 69-4.6(c)(7); 69-4.26(13)

I. POLICY DESCRIPTION:

All children leaving the Early Intervention Program (EIP) require a Transition Plan. Planning should begin in preparation for the Individualized Family Service Plan (IFSP) closest to the child's second (2nd) birthday and no later than six (6) months before the child turns three (3) years of age or when the child is leaving the EIP for any reason. **(NYCRR 69 4.6(c)(7); 69-4.11(10)(xii))**

Children who make significant progress in the EIP may not require preschool special education services. Children who may continue to need services when they age out of the EIP may be eligible for preschool special education services authorized through the Committee on Preschool Special Education (CPSE). **(NYCRR 69-4.20(a)(c))**

“Under Public Health Law (PHL), a child's eligibility for the EIP ends the day before his or her third (3rd) birthday, unless the child has been referred to the CPSE and has been found eligible for services under Section 4410 of the Education Law. Parents of children found eligible for 4410 services before the child's third (3rd) birthday, can choose to begin services on the first age eligible date, the child's third (3rd) birthday or remain in Early Intervention (EI) until mandatory age out date.” **(NYCRR 69-4.1(m))**

The following transition procedures also apply to children in foster care who are in the EIP. The local social services commissioner (Agency for Children's Services in New York City)(ACS), and the foster care case worker must be invited to participate in the transition planning process. **(NYCRR 69-4.20 (2))**

All decisions made by the surrogate parent should be in consultation with the ACS case planner, and the foster care case worker.

Note:

- Instructions for navigating NYEIS are denoted in *italics* in the body of this Policy

II. PROCEDURE:

Responsible Party	Action
Initial and Ongoing Service Coordinators (SC)	1. Initiates discussions with the family regarding Transition planning in preparation for the IFSP closest to the child's second (2nd) birthday. Refer to Early Intervention Transition Timelines and Age-out Dates document. 2. Meets with parent/surrogate to ensure that every child has a Transition Plan by the IFSP closest to his/her second (2nd) birthday. a. If the child is in foster care, informs ACS and the responsible Foster Care agency caseworker that the child has approached the age to begin the process to transition out of the EIP; b. Invites ACS case planner, foster care case worker, and the EIP surrogate to participate in the planning process by sending the Notification to ACS and Foster Care Agency of Transition Out of Early Intervention Form. 3. Discusses the following with the parent/surrogate in preparation for the IFSP closest to the second (2nd) birthday. a. Transition options, including: i. Home, ii. Early childhood settings (Head Start, child care, preschools, playgroups, etc) iii. Preschool Special Education Services through the CPSE and iv. Services provided through the child's private insurance or Medicaid. b. Procedures to prepare the child and family for changes in service delivery and adjustments to a new setting. c. The date by which family and child will be informed and begin adjustment to the new setting (home without services, playgroup, etc): i. The steps to be taken to assist the child and family to adjust to the new setting without EI services; and ii. The individuals who might assist the family in making the transition (interventionists, Service Coordinator, child care staff, etc). d. Transition timelines and age out dates: i. Refer to the Transition Timelines and Age-Out Dates document 4. Obtain signatures on all applicable transition forms to indicate parent's/surrogate's transition choices (a-c below): a. Notification of potential eligibility to CPSE: i. Explains to the parent/surrogate that: • EIP will notify the school district in which the child

SC Cont.	resides of potential eligibility 30 days after the date that the SC discussed notification with the parent/surrogate unless s/he opts-out of notification; • The parent/surrogate has the option of waiving the 30 day opt-out period by agreeing or disagreeing to notification right away; and • Referral to CPSE can be made even if notification does not occur. ii. Completes the Notification of Potential Eligibility to the CPSE Form and obtains parental signature. • Documents the parent's/surrogate's notification preferences; and • Sends the Notification of Potential Eligibility to the CPSE Form to the Regional Office (RO) within 48 hours of obtaining signature. Note: The Notification of Potential Eligibility to the CPSE Form must be given to the parent at least 150 days prior to the child's first potential age-eligibility date for preschool special education services to ensure that notification can be sent to CPSE at least 120 days prior to the child's first potential age-eligibility date for preschool special education services b. Transition Conference: i. Explains the following to the parent/surrogate regarding the Transition Conference; • A Transition Conference is voluntary but encouraged by the EIP to help inform the parent(s)/surrogate(s) about his/her options after the EIP; • CPSE evaluation process and service delivery options are explained at the Transition Conference; • Preschool Special Education Procedural Safeguards are discussed at the Transition Conference; • A Transition Conference does not need to be a separate meeting, it can occur at the IFSP meeting closest to the child's second (2nd) birthday; • A child may be referred to CPSE even if a Transition Conference is not held; and • The timeline to convene a Transition Conference. Refer to the Early Intervention Transition Timelines and Age-Out Dates document. ii. Completes the Parent Consent for Transition Conference and Invitation to the CPSE Chairperson for Transition Conference Form and obtains parental signature. iii. When parent/surrogate consents to a Transition Conference: • Schedule Transition Conference with parent/surrogate and EIOD using the IFSP

SC Cont.

Meeting Request and Confirmation Form

- o Refer to the IFSP Scheduling Policy;
- CPSE Representative must be invited to the Transition Conference by the SC, (CPSE Representative may attend via telephone);
 - o If CPSE representative cannot attend, a Transition Conference will still be held.
- ACS and Foster Care Agency must be invited to the Transition Conference when the child is in Foster Care. Use **Notification to ACS and Foster Care Agency of Transition out of Early Intervention Form**;

Note: The EIOD must be present at the Transition Conference.

- Sends invitation (**The Consent for Transition Conference Form**) to CPSE chair/administrator;
 - Sends the **Parent Consent for Transition Conference and Invitation to the CPSE Chairperson for Transition Conference Form** to the RO, within one (1) business day of receiving written parental consent, with the **IFSP Meeting Request and Confirmation Form** to initiate the Transition Conference/IFSP meeting.
- iv. If the parent/surrogate does **not** consent to a Transition Conference:
- Attaches the **Parent Consent for Transition Conference and Invitation to the CPSE Chairperson for Transition Conference Form** indicating parental choice **to the child's** most current IFSP in NYEIS.

Note: Parents/surrogates must be given a chance to participate in a Transition Conference even if the child has already been referred to CPSE.

- c. Referral to the CPSE for Initial Evaluation:
- i. Discuss timelines to refer child to the CPSE to ensure there is sufficient time to complete the evaluation and eligibility determination before the child's third (3rd) birthday.

Note: Referral can be made at any time by a parent/surrogate, but is recommended to occur no later than 90 days before the child's third (3rd) birthday or as early as 120 days before the child's first potential age-eligibility for preschool special education services. This will assist with the timely continuation of services, if the child is found eligible for the CPSE.

- ii. If parent/surrogate decides to refer his/her child to the CPSE:
 - Completes the **Parental Referral to the CPSE for**

SC Cont.	Initial Evaluation Form and obtains parent/surrogate signature: - o With parental consent, mail (return receipt requested) or fax the referral to the CPSE; - o The parent/surrogate may choose to send the referral form to the CPSE. • Completes the Consent to Transmit Parent Referral of Initial Evaluation, EIP Evaluations, and Program Records to CPSE Form indicating if the parent/surrogate would like any part(s) of the EI record released to CPSE; and • Sends the Referral Form and any agreed-upon section of the EI record to CPSE no later than 90 days before the child's third (3rd) birthday or as early as 120 days before the child's first potential age-eligibility for preschool special education services. iii. <u>If the parent/surrogate decides not to refer his/her child to CPSE:</u> • Informs the parent/surrogate that they can reconsider as the Transition Plan is reviewed and updated; • Review the Early Intervention Transition Timelines and Age-out Dates with the parent/surrogate; • Provides the parent/surrogate with the Transition Notice Information Document; • Gives the parent/surrogate a referral form in case he/she reconsiders at a later date; and • Informs the parent/surrogate that if child continues to need EI services, but is not referred to, found eligible, and a meeting held with the CPSE, Early Intervention services will end the day before the child's third (3rd) birthday. Note: Children who make significant progress in EI may not need preschool special education services; therefore a referral to CPSE may not be necessary in every situation. However the steps discussed under numbers 1 - 5 above must be completed regardless of the families' ultimate transition choice. 5. Attaches the following transition forms to the child's most current IFSP in NYEIS: • Notification to ACS and Foster Care Agency of Transition Out of Early Intervention Form (if applicable), • Parent Consent for Transition Conference and Invitation to the CPSE Chairperson for Transition Conference Form (If parent/surrogate declines the Transition Conference), • Parent Referral to the CPSE for Initial Evaluation Form, and

SC Cont.	• Consent to Transmit Parent Referral for Initial Evaluations, EIP Evaluations, and Program Records to the CPSE Form. a. <i>Select “My Cases” from the navigation bar</i> i. <i>Select the “Case Reference Number” of the case</i> ii. <i>Select the “Case Reference Number” of the IFSP under the “IFSPs” section of the “NYEIS Integrated Case” screen</i> iii. <i>Select “Attachments” from the IFSP Navigation bar, then selecting “New”</i> • <i>On the Create Attachment screen:</i> • <i>Browse for the file to attach.</i> ○ <i>File size cannot be more the 15MB</i> • <i>Complete the fields under “File Details”</i> ○ <i>DO NOT enter any information in the Location and Reference fields</i> • <i>Select the “Document Type”</i> ○ <i>Document type for all documents above is “signature”</i> ○ <i>“Receipt date” must be the date that the attachment is made</i> • <i>Complete the “Attachment Description” field by listing the name of each form being attached.</i> Note: If the child’s Initial IFSP is the IFSP closest to the child’s second (2nd) birthday, the transition forms above should be brought to the IFSP meeting. 6. Complete the “Transition to CPSE” and the “Other Transitions” sections in NYEIS: a. <i>Complete the NYEIS “Transitions” Section (found on the left Navigation Pane of the Child Integrated Case)</i> i. <i>Select “Transitions” from the Child Integrated Case navigation menu.</i> ii. <i>Click on the “New” button.</i> iii. <i>Select “Transition to CPSE,” the “Create Transition to CPSE” screen will display.</i> • <i>Under the Child Details heading, the CPSE eligibility dates are prefilled</i> ○ <i>Under the Potential Eligibility for CPSE Services heading, complete the line questions:</i> ▪ <i>Is child potentially eligible for CPSE services? If “No” is entered, no further information is required</i> ▪ <i>If “Yes” is entered, continue with the questions below (a–m)</i> ▪ <i>Refer to the NYEIS Transition Cross-walk for detailed descriptions of each question</i> ○ <i>Complete the question under the Eligibility</i>

SC Cont.	<i>for CPSE Services heading</i> ○ <i>Enter comments in the Comments Box provided</i> ○ <i>Select “Save” once the section is complete</i> iv. <i>Select “Other Transitions,” the “Create Other Transitions” Screen will display</i> • <i>Under “Other Transition” details, complete the detail line questions (a-e)</i> • <i>Under the Identify Early Childhood Programs and Support Services Needed After Transition heading, check all boxes that apply</i> • <i>Enter the Name of Early Childhood Programs and Support Services Not Listed</i> • <i>Enter comments in the Comments Box provided</i> • <i>Select “Save” once the section is complete</i> Note: NYEIS will only allow a case to stay open after a child turns three (3) years of age if the “Transitions” section has been completed.
EIOD/Service Coordinator (SC)	1. Develops and documents a Transition Plan at every IFSP starting at the IFSP closest to the second (2nd) birthday. a. At the IFSP closest to the second (2nd) birthday/Transition Conference: i. Explains transition options; ii. Completes the “<i>Transition Plan</i>” section of the NYEIS IFSP, based on the transition forms attached to the previous IFSP in NYEIS by the SC to ensure that the Transition Plan is accurate and up to date; iii. Explains family rights and responsibilities in the transition process; iv. Explains and documents age-out dates; v. Ensures that there is written consent or declination for all of the following: • Notification of Potential Eligibility to the CPSE Form, • Parent Consent for Transition Conference and Invitation to the CPSE Chairperson for Transition Conference Form (If parent/surrogate declines the Transition Conference), • Parent Referral to the CPSE for Initial Evaluation Form, and • Consent to Transmit Parent Referral for Initial Evaluation, EIP Evaluations, and Program Records Form. ○ Ensures that any forms signed at the meeting are attached to the IFSP. vi. Updates the “<i>Transitions</i>” section (“<i>Transition to CPSE</i>” and the “<i>Other Transitions</i>”) in NYEIS

EIOD/SC	Note: If parent/surrogate decides not to refer the child to CPSE, ensure that s/he has a copy of Transition Notice Information document.
Service Coordination (SC)	1. When EIOD is not present at the IFSP closest to the second (2nd) birthday, the SC: a. Ensures that all discussions are documented in the IFSP, the NYEIS “Transitions” section is completed, and copies of all the forms below and fax transmittals are attached to IFSP document in NYEIS. i. Notification of Potential Eligibility to the CPSE Form, ii. Parent Consent for Transition Conference and Invitation to the CPSE Chairperson for Transition Conference Form (If parent/surrogate declines the Transition Conference), iii. Parent Referral to the CPSE for Initial Evaluation Form, and iv. Consent to Transmit Parent Referral for Initial Evaluation, EIP Evaluations, and Program Records Form.
Early Intervention Official Designee (EIOD)	1. When not present at IFSP meetings, and parent/surrogate declines a Transition Conference: a. Ensures that SC has: i. Developed/updated the entire “<i>Transition Plan</i>” section in the NYEIS IFSP, including: • Child’s transition options; and • Family rights and responsibilities in the transition process. ii. Developed/updated the “<i>Transition to CPSE</i>” and the “<i>Other Transitions</i>” sections in NYEIS, including • Child’s documented age-out dates iii. Attached copies of all transition forms indicating parent/surrogate transition choice; iv. Attached proof of date (fax confirmations) that notifications and other relevant documentation were sent to the CPSE and all other necessary parties. b. If documentation is incomplete, (NYEIS Transition Plan section, both parts of the NYEIS “Transitions” section, and/or copies of transition forms are not attached), i. Contacts SC to indicate which information is missing. ii. Requests that the SC re-submit the IFSP in NYEIS. • The SC or SC supervisor must re-submit the completed documentation to the EIOD within 48 hours of receiving the “rejected” IFSP from the RO.
Service Coordinator (SC)	1. Attends the CPSE meeting if invited by the CPSE per parent/surrogate request, or if invited by the parent/surrogate. Note: Parents/surrogates can request that the SC attend the IEP meeting by indicating it on the Parent Referral to the CPSE for Initial Evaluation Form or the letter that they write to refer the child to the CPSE.

