

Missouri Division of Special Education Compliance Standards & Indicators – First Steps

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
<p>3000.10 Access Sheet is present</p> <p>FERPA 99.32 (a)(1); 303.402; SP (IX)</p> <p>SPOE, DMH</p>	<p>3000.10.a. Each SPOE maintains a record of parties obtaining access to the early intervention (EI) record (See NOTE 1 below), including:</p> <p>3000.10.b. Name of person(s) accessing record</p> <p>3000.10.c. The date (mm/dd/yy) access was given</p> <p>3000.10.d. The purpose of the review</p> <p>3000.10.e. Each SPOE maintains a current listing of the positions of those employees within the agency who may have access to the EI records (See NOTE 2 below)</p> <p>NOTE (1): FERPA regulations do not require authorized agency staff who access the record to sign.</p> <p>NOTE (2): The listing may be posted at the file location or other central location(s).</p>	<p>Access sheet</p> <p>Listing of employees having access to EI files</p>
REFERRAL PROCESS		
<p>3000.20 Referral date</p> <p>303.321 (a)(b)(c)(d); SP (IV)</p> <p>SPOE</p>	<p>Referral date (mm/dd/yy) is present indicating the date the SPOE received information about a potentially eligible child from a primary referral source.</p> <p>NOTE: Primary referral sources include:</p> <ul style="list-style-type: none"> ○ Hospitals, including prenatal and postnatal care facilities; ○ Physicians; ○ Parents; ○ Child-care programs; ○ Local educational agencies (including special education, Parents as Teachers [SB658], and Early Head Start); ○ Public health facilities; ○ Other social service agencies, including DSS and DMH; and, ○ Other health care providers. 	<p>Referral form</p> <p>Webspoe</p>
<p>3000.30</p>	<p>Documentation is present that an intake service coordinator was appointed as soon as possible after receipt of referral:</p>	<p>Referral Form</p>

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Legal Requirement	Indicator	Documentation
Intake service coordinator appointed 303.321 (e)(1); SP (V) SPOE	3000.30.a. Date (mm/dd/yy) of appointment 3000.30.b. Name of Intake Service Coordinator	Webspoe
EDUCATIONAL SURROGATE		
3000.40 Determine need for educational surrogate 303.406; SP (IX) (N/A if no need for appointment of educational surrogate) SPOE; DMH	Determine the need for an educational surrogate if a child has been identified as a child with no parent, guardian, or person acting as a parent. NOTE: See Indicators 3000.1370 to 3000.1420 at the end of this document for additional educational surrogate requirements if a child has been determined eligible for an educational surrogate.	Determination of Need for Educational Surrogate Appointment form
PRIOR WRITTEN NOTICE OF ACTION – INITIAL EVALUATION		
3000.50 Written Notice with all required components provided prior to initial evaluation 303.403 (a);SP (VI)(IX) SPOE	Prior Written Notice is provided a reasonable time before the Part C system proposes to conduct an initial evaluation.	Notice of Action/Consent form
Written Notice of Action Content		
3000.70 Date of Notice SPOE	Date of the Notice (mm/dd/yy)	Notice of Action/Consent form
3000.80 Statement of the action	Statement of the action(s) being proposed.	Notice of Action/Consent form

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
303.403 (b)(1); SP (IX)		
SPOE		
3000.90 Reasons for the action 303.403 (b)(2); SP (IX)	Statement of the reason(s) for the action(s) being proposed.	Notice of Action/Consent form
SPOE		
3000.100 Parental Rights Statement provided 303.403 (b)(3)(4); SP (IX)	Documentation that the parent was provided a copy of the Parental Rights Statement	Notice of Action/Consent form
SPOE		
3000.110 Language of Notice 303.403 (c)(1); SP (IX)	Notice is: <ul style="list-style-type: none"> ○ Written in language understandable to the general public <li style="text-align: center;">and ○ Provided in the native language of the parents, unless it is clearly not feasible to do so 	Notice of Action/Consent form
SPOE		
3000.120 Language of parent not a written language 303.401 (b); 303.403 (c)(2)(3); SP (IX)	If the native language or other mode of communication of the parent is not a written language, documentation indicates that the designated service coordinator took steps to ensure that: <ul style="list-style-type: none"> ○ The notice was translated orally or by other means to the parent in the parent's native language or other mode of communication <li style="text-align: center;">and ○ The parent understands the notice 	Notice of Action/Consent form Case Notes
SPOE		
	NOTE: If the parent is deaf or blind, or has no written language, the mode of communication must be that normally used by the parent (such as sign language, Braille, or oral communication).	