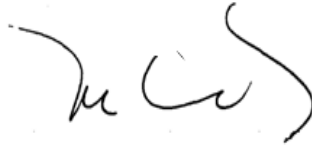
SC Cont.

- a. If not attending the CPSE meeting, obtains the required forms from the parent/surrogate within **two (2) calendar days** of the IEP meeting/final notice.
 - i. Required documentation for children who are found eligible for the CPSE:
 - **Determination of Preschool Eligibility Form (DEP-1)** (if the child will be staying in the EIP past the third 3rd birthday),
 - **IEP Record of Attendance, and**
 - **IEP Summary Page** (if available. Document all attempts to obtain from the parent).
 - ii. Required documentation for children who are not found eligible for the CPSE:
 - **Closure Form.**
2. Notifies the RO of child's eligibility determination and the start date of preschool special education services by following the steps below.
 - a. If the child is eligible for preschool special education services through the CPSE:
 - i. Parent(s)/surrogates may choose to continue in the EIP until the child's third (3rd) birthday:
 - If the child's third (3rd) birthday is within 30 days of the "end date" of the current IFSP
 - Attaches the **IEP Record of Attendance, and IEP Summary Page** to the child's current IFSP.
 - "Extends" the child's current IFSP in NYEIS:
 - Refer to the **Extending the IFSP Policy** for step by step instructions on extensions.
 - If the child's third (3rd) birthday is more than 30 days from the end date of the current IFSP:
 - "Clones" the existing IFSP
 - NYEIS will automatically populate the end date.
 - Refer to the **Review and Annual IFSP Policy** for step by step instructions for cloning.
 - Attaches the **IEP Record of Attendance, and IEP Summary Page** to the child's cloned IFSP **before** submitting the IFSP for EIOD review in NYEIS
 - ii. If the parent/surrogate chooses to immediately accept preschool special education services before the child's third (3rd) birthday,
 - Reviews date that placement in the new setting will be available; and

SC Cont.	• Faxes the IEP Record of Attendance, IEP Summary Page, and the Closure Form (with parent/surrogate signature), to the RO. iii. If the parent/surrogate chooses to remain in Early Intervention until the mandatory age-out date (after the child's third (3rd) birthday). Refer to the Transition Timelines and Age-Out Dates document. • If the child's mandatory age-out date is within 30 days of the end date of the current IFSP - o Attaches the following documents to the child's current IFSP: ▪ IEP Record of Attendance, ▪ IEP Summary Page, ▪ The signed Determination of Preschool Eligibility (DEP-1) which is authorized by the CPSE Administrator after eligibility for preschool special education services are determined, and ▪ Completed Closure Form with parent/surrogate signature indicating the effective date of closure as the child's mandatory age-out date - o "Extends" the child's current IFSP in NYEIS: ▪ Refer to the Extending the IFSP Policy for step by step instructions on extensions • If the child's mandatory age-out date is more than 30 days from the end date of the current IFSP: - o "Clones" the existing IFSP ▪ Refer to the Review and Annual IFSP Policy for step by step instructions for cloning. - o Attaches the following documents to the child's cloned IFSP before submitting the IFSP for EIOD approval in NYEIS: ▪ IEP Record of Attendance, ▪ IEP Summary Page, ▪ The signed Determination of Preschool Eligibility (DEP-1) which is authorized by the CPSE Administrator after eligibility for preschool special education services is determined, and ▪ Completed Closure Form with parent/surrogate signature indicating the effective date of closure as the child's mandatory age-out date.

SC Cont.	Note: For Reconvene CPSE meetings: A CPSE Administrator may determine that another meeting should take place after the initial IEP meeting to reestablish eligibility, update an IEP, or discuss services. Forwards updates of IFSP and progress reports to the CPSE with written parent/surrogate consent. b. If child is not eligible for preschool special education services through the CPSE: i. Completes EI Closure Form indicating effective date of closure, and obtains parent/surrogate signature. ii. Faxes the EI Closure Form, Record of Attendance, and DEP -1 to the RO, with a copy of Notice of EIP Meeting. 3. Ensures that the child’s service providers are notified of the child’s eligibility determination and the start date of preschool special education services within two (2) calendar days of the IEP meeting/final notice.
Early Intervention Official Designee (EIOD)	1. Receives and reviews CPSE eligibility packet submitted by the SC. 2. Authorizes extension of EI services by approving the NYEIS extension or cloned IFSP submission, if needed, based on eligibility date on IEP. 3. Approves closure for the day before the child’s third (3rd) birthday, if eligibility for CPSE is not established. 4. Ensures that the case is closed in NYEIS. a. Once processed, Closure forms are attached to the “<i>IFSP attachment</i>” section of the child’s last IFSP in NYEIS
Committee for Preschool Special Education (CPSE)	1. Transition Conference: Informs SC if the CPSE Administrator or designee will be available in person or by phone. 2. Immediately upon receipt of referral, mails list of approved evaluation sites, Procedural Safeguard Notice, Medical Form and Consent for Evaluation Form to the parent to select an approved CPSE evaluation site 3. Follows up with parent/surrogate by telephone within 15 school days s/he is sent the list of approved evaluation sites, Procedural Safeguard Notice, Medical Form and Consent for Evaluation to ensure that s/he has received and understands the request for consent, if consent is not received by the CPSE in a timely manner. a. CPSE Evaluation should be completed within 20 school days of first contact with the evaluation site. 4. Ensures that the process to determine eligibility is initiated and completed before the child turns three (3) years of age. 5. Convenes a meeting with the representative of the CPSE within 30 school days of receiving the parent’s/surrogate’s consent for the child’s evaluations. 6. Invites the SC to the CPSE meeting per parent’s/surrogate’s request. 7. At the CPSE meeting: a. Develops an IEP indicating eligibility, services approved and projected start date of services. If child is eligible for preschool services: i. Provides copies of the IEP Record of Attendance and the IEP Summary Page to the SC (if invited to the IEP) and the parent/surrogate. ii. Provides copies of the signed Determination of Preschool

CPSE Cont.	Eligibility form (DEP-1) and the IEP Record of Attendance to the parent and SC if present <u>only</u> if parent/surrogate chooses to have the child remain in EI. b. Provides input to assist parent/surrogate in making decision when to transfer out of EIP (e.g., based on the availability of services, it may be beneficial to begin CPSE services in September rather than January). c. Discusses availability of services in relation to projected start date. d. If SC was not invited to the meeting, faxes copy of IEP Record of Attendance, IEP Summary page, and DEP-1 (when appropriate) to the child's SC with parent/surrogate consent. 8. If the child is Not Eligible for preschool services the CPSE administrator: a. Provides a copy of the Notice of IEP Meeting to the parent/surrogate and SC (with parental/surrogate consent)


 Approved by:
 Assistant Commissioner, Early Intervention

Date: 4/09/2012

New York City Early Intervention Program

Policy Title: Referral of Children to Early Intervention who are dually eligible for EI and CPSE	Effective Date: 6/4/2012
Policy Number: 10-B	Supersedes: N/A
Attachment(s): • Consent to Transmit Parent Referral for Initial Evaluation, EIP Evaluations and Program Records Form • Notification of Potential Eligibility to the CPSE Form • Parent Consent for Transition Conference and Invitation to the Committee on Preschool Special Education Chairperson for Transition Conference Form • Parent Referral to the CPSE for Initial Evaluation Form	Regulation/Citation: NYS Regs, 69-4.1(m); 69-4.20(a); 69-4.6(c)(7), 69-4.26(13)

I. POLICY DESCRIPTION:

A child may be referred to the Early Intervention Program (EIP) when also potentially age eligible for services through the Department of Education's Committee on Preschool Special Education (CPSE). It is the responsibility of the Initial Service Coordinator (ISC) to explain dual eligibility and assist the parent in making an informed decision.

This policy applies to any child who:

1. Is two(2) years six(6) months (2.6) or older at the time of referral to the EIP

Note:

- Instructions for navigating NYEIS are denoted in *italics* in the body of this Policy

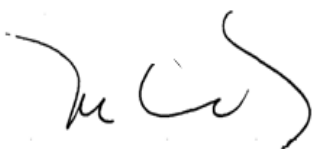
II. PROCEDURE:

Responsible Party	Action
Referral Unit	1. Receives a referral for a child who is 2.6 or older. 2. Reviews the date of birth to determine if the child is 45 days or less from his third (3rd) birthday: a. If a child is 45 days or less from his/her third (3rd) birthday, the EIP does not accept the referral: i. Advises the referral sources that the child should be referred to NYC Department of Education (DOE) for possible services; and ii. Refers the caller to 311 to ask for contact information for the NYC DOE's CPSE. Note: Families can also be given the number of the Early Childhood

	Direction Center (ECDC) in the borough where they reside.						
Initial Service Coordinator (ISC)	1. Receives a referral for a child who is past his/her second (2nd) birthday, and reviews the date of birth to determine if the child is age eligible for both EI and CPSE (dually eligible): a. A child is first potentially eligible for CPSE as follows: <table border="1"> <thead> <tr> <th>Dates of Birth:</th><th>1st potentially age-eligible for CPSE on:</th></tr> </thead> <tbody> <tr> <td>January 1 to June 30</td><td>January 2 of the year child turns three (3)</td></tr> <tr> <td>July 1 to December 31</td><td>July 1 of the year child turns three (3)</td></tr> </tbody> </table> Note: When the child is in foster care, the foster care case planner and birth parent should be involved in transition decisions. 2. Explains dual age-eligibility at the initial meeting with the parent/surrogate, and when appropriate, recommends that s/he refer the child directly to the CPSE instead of proceeding with the EI eligibility process. 3. Offers to assist with a referral to CPSE instead of, OR as well as, proceeding with the EI Multidisciplinary Evaluation (MDE) for eligibility process. 4. Informs parent/surrogate that all EI services, (if found eligible for EI), will end the day before the child's third (3rd) birthday if the child is not referred to, and determined eligible for, the CPSE. 5. Discusses all transition options and the CPSE eligibility determination process. a. If parent/surrogate decides to make a referral to the CPSE and close the EI case: i. Complete the Consent to Transmit Parent Referral for Initial Evaluation - With parental/surrogate consent assist him/her in mailing or faxing referral to the CPSE. - The parent/surrogate may choose to send the referral form to CPSE themselves. ii. Complete a Closure Form and obtain parent/surrogate signature - Refer to the Closure Policy. iii. Submits Closure Form to the Regional Office (RO). b. If the parent/surrogate is undecided about beginning the transition process to the CPSE, s/he must opt-out of (decline) notification and referral by indicating this on: Notification of Potential Eligibility to the CPSE Form, Parent Consent for Transition Conference and Invitation to the Committee on Preschool Special Education Chairperson for Transition Conference Form, Parent Referral to the CPSE for Initial Evaluation Form, and Consent to Transmit Parent Referral for Initial Evaluation, EIP Evaluations and Program Records Form.	Dates of Birth:	1 st potentially age-eligible for CPSE on:	January 1 to June 30	January 2 of the year child turns three (3)	July 1 to December 31	July 1 of the year child turns three (3)
Dates of Birth:	1 st potentially age-eligible for CPSE on:						
January 1 to June 30	January 2 of the year child turns three (3)						
July 1 to December 31	July 1 of the year child turns three (3)						

ISC Cont.	i. Parent/surrogate may opt out of notification and decide to refer at a later date. ii. Parent/surrogate may decide to refer, notify or have a transition conference in any order. iii. None of these activities (Notification, Referral, and Transition Conference) require any of the others to occur. • Assist parent in obtaining a Multidisciplinary Evaluation (MDE) to establish eligibility for EI. • Refer to the Before the IFSP Chapter. Note: • A parent/surrogate can choose to begin the transition to CPSE process at a future time, at which point new forms can be completed. A referral can be made to the CPSE at any time by the parent. • If the parent/surrogate decides to delay referral to CPSE, the SC must inform him/her that the eligibility determination for CPSE may not occur before the child's 3rd birthday resulting in the termination of EI services. 7. If the parent/surrogate has decided to continue with EI and agrees to refer the child to the CPSE: a. Obtains signatures on all applicable transition forms to indicate parent's/surrogate's transition choices including: • Notification of Potential Eligibility to the CPSE Form, • Parent Consent for Transition Conference and Invitation to the Committee on Preschool Special Education Chairperson for Transition Conference, • Parent Referral to the CPSE for Initial Evaluation Form, and • Consent to Transmit Parent Referral for Initial Evaluations, EIP Evaluations, and Program Records to the CPSE Form. b. Assists the parent in obtaining a MDE to establish eligibility for EI: i. Refer to the Before the IFSP Chapter. ii. Discuss advantage of selecting an EIP evaluation site that is also a CPSE approved preschool special education evaluation site so that the child may not need to go through duplicate evaluations. 8. Completes the "Transitions" section ("Transition to CPSE" and "Other Transitions") in NYEIS in preparation for the Initial IFSP meeting: a. <i>Complete the NYEIS "Transitions" Section (found on the left Navigation Pane of the Child Integrated Case)</i> i. <i>Select "Transitions" from the Child Integrated Case navigation menu</i> ii. <i>Click on the "New" button</i> iii. <i>Select "Transition to CPSE," the "Create Transition to CPSE" screen will display</i> • <i>Under the child details heading, the CPSE eligibility dates are prefilled</i>

ISC Cont.	○ <i>Under the Potential Eligibility for CPSE Services heading, complete the line questions:</i> ▪ <i>Is child potentially eligible for CPSE services? If “No” is entered, no further information is required</i> ▪ <i>If “Yes” is entered, continue with the questions below (a– m)</i> ▪ <i>Refer to the NYEIS Transition Cross-walk for detailed descriptions of each question</i> ○ <i>Complete the question under the Eligibility for CPSE Services heading</i> ○ <i>Enter comments in the Comments Box provided</i> ▪ <i>Include how the ACS case planner/ foster care case worker were consulted (if applicable)</i> ○ <i>Select “Save” once the section is complete</i> iv. <i>Select “Other Transitions,” the “Create Other Transitions” Screen will display</i> • <i>Under “Other Transition” details, complete the detail line questions (a-e)</i> • <i>Under the Identify Early Childhood Programs and Support Services needed after Transition heading, check all boxes that apply</i> • <i>Enter the Name of Early Childhood Programs and Support Services Not Listed</i> • <i>Enter comments in the Comments Box provided</i> ○ <i>Include how the ACS case planner/foster care case worker were consulted (if applicable)</i> • <i>Select “Save” once the section is complete</i> Note: • For children who are dually age-eligible, the Initial IFSP will be the Transition Planning meeting or, with parental/surrogate consent, the Transition Conference. • The “Transitions” sections in NYEIS will be reviewed at the Initial IFSP with the EIOD to ensure that parent/surrogate preferences are up to date. • NYEIS will only allow for a case to stay open after a child turns three (3) years old if the “Transitions” section has been completed.


Approved By:
Assistant Commissioner, Early Intervention

Date: 4/09/2012

New York City Early Intervention Program

Policy Title: Developing a Transition Plan for Children who Leave the Early Intervention Program Before Three Years of Age	Effective Date: 6/4/2012
Policy Number: 10-C	Supersedes: N/A
Attachment(s): • Closure Form • Closure Policy	Regulation/Citation: NYS Regulations: 69-4.20 (a)(c); 69-4.26(13)

I. POLICY DESCRIPTION:

A Transition Plan must be developed for all children exiting the New York City Early Intervention Program (NYC EIP). For children thought not to be eligible for programs under Education Law, Section 4410, the Service Coordinator (SC) shall assist the parent in development of a Transition Plan to other appropriate early childhood and supportive services. The SC shall assist the parent in identifying, locating, and accessing such services.

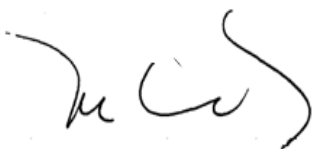
Note:

- Instructions for navigating NYEIS are denoted in *italics* in the body of this Policy

II. PROCEDURE:

Responsible Party	Action
Initial/ Ongoing Service Coordinator (ISC/OSC)	1. Receives notification that the child will be leaving the NYC EIP for any reason (e.g. moving to another state or New York State (NYS) county, parent/surrogate has decided to withdraw the child, child is no longer eligible for EI services, etc). 2. Schedules a face-to-face meeting with the parent/surrogate to develop a Transition Plan out of EI. a. Transition Plan is developed via phone if a face-to-face meeting is not possible: i. If a family is moving to another state or NYS county: • Provides the parent/surrogate with contact numbers for the EI program at that area; and • Notifies the NYC EIP Regional Office (RO) that a transfer in NYEIS to another NYS county is required (with written parental/surrogate consent). ii. If a child is no longer eligible for EI, or the parent/surrogate is declining EI services: • Discuss existing support systems available to the family; and • Assist the parent/surrogate by identifying and providing information on how to access other early childhood services (such as Developmental Monitoring, child care, Early Headstart, etc). b. Completes the “Transitions” section (“<i>Transition to CPSE</i>” and

	the “<i>Other Transitions</i>”) in NYEIS by: i. Select “<i>Transitions</i>” from the <i>Child Integrated Case navigation menu</i> ii. Click on the “<i>New</i>” button iii. Select “<i>Transition to CPSE</i>”, the “<i>Create Transition to CPSE</i>” screen will display • Under the <i>child details heading</i>, the <i>CPSE eligibility dates are prefilled</i> ○ Under the <i>Potential Eligibility for CPSE Services heading</i>, complete the questions. ▪ <i>Is child potentially eligible for CPSE services? If “No” is entered, no further information is required</i> ▪ <i>If “Yes” is entered, continue with questions a– m</i> ▪ Refer to the NYEIS Transition Cross-walk for detailed descriptions of each question ○ Complete the question under the “<i>Eligibility for CPSE Services</i>” heading ○ Enter comments in the <i>Comments Box provided</i> ○ Select “<i>Save</i>” once the section is complete iv. Select “<i>Other Transitions</i>”, the “<i>Create Other Transitions</i>” Screen will display • Under “<i>Other Transition</i>” details, complete the detail line questions (a-e) • Under the <i>Identify Early Childhood Programs and Support Services needed after Transition heading</i>, check all boxes that apply • Enter the <i>Name of Early Childhood Programs and Support Services Not Listed</i> • Enter comments in the <i>Comments Box provided</i>. • Select “<i>Save</i>” once the section is complete c. Completes the Closure Form and obtains parent/surrogate signature: i. Refer to Closure Policy for instances of parental/surrogate non-response. ii. Fax the Closure Form to the RO.
Regional Office (RO)	1. Once processed, Closure Forms are attached to the “<i>IFSP attachment</i>” section of the child’s last IFSP in NYEIS

Approved By: 
Assistant Commissioner, Early Intervention

Date: 4/09/2012

Transition Forms

**NYC EARLY INTERVENTION PROGRAM
NOTIFICATION TO ACS AND FOSTER CARE AGENCY OF TRANSITION
OUT OF EARLY INTERVENTION**

ATTN: Kathleen Hoskins, Esq. Director, Education Unit, Administration for Children's Services (ACS) Fax No: (212) 788 - 5469	
Date:	EI #:
Child's Name: <i>Last</i> <i>First</i>	DOB:
Name of EI Surrogate Parent: <i>Last</i> <i>First</i>	Address:
Service Coordinator (SC):	SC Phone No:
Service Coordination Agency:	SC Fax No:
Foster Care Caseworker:	Foster Care Agency and Fax No:
ACS Case Planner:	ACS Case Planner Phone No:

The above named child will be transitioning out of the Early Intervention Program. His/her first potential eligible date for preschool special education services is _____. His/her last day of eligibility for EI services is the day before his/her third (3rd) birthday unless found eligible for services through the Department of Education's Committee on Preschool Special Education (CPSE).

☐ The surrogate parent has requested a Transition Conference. This meeting will be held on: (date) _____, at (location) _____. Please contact the service coordinator (SC Name) _____ if you will attend, or if you can't attend in person but would like to participate by conference call.

☐ A transition plan will be developed at the Individualized Family service Plan meeting on: (date) _____ at (location) _____. Please contact (SC Name) _____ to advise if you will/will not be able to attend.

☐ The foster/EI surrogate parent has decided to refer the child to the CPSE.

☐ The foster/EI surrogate parent has decided not to refer the child to the CPSE.

If you have any questions, do not hesitate to contact me at the above number.

Note: SC must send this form to both ACS and Foster Care Agency

INSTRUCTIONS FOR COMPLETION

NOTIFICATION TO ACS & FOSTER CARE AGENCY OF TRANSITION OUT OF EARLY INTERVENTION

The Service Coordinator (SC) completes this form and faxes a copy to both ACS (Administration for Children's Services) and the Foster Care (FC) Agency. The original is kept in the child's file at the service coordination agency. The name and number for the ACS contact is provided at the top of the form.

Note: This form should not be filled out if the child/family is involved in Preventative Services.

1. **Date** – The date the form is completed.
2. **Child's Name, EI #, DOB** – Write this information as it appears on other forms.
3. **Name of Foster/Surrogate Parent, Address** – The full name and address of the foster or surrogate parent.
4. **SC, Phone No.** – Name and phone number of current SC.
5. **Service Coordination Agency, Fax No.** - Name and fax number of the service coordination agency.
6. **FC Caseworker, Agency, Fax No.** – Name of the FC caseworker, agency name and fax number.
7. **ACS Case Planner, Phone No.** – Name of ACS case planner, and phone number,
8. Fill in the date the child is first potentially eligible for preschool special education services.
 - If the DOB is between **January 1 and June 30**, first eligible date is **January 2** of the year the child turns three (3).
 - If the DOB is between **July 1 and December 31**, first eligible date is **July 1** of the year the child turns three (3).
9. Check the box if the foster/surrogate has requested a Transition Conference and indicate *when and where* the conference will take place.
10. Check the box if the transition plan will be developed at the Individualized Family Service Plan meeting and indicate *when and where* the IFSP meeting will take place.
11. Check this box if the foster/surrogate parent has decided to refer the child to the CPSE.
12. Check this box if the foster/surrogate parent has decided not to refer the child to the CPSE.

This form must be attached to the child's most current IFSP in NYEIS.

NEW YORK CITY EARLY INTERVENTION PROGRAM NOTIFICATION OF POTENTIAL ELIGIBILITY TO THE CPSE

Child/Family Information	Early Intervention Regional Office Information
Name: (Last)	Regional Office: ☐ BK ☐ BX ☐ NY ☐ Q ☐ SI
(First)	Phone No:
DOB: Fax	No:
EI Referral Date:	CPSE Information
EI #:	CPSE Chair/Administrator:
☐ Parent/ ☐ EI Surrogate: (Last) School	District:
(First)	Phone No:
Home Address:	Fax No:
Phone No:	

The Early Intervention Program (EIP) under the Federal Individuals with Disabilities Education Act (IDEA) is required to release the following contact information to your local school district:

- **Parent's name**
- **Child's name**
- **Address**
- **Phone Number and**
- **Date of Birth**

This information is sent to notify your local school district of your child's potential eligibility for preschool special education programs and services when your child turns three (3) years of age. This information helps your school district prepare for your child's transition to preschool special education programs and services.

The EIP provides written notice to the Committee on Preschool Special Education (CPSE) of the local school district where your child lives at least 120 days (when your child is 24-30 months) before your child is first potentially eligible for services under section 4410 of Education Law..

A parent may opt-out (object) to the written notification and not have this information sent to the CPSE.

- A. ☐ I understand the notification requirement and that I have 30 calendar days from the day that I signed this form to opt-out of the written notification to the CPSE by the Early Intervention Program. If I do not contact my Service Coordinator (SC) in writing or by phone within 30 calendar days of today's date, written notification will be sent to my CPSE.

Or

- B. ☐ I understand the notification requirement and choose to opt-out today and not have written notification sent to my CPSE.

Or

- C. ☐ I understand the notification requirement and choose to have CPSE notified of my child's potential eligibility thereby waiving the 30 calendar day opt-out period.

Parent/Surrogate Signature: _____ Date: _____

For Regional Office Use:

☐ Parent/surrogate Objected to the written notification to the CPSE. EIP received oral/written objection on (Date): _____

☐ No parent/surrogate objection received within thirty calendar days. (Date): _____

INSTRUCTIONS FOR COMPLETION
NOTIFICATION OF POTENTIAL ELIGIBILITY TO THE CPSE

Prior to the IFSP meeting closest to the child's second (2nd) birthday, the Service Coordinator (SC) must meet with the parent/surrogate parent to explain the transition process. At that meeting, the SC must explain to the parent/surrogate the municipality's responsibility to notify the CPSE of the child's potential eligibility. This form must be completed at that meeting.

1. Child/Family Information:
 - a. Last name of the child
 - b. First name of the child
 - c. Child's date of birth
 - d. Early Intervention (EI) Referral Date: Enter the date that the child was referred to EI
 - e. EI #: Enter the ID number of the child
 - f. Parent/EI Surrogate Parent: Check the appropriate box to indicate parent/surrogate. Enter the name of the person who is authorized in EI to sign consents. This may be the biological parent, the foster parent (if assigned as the surrogate), or another person who has EI surrogacy designated
 - g. Home Address: Enter the home address of the child
 - h. Phone Number: Enter the phone number(s) where the parent/surrogate parent can be reached
2. Early Intervention Regional Office (RO) Information
 - a. Check the box corresponding to the RO of child's residence
 - b. Enter the phone number of the RO
 - c. Enter the fax number of the RO
3. CPSE Information:
 - a. Write the name of the CPSE Chair/Administrator of the child's school district
 - b. School District: Write the number of the school district of child's residence
 - c. Phone number: Write the phone number of the above referenced administrator
 - d. Fax number: Write the fax number of the above referenced administrator
4. Explain the parents' rights to opt-out of (object to) notification to the CPSE of the child's potential eligibility. Have the parent/surrogate check whether:
 - a. They are unsure whether they want to have their contact information sent to the CPSE. Ensure that they understand that if they do not opt-out within 30 days of this meeting, the EIP will send this information to the CPSE; **or**
 - b. They are opting-out of notification to the CPSE; **or**
 - c. They choose to have the EIP notify the CPSE of the child's potential eligibility (parent waives the 30 day opt-out period.
5. The parent/surrogate must sign the form.
6. If the parent/surrogate chooses box A and, within 30 days declines notification to the CPSE, the SC must immediately notify the responsible Early Intervention Official Designee (EIOD) of their decision.
7. This form must be faxed to the EIOD by the SC within 48 hours of obtaining signature.

Activity Timeline							
Notification	120 days prior to the child’s first potential transition date from EI to CPSE.						
	<table><tr><th>Dates of Birth:</th><th>Notification Must Occur By:</th></tr><tr><td>January 1 to June 30</td><td>September 1 of the year before the child turns three (3)</td></tr><tr><td>July 1 to December 31</td><td>March 1 of the year the child turns three(3)</td></tr></table>	Dates of Birth:	Notification Must Occur By:	January 1 to June 30	September 1 of the year before the child turns three (3)	July 1 to December 31	March 1 of the year the child turns three(3)
	Dates of Birth:	Notification Must Occur By:					
	January 1 to June 30	September 1 of the year before the child turns three (3)					
July 1 to December 31	March 1 of the year the child turns three(3)						

**NYC EARLY INTERVENTION PROGRAM
PARENT CONSENT FOR TRANSITION CONFERENCE AND INVITATION TO THE COMMITTEE
ON PRESCHOOL SPECIAL EDUCATION (CPSE) CHAIRPERSON**

Child/Family Information	Service Coordination (SC) Agency information
Name: (Last)	Agency:
(First)	Phone No:
DOB:	EI SC Name:
EI Referral Date:	Early Intervention Regional Office Information
EI #:	Regional Office: ☐ BK ☐ BX ☐ NY ☐ Q ☐ SI
☐ Parent/ ☐ EI Surrogate: (Last)	Phone No:
(First)	Fax #:
Home Address:	CPSE Information
Phone No:	CPSE Chair/Administrator:
School	District:
	Phone No:
Fax	No:

I understand that to ensure my child continues to receive Early Intervention (EI) services on and after his/her third (3rd) birthday, s/he must be referred to, evaluated by, found eligible, and have a meeting with the Committee on Preschool Special Education (CPSE) for preschool special education services by the CPSE of my local school district (the district where my child lives) before his/her third (3rd) birthday.

I understand that as of my child's third (3rd) birthday, my child will no longer be eligible for the New York City Early Intervention Program (EIP) unless s/he has been found eligible for preschool special education programs and services. If my child is not found eligible before my child's third (3rd) birthday, EI services will end the day before his/her third (3rd) birthday.