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
PARENTAL CONSENT – INITIAL EVALUATION		
<p>3000.130</p> <p>Parental Consent obtained prior to <u>initial</u> evaluation/assessment of the child</p> <p>(N/A if parent declined to give consent)</p> <p>303.404 (a)(1); SP (IX)</p> <p>SPOE</p>	<p>Written consent was obtained prior to conducting an initial evaluation and assessment of the child. Documentation indicates:</p> <p>3000.130.a. Parent Signature</p> <p>3000.130.b. Date (mm/dd/yy)</p> <p>NOTE: Date of parental consent must be prior to the date of any evaluation/assessment activity.</p>	<p>Notice of Action/Consent form</p>
OR		
<p>3000.140</p> <p>Parent declined evaluation and assessment of the child.</p> <p>(N/A if parent gave consent)</p> <p>303.404 (b); SP (IX)</p> <p>SPOE</p>	<p>If parent declines to give consent, or withdraws consent after first providing it, for the initial evaluation/assessment of the child, documentation is present that the designated service coordinator made reasonable attempts to ensure that the parent:</p> <ul style="list-style-type: none"> ○ Was fully aware of the nature of the evaluation and assessment or the services that would be available. <li style="padding-left: 40px;">and ○ Understood that the child would not be able to receive the evaluation and assessment or services unless consent was given. 	<p>Notice of Action/Consent form</p> <p>Case notes</p>
PRIOR WRITTEN NOTICE OF ACTION – ONGOING EVALUATION/ASSESSMENT		
<p>3000.150</p> <p>Written Notice with all required components provided prior to initiation of <u>on-going</u> evaluation/assessment of the child</p> <p>(N/A for initial evaluation)</p> <p>303.403(a); SP (VI)(IX)</p> <p>SPOE; DMH</p>	<p>Documentation is present that notice was given to parents prior to conducting on-going evaluation/assessment of the child.</p>	<p>Notice of Action/Consent form</p> <p>IFSP</p> <p>Webspoe</p>

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Legal Requirement	Indicator	Documentation
Written Notice of Action Content		
3000.160 Date of notice (N/A for initial evaluation) SPOE; DMH	Date notice was given to the parents (mm/dd/yy)	Notice of Action/Consent Form
3000.170 Statement of the action (N/A for initial evaluation) 303.403 (b)(1); SP (IX) SPOE; DMH	Statement of the action(s) being proposed.	Notice of Action/Consent Form
3000.180 Reasons for the action (N/A for initial evaluation) 303.403 (b)(2); SP (IX) SPOE; DMH	Statement of the reason(s) for the action(s) being proposed.	Notice of Action/Consent Form
3000.190 Parental Rights Statement provided (N/A for initial evaluation) 303.403 (b)(3)(4); SP (IX) SPOE; DMH	Documentation that the parent was provided a copy of the Parental Rights Statement	Notice of Action/Consent Form