Consent to Convene a Transition Conference

The Transition Conference is an opportunity to provide parents and caregivers information to assist families with making an informed decision about the programs and services available through the Committee on Preschool Special Education (CPSE) System.

At this meeting the referral to the CPSE, and available programs and services are discussed. A transition plan is also developed.

☐ **I want the NYC EIP to arrange a Transition Conference.** The Early Intervention Official Designee (EIOD), my Service Coordinator (SC), and chairperson of the CPSE or his/her designee will be invited. I also consent to the following agency(ies) or individual(s) attending: _____

☐ **I do NOT want to have the NYC EIP arrange a Transition Conference.** I know that my child can be referred to CPSE without a conference. I understand that to ensure my child continues to receive Early Intervention services on and after his/her third (3rd) birthday, s/he must be referred to, evaluated by, and, found eligible for preschool special education services by the CPSE.

Parent Name

Parent Signature

Date

CPSE Chairperson: This notice serves as an invitation to the CPSE for the Early Intervention Transition Conference

The Transition Conference will be held on:

Date: _____

Time: _____

Location: _____

Please fax this form back to:

At fax #: _____

CPSE Chairperson, please indicate your availability below:

You will participate by: ☐ Phone ☐ In Person ☐ I am unable to attend

Comments:

INSTRUCTIONS FOR COMPLETION - CONSENT FOR TRANSITION CONFERENCE

The parent signs this form to indicate his/her desire and consent to have a transition conference arranged for the child or not to have a transition conference. The Service Coordinator (SC) completes the information in the box at the top of the page.

1. Child Family Information:
 - a. Last name of the child
 - b. First name of the child
 - c. Child's date of birth
 - d. Early Intervention (EI) Referral Date: Enter the date that the child was referred to EI
 - e. EI #: Enter the ID number of the child
 - f. Parent/EI surrogate parent: Enter the name of the person who is authorized in EI to sign consents. This may be the biological parent, the foster parent (if assigned as the surrogate), or another person who has EI surrogacy.
 - g. Home Address: Enter the home address of the child.
 - h. Phone Number: Enter the phone number(s) where the parent/surrogate parent can be reached.
2. Service Coordination (SC) Agency Information:
 - a. Enter the Service Coordination agency name
 - b. Enter the name of the service coordinator
3. Early Intervention Regional Office (RO) Information
 - a. Check the box corresponding to the RO of child's residence
 - b. Enter the phone number of the RO
 - c. Enter the fax number of the RO
4. CPSE Information:
 - a. Write the name of the CPSE Chair/Administrator of the child's school district
 - b. School District: Write the number of the school district of child's residence
 - c. Phone number: Write the phone number of the above-referenced administrator
 - d. Fax number: Write the fax number of the above referenced administrator

The SC or EI/OD meeting with the parent/surrogate to discuss convening the transition conference and to complete the form must be sure he/she reads and understands the information in bold at the center of the form.

5. **Consent to Convene a Transition Conference** – The parent or surrogate parent must check the first or second box indicating his/her desire to have a Transition Conference arranged. If the parent/surrogate checks the second box, the EI/OD/SC must explain the terms under which the child might continue to receive EI services past age three (3).
6. **Signature** – After checking the appropriate boxes, the parent/surrogate prints his/her name, signs and dates the form.
7. After receiving confirmation of the date of the Transition Conference from the (RO) and the CPSE Chair/Administrator or designee, the SC will:
 - a. Send an invitation by faxing this form to the CPSE Chair/Administrator.
 - b. Sends the **Parent Consent for Transition Conference and Invitation to the CPSE Chairperson for Transition Conference Form** to the RO with the **IFSP Meeting Request and Confirmation Form**
 - c. Retain original in the child's file and bring a copy to the Transition Conference.

If the parent/surrogate declines a Transition Conference, this form must be attached to the child's most current IFSP in NYEIS.

**NYC EARLY INTERVENTION PROGRAM
PARENT REFERRAL TO THE COMMITTEE ON PRESCHOOL SPECIAL EDUCATION (CPSE)
FOR INITIAL EVALUATION**

Child/Family Information	Early Intervention Regional Office Information
Name: (Last)	Regional Office: ☐ BK ☐ BX ☐ NY ☐ Q ☐ SI
(First)	Phone No:
DOB: Fax	No:
EI Referral Date:	CPSE Information
EI #:	CPSE Chair/Administrator:
Parent/EI Surrogate Parent: (Last)	School District:
(First)	Phone No:
Home Address:	Fax No:
Phone No:	
Parent/Surrogate Parent Preferred Written Language:	
Check all that apply: ☐ Child has EI Surrogate assigned ☐ Child is involved in the foster care system	

- ☐ **A.** I do not want to refer my child to the CPSE at this time. I understand that it is my responsibility to refer my child. I also understand that for my child to continue to receive Early Intervention (EI) services s/he must be: a) referred to; b) evaluated by; and c) found eligible for services by CPSE; and d) a meeting must be held with the CPSE before my child's third (3rd) birthday. If all of these actions do not happen, Early Intervention services will end the day before his/her third birthday. I understand if I choose to refer my child at a later date, eligibility may not be determined in time for my child to remain in Early Intervention past the third birthday.
- ☐ **B.** I am referring my child, _____, to the CPSE of my school district to determine whether he/she is eligible for preschool special education programs and services.
- ☐ I want the Service Coordinator to send this form to the CPSE.
☐ I will send this form to the CPSE.
☐ My child's Early Intervention evaluations and documents are attached to this referral form.
- ☐ **Be advised, that this is a late referral (referral is being made when the child is 2 years 6 months or older)**
- ☐ **C.** I want the CPSE Chair/Administrator to invite my EI SC, listed below, to the meeting with the CPSE that determines eligibility.

Service Coordinator Name:	Phone No:
Service Coordination Agency:	
Address:	
Service Coordinator's Fax No:	

Parent Name

Parent Signature

Date

**INSTRUCTIONS FOR COMPLETION
PARENT REFERRAL TO THE CPSE FOR INITIAL EVALUATION**

The parent/surrogate may use this form to refer his/her child to the CPSE in the child's school district. The Service Coordinator completes the information in the box at the top of the page.

1. Child/Family Information:
 - a. Last name of the child
 - b. First name of the child
 - c. Child's date of birth
 - d. Early Intervention (EI) Referral Date: Enter the date that the child was referred to Early Intervention
 - e. EI #: Enter the ID number of the child
 - f. Parent/EI Surrogate Parent: Enter the name of the person who is authorized in EI to sign consents. This may be the biological parent, the foster parent (if assigned as the surrogate), or another person who has EI surrogacy
 - g. Home Address: Enter the home address of the child.
 - h. Phone Number: Enter the phone number(s) where the parent/surrogate parent can be reached.
 - i. Parent/Surrogate Parent Preferred Written Language – The language in which the parent prefers to get written material from the CPSE
 - j. Indicate if the child has an EI surrogate assigned or if they are involved in the foster care system
2. Early Intervention Regional Office (RO) Information:
 - a. Check the box corresponding to the RO of child's residence
 - b. Enter the phone number of the RO
 - c. Enter the fax number of the RO
3. CPSE Information:
 - a. Write the name of the CPSE chair/Administrator of the child's school district
 - b. School District: Write the number of the school district of child's residence
 - c. Phone number: Write the phone number of the above-referenced administrator
 - d. Fax number: Write the fax number of the above-referenced administrator

The parent/surrogate must indicate his/her CPSE referral preferences by checking the appropriate box:

- A. Check box **A** if the parent/surrogate does not want to refer his/her child to the CPSE at this time.
Do not send this form to the CPSE if the parent declines referral.

Note: When the SC or Early Intervention Official Designee (EIOD) meets with the parent/surrogate to discuss the transition process and possible referral to the CPSE, they must be sure that the parent/surrogate reads and understands the information under checkbox A. The parent/surrogate must be informed that s/he can refer the child to the CPSE at a later time. **All parents/surrogates must be informed that EI services will end if the child is not found eligible for CPSE services before the third (3rd) birthday.**

- B. Check box **B** if the parent/surrogate wants to refer his/her child to the CPSE in the child's school district. The parent/surrogate can also check the boxes below to indicate who will send the referral, and if EI evaluations and other records are attached.
- C. Check box **C** if the parent/surrogate would like to have the SC invited to the CPSE meeting.
- Indicate the name, phone and fax number, and agency of the SC

Signature – After checking the appropriate boxes, the parent/surrogate prints his/her name, signs and dates the form.

This form must be attached to the child's most current IFSP in NYEIS.

NYC EARLY INTERVENTION PROGRAM

CONSENT FOR TRANSMITTAL OF PARENT REFERRAL FOR INITIAL EVALUATIONS, AND EIP RECORDS TO THE CPSE/CPSE EVALUATION SITE

Child/Family Information	Service Coordination (SC) Agency information
Name: (Last)	Agency Name:
(First)	EI SC Name:
DOB:	Early Intervention Regional Office Information
EI Referral Date:	Regional Office: ☐ BK ☐ BX ☐ NY ☐ Q ☐ SI
EI #:	Phone No:
Parent/EI Surrogate Parent: (Last)	Fax No:
(First)	CPSE Information
Home Address:	CPSE Chair/Administrator:
Phone No:	School District:
	Phone No:
Fax	No:

I understand that the Committee on Preschool Special Education (CPSE)/CPSE evaluation site may use evaluation reports and other NYC Early Intervention Program (EIP) records, as part of the CPSE evaluation process. I understand it is my choice to decide what records to share, if any.

Consent to Transmit Parent Referral for Initial Evaluations, EIP Evaluations, and Program Records to the CPSE

[] I give my consent to the NYC EIP to transmit the following correspondence and records for my child to the CPSE of the school district in which my child resides to assist in determining my child's eligibility for preschool special education services.

() Referral () Evaluation(s) () Current IFSP () Progress notes () Other _____

[] I give my consent to the NYC EIP to transmit the following correspondence and records for my child to the CPSE evaluation site to assist in determining my child's eligibility for preschool special education services.

() Referral () Evaluation(s) () Current IFSP () Progress notes () Other _____

[] I do NOT give my consent to the NYC Early Intervention Program to transmit my Referral, EIP records and reports to the CPSE to the school district in which my child resides to assist the CPSE in determining my child's eligibility for preschool special services.

[] I do NOT give my consent to the NYC Early Intervention Program to transmit my Referral, EIP records and reports to the CPSE evaluation site

I understand that in order for my child to continue to receive Early Intervention (EI) services s/he must be: a) referred to; b) evaluated by; and c) found eligible for services by CPSE; and d) a meeting must be held with the CPSE before my child's third (3rd) birthday. If this does not occur, EI services will end the day before his/her third (3rd) birthday.

Parent Name

Parent Signature

Date

INSTRUCTIONS FOR COMPLETION
CONSENT FOR TRANSMITTAL OF EIP EVALUATIONS AND RECORDS TO THE CPSE/CPSE
EVALUATION SITE

The parent signs this form to indicate his/her consent for the Early Intervention Program to send copies of the child's records to the CPSE/CPSE evaluation site in the child's school district. If the parent consents to sending records, s/he will indicate what records are to be sent. The parent can also indicate that s/he does not give consent to send records. The Service Coordinator (SC) completes the information in the box at the top of the page.

1. Child Family Information:
 - a. Enter the last name of the child
 - b. Enter the first name of the child
 - c. Write the child's date of birth
 - d. Early Intervention (EI) Referral Date: Enter the date that the child was referred to EI
 - e. EI #: Enter the ID number of the child
 - f. Parent/EI Surrogate Parent: Enter the name of the person who is authorized in EI to sign consents. This may be the biological parent, the foster parent (if assigned as the surrogate), or another person who has EI surrogacy.
 - g. Home Address: Enter the home address of the child.
 - h. Phone Number: Enter the phone number(s) where the parent/surrogate parent can be reached.
2. Service Coordination Agency Information:
 - a. Enter the Service Coordination agency name
 - b. Enter the name of the service coordinator(SC)
3. EI RO Information
 - a. Check the box corresponding to the RO of child's residence
 - b. Enter the phone number of the RO
 - c. Enter the fax number of the RO
4. CPSE Information:
 - a. Write the name of the CPSE Chair/Administrator of the child's school district
 - b. School District: Write the number of the school district of child's residence
 - c. Phone number: Write the phone number of the above referenced administrator
 - d. Fax number: Write the fax number of the above referenced administrator
5. **Consent to Transmit Records** – The parent/surrogate should check the appropriate box to indicate whether s/he gives consent or does not give consent to the EIP to send copies of EI reports to the CPSE/CPSE evaluation site in the child's school district. If the parent/surrogate consents to have records sent, s/he will check, as appropriate, which records can be sent.
6. **Signature** – After checking the appropriate boxes, the parent(s)/surrogate(s) prints his/her name, signs and dates the form.

This form must be attached to the child's most current IFSP in NYEIS.

NYC EARLY INTERVENTION PROGRAM

PARENT TRANSITION NOTICE INFORMATION

You have indicated that you do not want to refer your child to the Committee on Preschool Special Education (CPSE) at this time.

Please read this notice carefully. It contains important information for your child.

Your child's Early Intervention (EI) services will end *the day before your child turns three(3) years old* if:

- You choose not to refer your child to the CPSE;
- Your child is not evaluated by the CPSE before s/he turns three (3);
- Your meeting with the CPSE does not occur before your child turns three(3);
- Your child is evaluated and found not eligible for services by the CPSE.

Only the CPSE can decide if your child is eligible for preschool special education.

The NYC Early Intervention Program is required by law to *notify* the CPSE that your child may be eligible preschool special education programs and services. You must let your Early Intervention Official Designee (EIOD) and Service Coordinator (SC) know if you do not want the CPSE to be notified (Opt-Out of Notification).

Your SC can help you with the following steps:

- Meeting, if you choose to do so, with your EIOD, SC, and CPSE Chair or designee;
- Developing a plan to transition out of (leave) EI;
- Referring your child to the CPSE;
- Having your child evaluated by the CPSE; and
- Meeting with the CPSE.

If your child is found eligible for special education services s/he can stay in EI or go to CPSE as follows:

- S/he can stay in EI until August 31 of the year s/he turns three (3), if born between January 1 and August 31 and start preschool special education services in September;
- S/he can stay in EI until December 31 of the year s/he turns three (3) if born between September 1 and December 31 and start preschool special education services in January.

OR

- S/he can begin CPSE as early as January 2 of the year s/he turns three (3) if born between January 1 and June 30;
- S/he can begin CPSE as early as July 1 of the year s/he turns three (3) if born between July 1 and December 31.

Your SC can answer any questions you may have.

NYEIS Transition Crosswalk

Transition information is captured in two (2) separate areas in NYEIS:

1. The “Transition” section of the IFSP – Refer to the Transition section of the **NYEIS IFSP Crosswalk** for detailed instructions for completion
 - The IFSP section on Transition must be completed by the EIOD at the IFSP meeting closest to the child’s second (2nd) birthday and updated by either the EIOD or Service Coordinator (SC) at each IFSP meeting after that.
2. The “Transitions” section in NYEIS – The section is *found on the left Navigation Pane of the Child Integrated Case. The “Transitions” section is separated into two parts:*
 - *Transition to CPSE*
 - *Other Transitions*
 - Both parts of the “Transitions” section must be completed by the SC in preparation for the IFSP closest to the child’s second (2nd) birthday.
 - i. The “Transitions” section must also be completed or updated by the SC if the child leaves Early Intervention prior to the third (3rd) birthday.

The NYEIS “Transitions” sections replace the transition plan on pages 7A and 7B of the old paper IFSP form.

NYEIS Transition Crosswalk – Transition to CPSE

2/2012

**NYEIS Sandbox**
(Practice use only - no real live data)

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navigation

recent items

- DT-John Smith Smith - 300915

Create CPSE Transition: NYEIS Integrated Case - 18451

SaveCancel

Child Details

Child's Name:	DT-John Smith Smith	Date of Birth:	12/11/2009
Date Child 1st Potentially Eligible for CPSE:	7/1/2012		
Notification of Potential Eligibility Due to CPSE by:	3/1/2012		
Transition Conference Must be Held by:	4/1/2012		
If NOT CPSE Eligible - Last EI Eligible Date:	12/10/2012		
If CPSE Eligible - Last EI Eligible Date:	1/1/2013		

Potential Eligibility for CPSE Services

Is child potentially eligible for CPSE services?:

1

The following fields are mandatory if the child is potentially eligible for CPSE services. If the child is not potentially eligible, none of the following fields are allowed to contain data.

Did parent opt out of notification of potential eligibility to the school district (CPSE)?:	2
Was notification of child's potential eligibility sent to the school district?:	3
If yes, date notification sent:	4
Was a referral made to the school district (CPSE)?:	5
If yes, enter the date of referral:	6
Did parent consent to transmit information to CPSE (e.g. Evaluations, IFSPs, etc.)?:	7
If parent consented, enter the date transmitted:	8
Did the parent consent or decline an EI transition conference?:	9
Was an EI transition conference held?:	10
If yes, enter the date of the EI transition conference:	11
Was an initial CPSE meeting held?:	12
If yes, enter the date of the initial CPSE meeting:	13

NYEIS Transition Crosswalk – Transition to CPSE Cont.

2/2012

Was the EI transition conference combined with the CPSE meeting and were all the required participants present so that meeting met EI criteria for a transition conference?:

14

Eligibility for CPSE Services

Was the child determined eligible by the CPSE?:

15

If yes, planned start date for the start of CPSE services:

16

If 2nd CPSE meeting occurred while child still in EI, enter 2nd date (enter comments below if needed):

17

Enter the Date that EI services will end for this child:

18

Comments 19

Save

Close

NYEIS “Transitions” Section - “Transition to CPSE”

Note: NYEIS navigation instructions appear in *italics*

- *Select “Transitions” from the “Child Integrated Case” navigation menu.*
- *Click on the “New” button.*
- *Select “Transition to CP SE,” the “Create Transition to CPSE” screen will display.*

Child Details - Information in this section is automatically populated by NYEIS. The information is specific to each child. The SC should refer to these dates for all children on his/her caseload frequently to ensure that all transition steps occur no later than mandated by NYS Regulations (Sec. 69 4.11(xiii); Sec. 69 4.20)

Potential Eligibility for CPSE Services

1. **Is child potentially eligible for CPSE services?** (mandatory) – Select yes or no
 - a. Select yes unless the parent/surrogate has refused to pursue CPSE.
 - b. “Yes” should also be chosen when the parent/surrogate is currently unsure about making a referral.
 - c. If the parent/surrogate refuses to pursue CPSE, the SC must ensure that:
 - i. There is a hard copy of the relevant forms (with the parent/surrogate signature) on file.
 - Refer to the **Transitioning Out of Early Intervention Policy**.
- *If “Yes” is indicated for the “Is child potentially eligible for CPSE services” question, the remaining fields in the “Potential Eligibility for CPSE Services” section must be completed*
2. **Did parent opt out of notification of potential eligibility to the school district?** – Select yes or no
 - a. If yes is selected, the **Notification of Potential Eligibility to the CPSE Form** with the parent’s/surrogate’s signature must be placed in the child’s file.
 - b. The **Notification of Potential Eligibility to the CPSE Form** must also be faxed to the Regional Office (RO) within two (2) business days of obtaining signature.
 - i. Refer to the **Transitioning Out of Early Intervention Policy**.

Note:

- The parent/surrogate has 30 days from the date that notification is discussed to decide whether to opt-out of (decline) notification. If the parent/surrogate does not opt-out after 30 days, the school district **will be** notified of the potential eligibility of the child.
3. **Was notification of child’s potential eligibility sent to the school district?** - Select yes or no
 - a. If the parent/surrogate did not opt-out of notification this field must be changed to “yes”.
 - i. Notification will be sent in mass by the Early Intervention Program (EIP) to the New York City Department of Education (NYCDOE).

4. **If yes, date notification sent** – The EIOD will enter the date that the notification was sent.
5. **Was a referral made to the school district?** - Select yes or no
 - a. A copy of the **Parent Referral to the Committee on Preschool Special Education (CPSE) for Initial Evaluation Form** must be available in the child's file.
 - b. The **Parent Referral to the Committee on Preschool Special Education (CPSE) for Initial Evaluation Form** reflecting the parent's/surrogate's choice must be attached to the child's most current IFSP in NYEIS.
 - i. Refer to the **Transitioning Out of Early Intervention Policy**.
6. **If yes, enter the date of referral** – Enter the date that the referral was made.
7. **Did parent consent to transmit information to CPSE?** - Select yes or no
 - a. A copy of the **Consent to Transmit Parent Referral for Initial Evaluations, EIP Evaluations, and Program Records to the CPSE Form** must be available in the child's file.
 - b. The **Consent to Transmit Parent Referral for Initial Evaluations, EIP Evaluations, and Program Records to the CPSE** form reflecting the parent's/surrogate's choice must be attached to the child's most current IFSP in NYEIS.
8. **If yes, enter the date transmitted** – Enter the date that the information was sent to the CPSE.
9. **Did the parent consent or decline an EI transition conference?** - Select yes or no
 - a. A copy of **Parent Consent for Transition Conference and Invitation to the Committee on Preschool Special Education Chairperson for Transition Conference Form** must be available in the child's file.
 - b. If the parent/surrogate consented to the Transition Conference
 - i. The **Parent Consent for Transition Conference and Invitation to the Committee on Preschool Special Education Chairperson for Transition Conference Form** must be faxed to the RO with the **IFSP Request and Confirmation** form within one (1) business day of receiving parent/surrogate consent to begin scheduling the Transition Conference.
 - c. If the parent/surrogate declines the Transition Conference:
 - i. The **Parent Consent for Transition Conference and Invitation to the Committee on Preschool Special Education Chairperson for Transition Conference Form** reflecting the parent's/surrogates's declination must be attached to the child's most current IFSP in NYEIS.
 - ii. Refer to the **Transitioning Out of Early Intervention Policy** for additional information regarding Transition Conferences.
10. **Was a transition conference held?** – Select yes or no
11. **If yes, enter the date of the EI transition conference:** - Enter the date of the Transition Conference.
12. **Was an initial CPSE meeting held?** Select yes or no to indicate if the Individualized Education Plan (IEP) meeting was held.

13. **If yes, enter the date of the initial CPSE meeting:** - Enter the date of the IEP meeting.
14. **Was the EI transition conference combined with the CPSE meeting and were all the required participants present so that meeting met EI criteria for a transition conference?** - Select yes or no to indicate if the EIOD was present at the IEP meeting.

Eligibility For CPSE Services

15. **Was the child determined eligible by the CPSE?** - Select yes or no
16. **If yes, planned start date for the start of CPSE services-** Enter the date from the information found on the IEP.
17. **If 2nd CPSE meeting occurred while child still in EI, enter 2nd date (enter comments below if needed)** – Enter the data of the reconvene CPSE meeting.
 - a. A CPSE Administrator may determine that another meeting should take place after the initial IEP meeting to reestablish eligibility, update an IEP, or discuss services.
18. **Enter the Date that EI services will end for this child** – Enter the last date of EI services.
 - a. If the child is not eligible for the CPSE, **OR** eligible for the CPSE but the family chooses to stay in the EIP until the child’s third birthday:
 - i. Enter the date that appears under the “Child Details” section of the Create CPSE Transition screen under “If NOT CPSE Eligible - Last EI Eligible Date”.
 - b. If the child is eligible for the CPSE and the family chooses to stay in the EIP until the child’s mandatory age out date:
 - i. Enter the date that appears under the “Child Details” section of the Create CPSE Transition screen under “If CPSE Eligible - Last EI Eligible Date”.
 - c. If the parent(s)/surrogate chooses to immediately accept preschool special education services before the child’s third birthday.
 - i. Enter the date that appears on the **Closure Form**.
19. **Comments** - Enter any comments regarding transition such as:
 - a. CPSE administrator’s attendance at Transition Conference including participation by phone, or if they are unavailable to participate.
 - b. Reason(s) for late occurrence of any transition activity.
 - c. When known, reason(s) for parent’s/surrogate’s refusal to notify or refer child to CPSE,
 - d. If the child’s updated IFSP and/or progress reports were shared (with written parental consent) with the CPSE in the case of reconvene CPSE meetings
 - e. Other CPSE transition issues.

➤ **Select “Save”**

NYEIS Transition Crosswalk – Other Transition

2/2012

**NYEIS Sandbox:**
(Practice use only - no real live data)

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navigation

recent items

- DT-John Smith Smith - 300915

Create Other Transition: NYEIS Integrated Case - 18451

[Save](#) [Cancel](#)

Child Details

Child's Name: DT-John Smith Smith Date of Birth: 12/11/2009

Transition Details

Last Date for EI Services:

Date Parent Informed of Last Date for EI Services:

Transition Plan discussed with Parent?:

If Yes, Please Enter Date Discussed:

Early Childhood Programs and Support Services needed after Transition?:

Identify Early Childhood Programs and Support Services needed after Transition

☐	Description
☐	Headstart
☐	Typically Developing Preschool Program
☐	Day Care Center
☐	Service under Private Insurance
☐	Office of Mental Retardation and Developmental Disabilities (OMRDD)
☐	Office of Mental Health (OMH)
☐	Children with Special Health Care Needs (CSHCN)
☐	Physically Handicapped Childrens Program (PHCP)
☐	Private Child Care/Home Day Care
☐	EI At-Risk/Child Find Tracking
☐	NYS Commission for the Blind and Visually Impaired
☐	Other (Manually Enter below)
☐	No Formal Referral/Discharge Discussed

Name of Early Childhood Programs and Support Services Not Listed:

Comments/Discussion related to locating and accessing above services

[Save](#) [Cancel](#)

NYEIS Transitions Section - Other Transitions

- *Select “Transitions” from the “Child Integrated Case” navigation menu.*
- *Click on the “New” button.*
- *Under “Transition Options” Select “Other Transition,” the “Create Other Transition” screen will display.*

Child Details - Information in this section of NYEIS will be automatically generated by NYEIS.

Transition Details

1. **Last date for EI services - Enter** the last date of EI services.
 - a. If the child is not eligible for the CPSE, **OR** eligible for the CPSE but the family chooses to stay in the EIP until the child’s third (3rd) birthday:
 - i. Enter the date that appears under the “Child Details” section of the “Create CPSE Transition” screen under “If NOT “CPSE Eligible - Last EI Eligible Date”.
 - b. If the child is eligible for the CPSE and the family chooses to stay in the EIP until the child’s mandatory age-out date:
 - i. Enter the date that appears under the “Child Details” section of the “Create CPSE Transition” screen under “If CPSE Eligible - Last EI Eligible Date”.
 - c. If the parent(s)/surrogate chooses to immediately accept preschool special education services before the child’s third (3rd) birthday **or leave the EIP for any other reason.**
 - i. Enter the date that appears on the **Closure Form**.
2. **Date Parent informed of last date for EI services** – Enter the date of the transition discussion.
3. **Transition Plan discussed with parent** – Select yes or no
4. **If yes, please enter date discussed** – Enter the date that the Transition Plan was developed.
5. **Early childhood programs and support services needed after transition?** – Select yes or no
6. **Identify Early Childhood Programs and Support Services needed after Transition-** Choose all applicable options.
7. **Name of Early Childhood Programs and Support Services not listed** – Enter any applicable service.
8. **Comments/Discussion related to locating and accessing above services** - Enter a summary of any discussions. Indicate whether and what type of assistance the parent/surrogate is requesting from the SC. If child is moving to another state or New York State county, indicate how the SC is assisting the parent/surrogate in locating services.

- **Select “Save”**

Chapter 11: Procedural Safeguards

New York City Early Intervention Program

Policy Title: Procedural Safeguards Related to Early Intervention Records	Effective Date: 2/28/2011
Policy Number: 11-A	Supersedes: N/A
Attachments: • Consent to Obtain/Release Information Form	Regulation/Citation: 10 NYCRR69-4.17(c) – (e)

I. POLICY DESCRIPTION:

All Early Intervention (EI) staff and provider agencies are subject to requirements pertaining to Early Intervention records in accordance with each of the following:

- Requirements relating to confidentiality/disclosure, access to records, and amendment of records contained in the Early Intervention Program regulations in 10 NYCRR 69-4.17 (c) – (e) under the heading **Procedural Safeguards**. The program regulations require each municipality and all Early Intervention providers to adopt procedures that meet the requirements in 34 CFR Part 99. (FERPA) and sections 34 CFR sections 300.560 through 300.576, with modifications specified in 34 CFR 303.5(b) to preserve the confidentiality of records on eligible children participating in the Early Intervention Program.
- Federal Family Educational Rights and Privacy Act (FERPA) and regulations (34 CFR Part 99). The Family Educational Rights and Privacy Act (FERPA) is the federal law that protects the privacy of student education records. FERPA protections apply to student special education records under IDEA and to Early Intervention records under Part C of IDEA. The State, municipalities and EI providers must comply with the requirements contained in FERPA. IDEA federal regulations in Section 300.560-300.576 relate to requirements under FERPA and also pertain to EI records
- Individuals with Disabilities Education Act (IDEA) and regulations (34 CFR 303; 34 CFR 300.560 through 300 576).
- Title II-A of Article 25 of PHL and 10 NYCRR69-4 Medical Assistance Program (Medicaid).