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Legal Requirement	Indicator	Documentation
<p>3000.200 Language of Notice (N/A for initial evaluation) 303.403(c)(1); SP (IX)</p> <p>SPOE; DMH</p>	<p>Notice is:</p> <ul style="list-style-type: none"> ○ Written in language understandable to the general public <li style="text-align: center;">and ○ Provided in the native language of the parents, unless it is clearly not feasible to do so 	<p>Notice of Action/Consent Form</p>
<p>3000.210 Language of parent not a written language (N/A for initial evaluation) 303.401 (b); 303.403 (c)(2)(3); SP (IX)</p> <p>SPOE; DMH</p>	<p>If the native language or other mode of communication of the parent is not a written language, documentation indicates that the designated service coordinator took steps to ensure that:</p> <ul style="list-style-type: none"> ○ The notice was translated orally or by other means to the parent in the parent’s native language or other mode of communication <li style="text-align: center;">and ○ The parent understands the notice <p>NOTE: If the parent is deaf or blind, or has no written language, the mode of communication must be that normally used by the parent (such as sign language, Braille, or oral communication).</p>	<p>Notice of Action/Consent Form</p> <p>Case Notes</p>
INTERIM IFSP BEFORE 45 DAYS		
<p>3000.220 Interim IFSP developed and implemented prior to completion of evaluation/assessment 303.345; SP (VI)</p> <p>SPOE</p>	<p>Documentation indicates interim IFSP developed and interim early intervention services initiated for an eligible child prior to completion of evaluation/assessment.</p>	<p>IFSP</p> <p>Date of Eligibility Determination</p>
<p>3000.230 Child determined eligible</p>	<p>Date of eligibility determination (mm/dd/yy)</p>	<p>Eligibility Notes</p> <p>Webspoe</p>

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Legal Requirement	Indicator	Documentation
PRIOR WRITTEN NOTICE OF ACTION – INTERIM IFSP BEFORE 45 DAYS		
3000.240 Written Notice of Action with all required components provided prior to implementing Interim IFSP SPOE	Prior Written Notice for interim IFSP and early intervention services was provided.	Notice of Action/Consent Form
Written Notice of Action Content		
3000.250 Date of Notice SPOE	Date of the Notice (mm/dd/yy)	Notice of Action/Consent Form
3000.260 Statement of the action 303.403 (b)(1); SP (IX) SPOE	Statement of the action(s) being proposed.	Notice of Action/Consent Form
3000.270 Reasons for the action 303.403 (b)(2); SP (IX) SPOE	Statement of the reason(s) for the action(s) being proposed.	Notice of Action/Consent Form
3000.280 Parental Rights Statement provided 303.403 (b)(3)(4); SP (IX) SPOE	Documentation that the parent was provided a copy of the Parental Rights Statement	Notice of Action/Consent Form

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Legal Requirement	Indicator	Documentation
<p>3000.290 Language of Notice 303.403 (c)(1); SP (IX)</p> <p>SPOE</p>	<p>Notice is:</p> <ul style="list-style-type: none"> ○ Written in language understandable to the general public and ○ Provided in the native language of the parents, unless it is clearly not feasible to do so 	<p>Notice of Action/Consent Form</p>
<p>3000.300 Language of parent not a written language 303.401 (b); 303.403 (c) (2)(3); SP (IX)</p> <p>SPOE</p>	<p>If the native language or other mode of communication of the parent is not a written language, documentation indicates that the designated service coordinator took steps to ensure that:</p> <ul style="list-style-type: none"> ○ The notice was translated orally or by other means to the parent in the parent’s native language or other mode of communication and ○ The parent understands the notice <p>NOTE: If the parent is deaf or blind, or has no written language, the mode of communication must be that normally used by the parent (such as sign language, Braille, or oral communication).</p>	<p>Notice of Action/Consent Form Case Notes</p>
PARENTAL CONSENT – INTERIM IFSP BEFORE 45 DAYS		
<p>3000.310 Parental Consent obtained prior to implementing the interim IFSP (N/A if parent declined to give consent) 303.345(a); SP (IX)</p> <p>SPOE</p>	<p>Written consent was obtained prior to implementing the interim IFSP. Documentation indicates:</p> <p>3000.310.a. Parent Signature 3000.310.b. Date (mm/dd/yy)</p> <p>NOTE: Date of parental consent must be prior to the date of the provision of any early intervention services.</p>	<p>Notice of Action/Consent Form</p>
OR		
<p>3000.320 Parent declined an interim IFSP (N/A if parent gave consent)</p>	<p>If parent declines to give consent, or withdraws consent after first providing it, for the implementation of the IFSP, documentation is present that the designated service coordinator made reasonable attempts to ensure that the parent:</p> <ul style="list-style-type: none"> ○ Was fully aware of the nature of the early intervention services that would be available. 	<p>Notice of Action/Consent Form Case notes</p>