Any breach of confidentiality (such as the loss or theft of records) must be reported to the Designated Confidentiality Coordinator of the Early Intervention Program no later than one (1) week post discovery.

**Beverly Samuels, Director of Consumer Affairs
New York City, Early Intervention Program
Gotham Center #12
42-09 28th Street, 18th Floor
Queens, NY 11101
Phone number: 347-396-6828
Fax number: 347-396-6982**

II. PROCEDURE:

Responsible Party	Action
EI contracted agencies, NYC Bureau of Early Intervention	1. Required to develop policies/procedures regarding confidentiality pertaining to data, child records, personally identifiable information. 2. Personally identifiable data, information, or records shall not be disclosed by the municipality, evaluator, service provider or service coordinator to any person other than the parent of such child. (Even if the child is no longer participating in EI). a. Only information appropriate to that request may be released. b. Extraneous information or sensitive information about the child and family must be protected. c. Any release of information for an individual child must contain information pertaining only to that child/family. Personally identifiable information about others must be redacted. 3. Prior to releasing records to any individual/agency outside the Early Intervention program (EIP) written consent must be obtained on the Consent to Release/Obtain Information Form. Note: • Parents must never be asked to sign a blank Consent to Release/Obtain Information Form. 4. A record of any access to children's EI records and the purpose for which the record was accessed must be kept in the child's municipal/provider file (with the exception of the parent, employees of the municipality, Early Intervention providers, or Department staff or designees). 5. All EI records containing personally identifiable information must be maintained in secure locations (e.g., in locked file cabinets). 6. Staff who travel to a variety of locations must ensure the security and confidentiality of EI records that are off-site (e.g., EI records must be in a secure briefcase, file, etc.). 7. All employees must be informed of, and adhere to, the policies and procedures regarding confidentiality. 8. All employees must adhere to all legal requirements that protect EI records containing sensitive information (such as sexual or physical abuse, HIV status, treatment for mental illness, the child's parentage, etc.). 9. Employees of the New York State Department of Health, other State EI agencies, and municipalities may access any record pertaining to a child and the child's family that are collected, maintained, or used for the purposes of the EIP. a. Staff must record the name of the individual accessing the record, the date of access and the purpose for which the party is authorized to use the record.
Service Coordinators	<u>Release of Information:</u> EIODS/SC's must: 1. Offer parents the opportunity to sign selective releases that specify by name or category those individuals to whom information may be disclosed or from whom it is sought.

	2. Provide parents with the ability to revoke a release at any time and include a statement to this effect on any release forms used. 3. Parents must be informed about the scope of information included in EI records that may be shared when they are asked to sign consent. When parents sign a consent they can specify limitations to the release of information, including: a. Who can access information in their child's EI records. b. What information in their child's EI records can be released and to whom. c. Time period for which the consent to release information is applicable.
NYC Bureau of Early Intervention Regional Office Assistant Director	<u>Parental Requests for Amendments to Records:</u> Parents have the right to request an amendment to any EI record pertaining to their child when the parent(s) believe(s) the information contained in the record is inaccurate, misleading, or violates the privacy or any other rights of the child. 1. Request to amend or seal any EI record pertaining to a child are made to an Early Intervention Regional Office Assistant Director. 2. Assistant Directors: a. Inform parents about the procedures to be followed to request an amendment to EI records pertaining to their child and maintained by that Early Intervention Official or provider. b. Respond to a parent's request to amend his/her child's record within ten (10) business days. c. Notify the parent and the SC of the agreement to amend the record. d. Notify parents in writing if either the Early Intervention Official Designee (EIOD) or an EI service provider does not agree to a request to amend or seal the record. i. If the EIOD or service provider do not agree with the request, the municipality: • Informs the parent of the right to an administrative hearing. • Convene an administrative hearing to amend the record within a reasonable time after receiving a request from a parent for such a hearing. • Order any amendment the municipality determines to be appropriate to be made to the EI record in question. - o Notify all appropriate parties of the ordered amendment (including individuals who have a copy); and, notifying the parent when the record has been amended • Notify parents when a requested amendment is not ordered. - o Inform parents of the right to include a statement in the record to be disclosed with the record reflective of their views, and

	Notify the parent that the parental statement will be incorporated and disseminated as part of the record.
NYC Bureau of Early Intervention and Provider Agency Staff	<u>Parental Access to Their Children's Records:</u> 1. Parents must be given the opportunity to inspect and review all records pertaining to the child and the child's family that are maintained or used for the purposes of the EIP(unless the parent is prohibited such access under State or federal law or a court order). 2. It should be presumed that the parent has the authority to inspect and review EI records pertaining to his or her child unless the EIP has been advised otherwise under applicable State law, regulations or court order related to guardianship and custody. 3. If a record contains information on more than one child or on non-participants, only the portion of the record pertaining to the child's participation in the EIP may be accessed. 4. Parents have the right to: a. Receive an explanation about, and interpretation of information included in any EI record upon request. b. Obtain a copy of the requested EI record within ten (10) business days of receipt of the request by the EIOD or Early Intervention service provider. c. Obtain a copy of the requested EI record within five (5) business days if the request is made as a part of a mediation or impartial hearing. d. Have a representative review the record on the parent's behalf (with signed consent). 5. A fee may be charged to copy EI records upon parent request (not to exceed 10 cents per page for the first copy and 25 cents per page for additional copies), as long as the fee does not prevent the parent from inspecting and reviewing the record. 6. No fees may be charged for records related to evaluations and assessments to which parents are specifically entitled (e.g., evaluation and assessment reports under 10 NYCRR 69-4.8) unless specifically permitted under PHL 18.


Approved By:
Assistant Commissioner, Early Intervention

Date: 1/21/11

New York City Early Intervention Program

Policy Title: Procedural Safeguards - Prior Written Notice	Effective Date: 5/03/2013
Policy Number: 11-B	Supersedes: Policy 11-B dated 2/28/2011
Attachments: • Prior Written Notice Form • Your Family Rights in Early Intervention	Regulation/Citation: 10NYCRR69-4.17 (b) (1), 10NYCRR69-4.17 (b) (2), Procedural Safeguards

I. POLICY DESCRIPTION:

The Early Intervention Official Designee (EIOD) must give **prior written notice** to the parent of an eligible child **ten (10) working days** before the EIOD proposes or refuses to initiate or change the identification, evaluation, service setting, or the provision of the appropriate Early Intervention (EI) services to the child and the child's family. EI must make reasonable efforts to ensure the parent receives written notification about the right to due process and the method by which mediation and an impartial hearing can be requested.

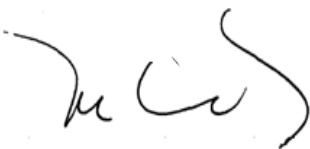
"The EIOD shall make reasonable efforts to ensure the parent receives written notification about the right to due process and the method by which mediation and an impartial hearing can be requested..."

II. PROCEDURE:

Responsible Party	Action
Early Intervention Official Designee (EIOD)	1. Completes the Prior Written Notice Form, and sends a copy of Your Family Rights in Early Intervention to parents and ISC/OSC when: a. A decision regarding a case will go into effect after ten (10) business days of the notice for any of the following reasons: i. Request to add a service(s) is being denied; ii. Request to increase service units is being denied; iii. Service (s) is being terminated; iv. Service (s) is being decreased in frequency; v. Request to change service setting is being denied. vi. Request for an evaluation is being denied. Note: • If a parent requests due process (mediation or impartial hearing), all current IFSP services must remain in place until a resolution is reached or the parent has exhausted his/her due process rights. • Written Notice is provided to the family regardless of how the decision is communicated (i.e. telephone conversation with family/SC, or in person conversation). b. A case will be closed after ten (10) business days for any of the

	following reasons: i. At the conclusion of the evaluation process when the child is determined to not be eligible for EI and the family agrees with the findings. Note: • If the evaluation was not supported after being submitted to the EIP, ESU will send a Ten (10) Day Notice Letter to the family with a copy to the ISC and the Regional Office (RO). ii. After a child has been re-evaluated through the Multidisciplinary Evaluation (MDE) process, and found no longer eligible for EI services. iii. There have been three (3) unsuccessful, documented attempts to schedule an IFSP meeting where the family was unwilling or unable to attend. Note: • The ISC must document all attempts to schedule the IFSP in the child's case record. • If the family has a valid reason for being unable to attend an IFSP meeting at the time and place scheduled, the RO working with the SC must continue to make efforts to reschedule the meeting at a time and place convenient to the family. iv. A family misses two (2) IFSP meetings without contacting the service coordinator 24 hours before the meeting, or responding to his/her three (3) unsuccessful, documented attempts to contact the family. c. The ISC/OSC submits a Closure Form that has not been signed by the parent. i. See <u>Closure Policy</u> for a full list of Closure events and Procedures. 2. Prior Written Notice Form is attached to the child's Integrated Case in NYEIS. a. <i>From the Inbox Menu Button – Click on “My Cases”</i> b. <i>Select the “Case Reference” to navigate to the “Integrated Case Home Page</i> c. <i>Select “Attachments” and Select “New”</i> i. <i>On the Create Attachment screen:</i> • <i>Browse for the file to attach.</i> ○ <i>File size cannot be more the 5MB</i> • <i>Complete the fields under “File Details”</i> • <i>DO NOT enter any information in the location and Reference fields</i> • <i>Select the Document type</i> ○ <i>Document type for all documents is “signature”</i> • <i>Receipt date must be the date that the attachment is made</i>

	Note: • If there is a disagreement at an IFSP meeting (ex: a request for additional evaluation has been denied): - o IFSP Written Notice must be given at the IFSP meeting by the EIOD explaining the reason(s) for the decision. - o This notice is part of the IFSP document, and will be given with Your Family Rights in Early Intervention to the parent.
Initial and Ongoing Service Coordinator (ISC/OSC)	1. Parent is not available to sign Closure Form: a. Attaches the SC notes, certified letter (if applicable) and certified label/ return receipt (if applicable) documenting unsuccessful contact attempts and parent availability issues. b. Initiates closures to all open service authorizations in NYEIS. i. Refer to the Case Closure Policy for detailed procedural guidance. Note: • After the first failed attempt to contact a parent or a foster parent of a child who is in foster care, the second attempt must include a phone call to Administration for Children's Services (ACS) Education Unit, at 212-341-0977. 2. Ensures that the evaluation/ service agency is informed of any decision made by the EIP.


Approved By:
Assistant Commissioner, Early Intervention

Date: 3/29/2013

NYC EARLY INTERVENTION PROGRAM PRIOR WRITTEN NOTICE

Child's Name: _____
EI ID #: _____

DOB: _____
Date of Notice: _____

The NYC Early Intervention Program is required to provide you with written notice ten (10) business days before proposing or refusing to initiate or change the identification, evaluation, or placement of your child or the provision of appropriate Early Intervention services to your child or family.

The purpose of this form is to provide prior notice that the following action will be considered final on _____. A copy of your "Family Rights in Early Intervention" is enclosed. If you disagree with the action, you may appeal in one or more of the ways explained in the enclosure. You may wish to talk with your Service Coordinator (SC) who can explain your due process rights in further detail.

Notice of Ineligibility:

- ☐ Your child was evaluated and found not eligible for the NYC Early Intervention Program. His/her case is being closed.
☐ Your child was re-evaluated and found no longer eligible for the Early Intervention Program. His/her case is being closed.

Evaluation:

- ☐ Your request for an evaluation is being denied.

Change in IFSP:

- ☐ Your request to add service(s) is being denied.
☐ Your request to increase service(s) is being denied.
☐ A change in service provider is being made.
☐ A service(s) is being terminated.
☐ A service(s) is being decreased in frequency.
☐ A service(s) is being changed in location/method.

Notice of Closure:

The NYC Early Intervention Program is closing your child's case for the following reason:

- ☐ We were unable to contact you for an IFSP meeting*.
☐ You missed two (2) IFSP meetings without contacting your child's SC or responding to his/her attempts to contact you.*
☐ We have received notification that you have moved to a locality outside of NYC.
☐ Therapists/SC have been unable to contact you*.

*Attempts to contact parents are defined as three (3) unsuccessful attempts made on different days, in the form of phone calls, and letter (with at least one attempt made through certified letter).

EIOD's explanation of reason for change or denial:

EIOD Signature:

Date:

EIOD Name: (Print)

Phone Number:

INSTRUCTIONS FOR COMPLETION

PRIOR WRITTEN NOTICE FORM

Prior written notice is the responsibility of the Regional Office/EIOD.

EIODs must complete the **Prior Written Notice Form** when:

- a. Any of the circumstances outlined in the **Procedural Safeguards Policy** occurs.
 - b. A child was found ineligible for Early Intervention.
 - c. A request for evaluation is denied.
 - d. Changes in services are authorized with which the parent has not previously agreed.
 - e. A request for an amendment in service units or types is being denied.
 - f. A **Closure Form** that has not been signed by the parent is received from the Initial or Ongoing Service Coordinator (ISC/OSC).
- Prior Written Notice must be sent to the family whether the request is made in writing or via a telephone conversation with either the family, or the service coordinator at the parent's request.

The EIOD will check the appropriate box to indicate the reason for the **Prior Written Notice Form**. The EIOD must provide a specific explanation of the reason for denial of an evaluation, change to or denial of a service, or closure to minimize any confusion or misunderstanding.

The EIOD does not use this form when:

- a. A parent has already given written consent to a change (at an IFSP meeting, on a **Change in Services Form**, on a signed **Closure Form**, etc.) and the EIOD agrees with the change.
- b. A case is being closed because the child is transitioning or aging out of Early Intervention.

Mediation versus Impartial Hearing

Mediation	Impartial Hearing
Similarities:	
❖ The basis of the dispute can be the same as it is for an impartial hearing.	❖ The basis of the dispute can be the same as it is for mediation.
❖ The goal is to achieve resolution of the disputed issues. A decision is not made by the mediator, but by the parties involved.	❖ The goal is to achieve resolution of the disputed issues. The impartial hearing officer makes the decision as to the resolution.
❖ A mediation meeting is conducted by a qualified and impartial mediator through an agency contracted by SDOH.	❖ A due process hearing is conducted by a qualified and impartial hearing officer (judge) employed by SDOH.
Differences:	
❖ Parties establish the ground rules.	❖ Ground rules are established by the hearing officer and federal and state law.
❖ The process is voluntary at every phase.	❖ Once one party initiates due process, all necessary parties must participate or they run the risk of the hearing officer ruling against them by default.
❖ The parties identify the potential solutions.	❖ Resolutions available are determined by the hearing officer in accordance with federal and state law and regulations.
❖ The mediator acts as a facilitator and does not pass judgment on specific issues.	❖ The hearing officer, while impartial, does make conclusions of fact and law and renders a legal judgment that may include specific resolutions.
❖ Only when resolution is achieved is a signed agreement between the parties developed.	❖ Parties do not have to agree for a hearing officer to make a decision that is binding for both parties
❖ Mediations are held in each borough at a time convenient to all parties.	❖ Hearings are held in Manhattan.
❖ Participants informally discuss the issues. Discussions during mediation and the contents of the signed settlement agreement are confidential.	❖ Participants are sworn in and testimony is given. The hearing may be open to the public and the decision, after deleting personally identifiable information, is available to the public.
❖ Although mediation is less formal, it must be available to families, and adhere to federal (IDEA) and state laws and regulations.	❖ A due process hearing is more formal and is a required step in the administrative process available under the IDEA to resolve disputes.

New York City Early Intervention Program

Policy Title: Mediation	Effective Date: 2/28/11
Policy Number: 11-C	Supersedes: N/A
Department/Unit: Bureau of Early Intervention • Mediation Request Form • Your Family Rights in Early Intervention	Regulation/Citation: NYCRR 10 69-4.17 (g)(1)-(14)Procedural Safeguards/ Mediation;

I. POLICY DESCRIPTION:

“Mediation services for the resolution of disputes regarding eligibility determinations or Early Intervention service delivery shall be available from community dispute resolution centers upon the written request of the parent and/or Early Intervention Official and the mutual agreement of the parent and the Early Intervention Official to participate in mediation. (NYCRR 10 69-4.17 (g) (2))”

By State and Federal regulations, requests for mediations must be responded to within two days of receipt by the EI Program. Additionally, all municipalities must forward copies of all mediation agreements with documentation to NYSDOH to demonstrate that agreements were carried out.

II. PROCEDURE:

Responsible Party	Action
Initial and Ongoing Service Coordinators (ISC/OSC)	1. Parent has a concern regarding any aspect the of Early Intervention process a. Discuss the specific parental concern. If the service coordinator cannot address the concern: i. Discuss the problem with the Regional Office (RO) or the Director of Consumer Affairs in order to resolve any parental issue or concerns. • Brooklyn: 718-722-3310 • Queens: 718-480-2249 • Staten Island: 718-420-5350 • Bronx: 718-410-4110 • Manhattan: 212-436-0900 • Director of Consumer Affairs, Beverly Samuels: 347-396-6828.

	2. Parent has a concern that cannot be resolved informally by contacting the RO or Director of Consumer Affairs: - Explains the parent's due process rights which include the right to mediation. - Provide parent/caregiver with a copy of Your Family Rights in Early Intervention. - Assists parent in completing the Mediation Request Form. - Faxes the Mediation Request Form to the Director of Consumer Affairs (DCA). Note: Verbal requests for mediation cannot be accepted. The parent may request mediation via letter instead of the Mediation Request Form.
Director of Consumer Affairs(DCA)	Immediately notifies the RO of the request for mediation.
Regional Office (RO)	Provides the following information to the DCA within twenty-four (24) hours of being notified of the request for mediation: - The RO staff who will attend the mediation. - Child's Evaluation Agency and Evaluator or Service Delivery agency (s) and interventionist (s) (depending on where the child is in the process). - Agency for Service Coordination (SC) and name of SC if parent contacts DCA directly.
Director of Consumer Affairs (DCA)	Within two (2) calendar days of receipt of mediation request: - Notifies Mediation Center/SC of request. - Sends letter acknowledging receipt of request to parent including: - Information about mediation center, A copy of Your Family Rights in Early Intervention, - Attendees who will be at mediation. - Sends letter to contracted providers (SC, Evaluation Agency, Service Provider) requiring their presence at the mediation if deemed appropriate by the Early Intervention Program (EIP). - Sends copy of the documentation to RO.
Regional Office (RO)	- Files documentation in child's municipal chart. - Notifies DCA of date of mediation and Mediation Center ID # for child.
Regional Office/Service Coordinator (RO/SC)	Ensures that: - Case will not be closed until the parent has exhausted due process proceedings. - All services currently on the child's IFSP continue as written until the parent has exhausted their due process rights. - Other services not in dispute by the parent and EIOD are added to the child's current IFSP.
Regional Office Assistant Director (AD)	- Notifies DCA if agreement is reached before date of mediation. - Assists parent in withdrawing request. - If no agreement is reached: - Ensures that the parent understands his/her continued due process rights to impartial hearing and/or systems complaint. - Attends mediation session. - If an agreement is reached: - Assistant Director (AD) ensures that the IFSP is amended to

	reflect the decision made at the mediation within five (5) days of the conclusion of the mediation session. ii. Sends the following documents to the DCA within forty-eight (48) hours after completed mediation: • Mediations held prior to Initial IFSP meeting: - o Mediation agreement; - o Copy of authorization for additional evaluation form (when appropriate); - o Copy of actual evaluation; - o Copy of IFSP if child is subsequently found eligible; - o Other documentation referenced in the mediation agreement. • Mediations held after an Initial IFSP meeting: - o Mediation agreement; - o Copy of authorization for additional evaluation form (if appropriate); - o Copy of actual evaluation, when appropriate; - o Copy of subsequent IFSP or Service Authorization Form(s); - o Copy of progress report(s) and/or sessions notes relating to service(s) authorized (when applicable); - o Any other documentation referenced in the mediation agreement. b. If no agreement is reached at the mediation and the parent chooses to request an impartial hearing: i. Ensures that Regional Director, Director of Early Intervention Services, and Director of Consumer Affairs are notified via Email; • Notes parent's intent to file for impartial hearing. - o Sends a complete copy of the child's file to the Director of Consumer Affairs Note: All services currently on the IFSP must continue until after decision is made at the impartial hearing. 3. Notifies SC of any necessary follow-up if the SC is not at the mediation session.
Initial and Ongoing Service Coordinator (ISC/OSC)	1. Attends the mediation session at the invitation of the parent. 2. Ensures that any service added to the IFSP at the conclusion of the mediation session begins within two (2) weeks of the authorized start date as it appears on IFSP page 5a: Service Authorization Data Entry Form. 3. Follows up on all other decisions reached at the mediation session.

Approved by: 
Assistant Commissioner, Early Intervention

Date: 1/21/11

**NEW YORK CITY EARLY INTERVENTION PROGRAM
REQUEST FOR MEDIATION AND PARENTAL CONSENT
TO RELEASE INFORMATION**

Child's EI ID#: _____ Child's Date of Birth: ____/____/____

Child's Name: _____

Address: _____
Last First Apt. No.: _____

City or Town State Zip Code

Home Phone : (____) _____ Work/Cell Phone: (____) _____

Service Coordinator: _____ SC Agency: _____

Early Intervention Official Designee (EIOD): _____

I, _____, give the Early Intervention Program permission to release information concerning my mediation request to the mediator. This information shall include, but not be limited to , my name, my address and telephone number, and the nature of my complaint concerning the program.

Signed: _____ Date: ____/____/____
Parent/Surrogate Parent

[] I will need someone to translate for me at the mediation meeting. (Please specify the language): _____

[] I am complaining about the following issue that I wish to have resolved: _____

[] Services that I wanted for my child were not included on the IFSP. These services are as follows: _____

[] Services that were on my IFSP are not being properly provided to my child.
Explain: _____

[] There is a problem with the evaluation of my child, explain: _____

[] Other, explain: _____

Please send this form via fax to Early Intervention Program, attn: Beverly Samuels at 347-396-8977.

New York City Early Intervention Program

Policy Title: Impartial Hearings	Effective Date: 2/28/2011
Policy Number: 11-D	Supersedes: N/A
Attachments: • Your Family Rights in Early Intervention	Regulation/Citation: NYS Regs. Sec.69-4.17(h); NYS Consolidated Laws Title II-A Sec. 2549 7(b)

I. POLICY DESCRIPTION:

“The parent shall have the right to an impartial hearing which ensures the fair and prompt resolution of individual child disputes or complaints.”

Impartial hearings are carried out by hearing officers who are administrative law judges assigned by the New York State Department of Health (NYS-DOH).

“As provided by law, where a Parent has requested mediation or an impartial hearing with respect to a Child for whom the Provider has provided Contract Services, the Provider shall cooperate with the Department representatives assigned to conduct such mediation or impartial hearing. Such cooperation shall include but not be limited to the following: (1) consultation with the appropriate Department representatives; and (2) after such consultation, provision of a witness or witnesses with either direct knowledge of the Child sufficient Knowledge of the Child such that the witness or witnesses with effectively participate in the mediation or impartial hearing” (DOHMH EI Provider Contract)

“A parent who, after completing mediation, substantially prevails in an impartial hearing or a judicial challenge to an order or determination under this title shall be entitled to reimbursement for reasonable attorney’s fees incurred in such impartial hearing or judicial challenge provided, however, that the parent shall only be entitled to reimbursement for such fees for prevailing in an impartial hearing if the municipality was represented by an attorney at such impartial hearing.”

II. PROCEDURE:

Responsible Party	Action
Service Coordinator (SC)/ EIOD	1. Explains the parents' rights to request an impartial hearing. 2. Informs families how to send a request in writing to the NYS Department of Health, Early Intervention Bureau.
Parent	1. Contacts the NYS Department of Health in writing to request an impartial hearing. a. Sample letter is located in The Early Intervention Program: A Parent's Guide.
Director of Consumer Affairs	1. Notifies the following staff when a hearing date is received from SDOH: a. Assistant Commissioner; b. Agency Legal Council; c. Director of EI Services; d. Medical Director (when appropriate); e. Director of Regional Office; and f. Director of Program Monitoring and Quality Improvement.
Director of Consumer Affairs	1. Requests complete municipal file from the Regional Office (RO) which includes but is not limited to: a. All relevant documents related to any mediation proceedings including: i. EIOD/AD/RD notes on any contacts prior to, and post mediation session; ii. A chronology of events in the case; and iii. Documentation that parents were informed of their rights to an impartial hearing, and that the document Your Family Rights in Early Intervention was given to the parents at the mediation session; iv. All IFSPs, evaluations, requests for changes in services, correspondence, etc. prior to and post mediation.
Regional Office	1. Requests provider and service coordination files from all agencies involved in the care of the child.
Director of Consumer Affairs	1. Forwards complete files (municipal and agency) to Agency Legal Counsel.
All Pertinent EI Staff	1. Participates in planning for hearing and obtaining additional information as requested by Agency Counsel.
All Pertinent EI Staff	1. Participates in planning for hearing and providing additional information as requested by Agency Counsel.
All Pertinent EI Staff	1. Attends hearing as requested by Agency Counsel.

Approved By: 
 Assistant Commissioner, Early Intervention

Date: 1/21/11

Chapter 12: Billable and Non-Billable Service Coordination Activities

New York City Billable AND Non-Billable Service Coordination Activities

Service Coordination activities are cumulative on a daily basis.

12-A. AFTER REFERRAL (INITIAL SERVICE COORDINATION)

Please Note: Detailed information about the role and responsibilities of the Initial Service Coordinator (ISC) can be found in the NYS Early Intervention Program Regulations, 10NYCRR 69-4.7 (a) – (p).

CATEGORY	BILLABLE SC ACTIVITIES	NONBILLABLE SC ACTIVITIES
Surrogacy	Discussing the following with foster care caseworkers: The selection of a surrogate parent when necessary.	
Contacts	- Speaking with parent/guardian when he/she responds to the SC's message(s). - Leaving one or more messages in the same day for a parent/guardian or evaluation site where the total time spent is six (6) minutes or more. (You may consolidate activities for the same child done on the same day that together add up to a full unit of service coordination – e.g., three (3) phone calls at two (2) minutes each; two (2) or more activities that together total at least six (6) minutes.)	- Billing for contacts that take less than six (6) minutes (e.g. leaving a message for a parent, an EIOD, a provider, or other person involved with the child/family) when the total time spent on the child for that day is less than 6 minutes. - Receiving a voicemail message. - Leaving a voicemail message - Travel
Meetings	Meeting with the family in the office.	Waiting for a parent who fails to keep appointments; waiting for other EI personnel when unaccompanied by parent.
Providing Information to Families	- Discussing with parents, both in person and on the phone, such topics as: - Overview of Early Intervention (EI) and role of Service Coordinator (SC) (Initial and Ongoing); - Family rights (including due process) and responsibilities under the Early Intervention Program (EIP) and review of the EI handbook: A Parent's Guide; - Evaluation process, including voluntary family assessment, and the parent's role in the evaluation, and eligibility criteria;	- Writing notes in child's case record; - Billing for SC delivered to more than (1) child/family during the same period of time (In the event of multiple births or two (2) or more EI children in the same family, the SC time should be divided among the children and billed accordingly or can be billed to one (1) child but not the others. Ex: 32 min split between 2 or more children cannot result in more than 3 units in total); - Providing clinical counseling services to parents.

	- o The parent's primary area(s) of concern; - o Natural environments or other settings for service delivery; - o Services available in EI; - o Family priorities and needs (housing, food, primary, health care, etc.). Provide assistance with accessing services; the need for consent before information can be shared regarding the child and family; - o Ascertaining any current receipt of case management services or other services from public or private agencies; - o The IFSP process including members of the team, and the rights of parents to choose an On-going SC; - o Showing the parent the IFSP forms and discussing the IFSP process. • Informing the parent that the child's and parent's social security information will be requested at the IFSP meeting. • Upon parent request, helping the parent to make a direct referral to CPSE for children who are 2 ½ years or older at the time of referral; • Explaining the use of third party insurance. • Providing families with the list of EI evaluation sites, and assisting families with choosing an appropriate evaluation agency. • Assisting families w/locating a Primary Care Provider.	
Information Gathering	• Obtaining various parental consents necessary for participation in EI services. • Obtaining insurance information from parent/caregiver. Explaining to parent/caregiver how the information will be used.	
Referrals	• Making referrals to non-EI services.	

Administrative Tasks	At the parent's request, writing a letter on behalf of the child/family (for example, to the Housing Authority regarding the child's special needs).	Performing administrative/clerical activities, including: • Xeroxing; • Filling out billing forms; • Scheduling evaluators who are employed by the same EI provider as the SC; • Organizing paperwork • Mailing, faxing, or receiving a letter or form. • Asking the Regional Office for forms or how to fill out forms • Completing EI forms • Completing and sending form letters (ex: introductory letters about the agency or SC)

New York City Billable AND Non-Billable Service Coordination Activities

Service Coordination activities are cumulative on a daily basis.

12-B. EVALUATION PROCESS (INITIAL SERVICE COORDINATION)

Note: Detailed information about the Initial Service Coordinator (ISC) 's responsibilities to assist the family in arranging an evaluation to determine the child's eligibility and in understanding the results of the evaluation can be found in the NYS Early Intervention Program Regulations, 10NYCRR 69-4.7(j) - (n).

CATEGORY	BILLABLE SC ACTIVITIES	NONBILLABLE SC ACTIVITIES
Contacts	• Speaking with parent, EIOD, provider, or any other person involved with the child/family on the phone when he/she responds to the Service Coordinator (SC)'s message. • Leaving one (1) or more messages in the same day for a parent, an EIOD, a provider, or other person involved with the child/family where the total time spent is six (6) minutes or more. (You may consolidate activities for the same child done on the same day that together add up to a full unit of service coordination – e.g., three phone calls at two (2) minutes each; two (2) or more activities that together total at least six (6) minutes, etc.)	• Billing for contacts that takes less than six (6) minutes (e.g. leaving a message for a parent, an EIOD, a provider, or other person involved with the child/family) when the total time spent on the child for that day is less than 6 minutes. • Receiving a message. • Leaving a message on voicemail • Writing notes or letters to a child's health care provider about the child.
Meetings	Attending the child's evaluation and/or other meetings, upon parental request and, if appropriate, (ISC cannot bill simultaneously for both ISC and translator functions).	Participating in general meetings, such as: • Supervisory conferences; • Team meetings; • Trainings and other conferences sponsored by their agency.
Gathering Information	Making telephone calls to ensure that evaluation site has conducted the evaluation.	

Providing Information to Families	• Ensuring that parent/guardian has received copies of the MDE and discussing parental/guardian reaction to the MDE. • Facilitating a meeting between the evaluation agency and parent as necessary.	• Discussing evaluation results with the parent or the child's medical provider (this is the evaluation team's responsibility). • Billing for SC delivered to more than (1) child/family during the same period of time (In the event of multiple births or two (2) or more EI children in the same family, the SC time should be divided among the children and billed accordingly or can be billed to one (1) child but not the others. Ex: 32 min split between 2 or more children cannot result in more than 3 units in total). • Writing notes in child's case record. • Providing clinical counseling services to parents. • Providing written notice to parents to families regarding denial of eligibility.
Administrative Tasks	At the parent's request writing a letter on behalf of the child/family (for example, to the Housing Authority regarding the child's special needs).	Performing administrative/clerical activities including, but not limited to: • Xeroxing; • Filling out billing forms; • Scheduling evaluators who are employed by the same EI provider as the SC; • Organizing paperwork; • Mailing, faxing, or receiving a letter or form; • Asking the Regional Office for forms or how to fill out forms; • Completing EI forms; • Completing and sending form letters (introductory letters about the agency or SC).
Due Process	• Attending mediations, if invited. • Attending impartial hearings, if required.	

New York City Billable AND Non-Billable Service Coordination Activities

Service Coordination activities are cumulative on a daily basis.

12-C. IFSP PROCESS (INITIAL SERVICE COORDINATION)

Please Note: Detailed information about the Initial Service Coordinator (ISC)'s responsibilities to assist the family in understanding the IFSP process can be found in the NYS Early Intervention Program Regulations, 10NYCRR 69-4.7(o) – (p) and 4.11(a) - (c).

CATEGORY	BILLABLE SC ACTIVITIES	NONBILLABLE SC ACTIVITIES
Meetings	• Scheduling IFSP meetings (e.g., speaking with the participants on the phone). • Participating in meeting to develop IFSP.	• Traveling to and from IFSP meeting. • Time spent waiting for any individual who is late or fails to keep an appointment. • Sending out written IFSP meeting invitations.
Gathering Information	• Prior to IFSP date, meeting with the family to discuss community resources and natural routines to prepare for the IFSP.	• Billing for SC delivered to more than (1) child/family during the same period of time (In the event of multiple births or two (2) or more EI children in the same family, the SC time should be divided among the children and billed accordingly or can be billed to one (1) child but not the others. Ex: 32 min split between 2 or more children cannot result in more than 3 units in total).
Administrative Tasks	At the parent's request, writing a letter on behalf of the child/family (for example, to the Housing Authority regarding the child's special needs).	Performing administrative/clerical activities including, but not limited to: • Xeroxing; • Filling out billing forms; • Scheduling evaluators who are employed by the same EI provider as the SC; • Organizing paperwork; • Mailing, faxing, or receiving a letter or form; • Asking the Regional Office for forms or how to fill out forms; • Completing EI forms; • Completing and sending form letters (introductory letters about the agency or SC).
Due Process	• Attending mediations, if invited. • Attending impartial hearings, if required.	

New York City Billable AND Non-Billable Service Coordination Activities

Service Coordination activities are cumulative on a daily basis.

12-D. POST IFSP MEETING (ONGOING SERVICE COORDINATION)

Please Note: Detailed information about the Ongoing Service Coordinator (OSC)'s responsibilities after the Initial IFSP meeting can be found in the NYS Early Intervention Program Regulations, 10NYCRR 69-4.6 and 4.11(a) – (b).

CATEGORY	BILLABLE SC ACTIVITIES	NONBILLABLE SC ACTIVITIES
Contacts	• Speaking with parent, EI/OD, provider, or any other person involved with the child or family on the phone when he/she responds to the Service Coordinator (SC)'s message. • Leaving one (1) or more messages in the same day for a parent, an EI/OD, a provider, or other person involved with the child/family where the total time spent is six (6) minutes or more. (You may consolidate activities for the same child done on the same day that together add up to a full unit of service coordination – e.g., three phone calls at two (2) minutes each; two (2) or more activities that together total at least six (6) minutes.)	• Billing for contacts that takes less than six (6) minutes (e.g. leaving a message for a parent, an EI/OD, a provider, or other person involved with the child/family) when the total time spent on the child for that day is less than six (6) minutes). • Receiving a message, leaving a message on voicemail. • Providing counseling or other clinical services to parents.
Meetings	• Scheduling Six (6) Month Reviews, Annual Reviews, or meetings to amend Individualized Family Service Plan (IFSP) (e.g., speaking with the participants on the phone, writing letters to participants.). • Participating in Six (6) Month Reviews, Annual Reviews, or meetings to amend IFSP.	• Traveling to and from IFSP meetings. • Time spent waiting for any individual who is late or fails to keep an appointment
IFSP Follow-up	• Following up on all issues assigned to the OSC at the Individualized Family Service Plan (IFSP) meeting (such as referrals needed by the family to non-EI services)	• Performing any Service Coordination activity by the OSC on or before the day of the Initial IFSP.
Delivery of Services	• Ensuring that the family/guardian and service providers listed on the IFSP are notified after the Initial IFSP, six (6) month and annual reviews, and any subsequent amendments • Assisting families in obtaining EI services by contacting service provider agencies or service provision coordinators. • At the parent's request, contacting any therapists working with the child.	• Meeting/speaking with interventionist which does not eventually result in conveying information back to parent. • Faxing and mailing forms

	• Locating other EI service providers when a parent is dissatisfied with the current provider or when a service agreed to in the IFSP is not being delivered. • Speaking with parents on a regular basis to ensure that the IFSP is being implemented as written, e.g. the service is being delivered at the agreed upon frequency, intensity, and duration. • Contacting the Regional Office if there are problems with service delivery that the SC cannot resolve. • Ensuring that providers receive information about closed cases and cancelled services. • Attending mediations, if invited; impartial hearings, if required.	
Providing Information to Families	Explaining to parents, both in-person and on the phone, such topics as: • Family's rights and responsibilities under the Early Intervention Program (EIP); • Family's due process rights; • Parents' satisfaction with the Early Intervention (EI) services child/family is receiving. Contacting parent when there are issues of child's availability for services	• Billing for SC delivered to more than (1) child/family during the same period of time (In the event of multiple births or two (2) or more EI children in the same family, the SC time should be divided among the children and billed accordingly or can be billed to one (1) child but not the others. Ex: 32 min split between 2 or more children cannot result in more than 3 units in total); • Providing clinical counseling to parent(s). • Writing notes in child's case. • Traveling to and from home visit or any other destination.
Gathering Information	• Updating Insurance Information obtained from parent/caregiver. • Assisting parent in requesting and/or arranging additional core and/or supplemental evaluations (after Initial IFSP). • Securing progress reports from provider agencies.	
Assistive	Providing information about the AT process,	

Technology (AT)	and monitoring receipt as authorized in IFSP or amendment to the IFSP.	
Transportation	Reporting a transportation problem for a specific child at the request of the parent.	• Escorting child from bus. • Coordinating the arrival and dismissal of children by school bus. • Attending field trips.
Transition	Transition out of EI: (Refer to Transition out of Early Intervention Chapter): • At the parent's request, assisting in making a referral to the Committee of Pre-school Special Education (CPSE); • With parental consent, scheduling a Transition Conference with the parent, EIOD, CPSE designee, and ACS/Foster Care Case worker (if applicable) at the IFSP closest to the child's second birthday; • Participating in the development of a Transition Plan; • Implementing the Transition Plan; • Ensuring that EI receives a copy of required CPSE paperwork to extend services. • Attending the CPSE meeting if invited by the parent.	• Faxing and mailing forms. • Accompanying parents to tour or visit special education programs that the child may be transitioning to under the CPSE.
Administrative Tasks	At the parent's request writing a letter on behalf of the child/family, (e.g., to the Housing Authority regarding the child's special needs).	Performing administrative/clerical activities including, but not limited to: • Xeroxing; • Filling out billing forms; • Scheduling evaluators who are employed by the same EI provider as the SC; • Organizing paperwork; • Mailing, faxing, or receiving a letter or form; • Asking the Regional Office for forms or how to fill out forms; • Completing EI forms; • Completing and sending form letters (introductory letters about the agency or SC).

Due Process	• Attending mediations, if invited. • Attending impartial hearings, if required.	

Chapter 13: Additional Forms and Procedures

**New York City Early Intervention Program
CHILD INFORMATION CHANGE FORM**

Please Print

CHILD'S NAME (Last, First and Middle): _____

EI # _____ **DOB:** ____/____/____ **Date Information Changed:** ____/____/____

Service Coordinator: _____ **SC ID #:** _____

SC Provider Agency: _____ **Agency EI #:** _____

CHANGES OF CHILD AND/OR FAMILY INFORMATION

☐ **A. CHANGE OF TELEPHONE NUMBER** – Indicate Home or Work number: ☐ **Home** ☐ **Work**

From: (_____) _____

To: (_____) _____

☐ **B. CHANGE OF NAME (OR SPELLING OF NAME)**

From: _____
Last, First & Middle

To: _____
Last, First & Middle

Documentation is requested, see instructions. If not available, attach letter explaining reason.

☐ **C. CHANGE OF ADDRESS FOR CHILD**

From: _____ Apt. # _____

To: _____ Apt. # _____

☐ **D. CHANGE OF CAREGIVER/PARENT**

From: _____ Relationship: _____

To: _____ Relationship: _____

Attach any available legal documentation.

☐ **E. CHANGE DATE OF BIRTH** - Documentation requested, see instructions

From: ____/____/____ To: ____/____/____

EIP Data Entry: _____ *Date:* _____

**New York City Early Intervention Program
CHILD INFORMATION CHANGE FORM INSTRUCTIONS**

GENERAL DIRECTIONS:

The service coordinator completes this form whenever a child's personally identifiable information in the Early Intervention (EI) system has been identified as incorrect (with the exception of insurance), e.g., name change, wrong date of birth, address change, etc. Indicate with a check the information that is being changed and complete the requested section(s) for this child. In all cases, "from" should be the information currently in the EI system and "to" should be the new information being submitted.

NOTE: IS THERE A CHANGE OF INSURANCE INFORMATION?

If yes, complete the *Insurance Information* form and attach a copy of the new insurance card with the form.

The Initial/Ongoing Service Coordinator must keep a copy of this form in the child's case record and must send a copy to the Regional Office and to all evaluator(s)/service provider(s).

Complete the following:

- **CHILD'S NAME (Last, First and Middle):** The child's complete legal name (no nicknames), last name, followed by first and middle names. Verify correct spelling.
- **EI ID #:** The unique identification number assigned to this child by the NYC Early Intervention Program (EIP).
- **DOB:** Child's date of birth, in month, day and (four digit) year order.
- **Date Information Changed:** The effective date of change for this information (rather than the day the form was completed).
- **Service Coordinator & Service Coordination #:** The service coordinator name and associated NYC EIP assigned identifier number.
- **Provider Agency & Agency EI #:** The employing service coordination agency name and associated EI contract number.

CHANGES OF FAMILY AND CHILD INFORMATION

A. CHANGE OF TELEPHONE NUMBER: The former and current telephone numbers of the child's caregiver/parent.

B. CHANGE OF NAME (OR SPELLING OF NAME): The current legal name of the child (no nicknames). Verify correct spelling. Documentation of the correct name/spelling (birth certificate, Medicaid card, etc.) must be attached. If documentation is not available, attach a letter of explanation.

C. CHANGE OF ADDRESS FOR CHILD: The former and current addresses of the child. Be sure to include the Apt. No. and Zip Code. If the child is moving out of the borough, ensure that appropriate notification has been made to the EI Program office in that area.

D. CHANGE OF CAREGIVER/PARENT: The former and current name of the caregiver/parent. Attach any available legal documentation. **Surrogate Parent:** Attach a letter of explanation and/or any additional information available. The service coordinator also needs to complete a new Surrogate Parent Assignment by EIOD form and submit it to the EIOD for approval.

E. CHANGE DATE OF BIRTH: The child's date of birth as it appears in EI records and the corrected date of birth. A copy of the child's birth certificate or Medicaid card must be attached to this form when indicating the change. (If documentation is not available, attach a letter of explanation.)