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Legal Requirement	Indicator	Documentation
303.404 (b); SP (IX) SPOE	and ○ Understood that the child would not be able to receive the EI services unless consent was given.	
3000.325 Content of Interim IFSP 303.345(b)(1)(2); SP(VI) SPOE	An interim IFSP is present that includes the following content: 3000.325.a. The name of the service coordinator who will be responsible for implementation of the Interim IFSP and coordinating with other agencies and persons 300.325.b. The early intervention services that have been determined to be needed immediately by the child and the child's family.	Interim IFSP
3000.330 Evaluation/assessment completed within 45 days 303.345 (c); SP (V) SPOE	3000.330.a. The evaluation and assessment are completed within 45 days OR 3000.330.b. If the evaluation/assessment and development of an IFSP exceeds 45 days, documentation must be present of exceptional circumstances that prevented timelines from being met (e.g., child is ill). NOTE: This provision is intended to accomplish two (2) purposes: 1. To facilitate the provision of services in the event that a child has obvious immediate needs. 2. To ensure that the requirements for the timely evaluation and assessment are not circumvented.	Eligibility Notes Webspoe

INITIAL EVALUATION AND ASSESSMENT PROCEDURES

Required Components of Initial Evaluation/Assessment

3000.350 Current health records and medical history 303.322 (c)(3)(i); SP (V) SPOE	Documentation is present that the multidisciplinary evaluation included a review of pertinent records related to the child's current health status and medical history.	Eligibility Notes Webspoe
3000.360 Child's level of functioning 303.322 (c)(3)(ii); SP (V)	Documentation is present of an evaluation of the child's level of functioning in each of the following areas: 3000.360.a. Cognitive development 3000.360.b. Physical development, including vision and hearing	Eligibility Notes Eligibility Authorizations

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Legal Requirement	Indicator	Documentation
SPOE	<p>3000.360.c. Communication development</p> <p>3000.360.d. Social/emotional development</p> <p>3000.360.e. Adaptive development</p> <p>NOTE: Evaluation may include both formal/informal methods/instruments.</p>	Webspoe
<p>3000.370</p> <p>Unique needs of the child</p> <p>303.322 (c)(3)(iii); SP (V)</p> <p>SPOE</p>	<p>Documentation is present an assessment that articulates the unique needs of the child in terms of each developmental area was completed.</p> <p>3000.370.a. Cognitive development</p> <p>3000.370.b. Physical development, including vision and hearing</p> <p>3000.370.c. Communication development</p> <p>3000.370.d. Social/emotional development</p> <p>3000.370.e. Adaptive development</p> <p>NOTE: Assessment may include both formal/informal methods/instruments.</p>	<p>Eligibility Notes</p> <p>Webspoe</p>
<p>3000.380</p> <p>Conducted by qualified personnel</p> <p>300.322 (c)(1); 303.323 (d); SP (V)</p> <p>SPOE</p>	<p>Documentation is present that an evaluation was conducted by personnel trained to utilize appropriate methods and procedures for the evaluation of infants and toddlers, to include:</p> <p>The position(s) and /or name(s) of individuals administering each evaluation/assessment procedure is present</p>	<p>Eligibility Notes</p> <p>Eligibility Authorizations</p> <p>Webspoe</p>
<p>3000.390</p> <p>Based on informed clinical opinion</p> <p>300.322 (c)(2); SP (V)</p> <p>SPOE</p>	<p>Documentation is present that the evaluation and assessment define the child's abilities and needs within his/her natural environments. In order to reach an informed clinical opinion about the development of an infant or toddler, the professional should use at least one of the following:</p> <ul style="list-style-type: none"> ○ Interviews with parents ○ Observation of the child at play ○ Observation of parent-child interactions ○ Information from professionals including child-care providers ○ Neuro-developmental or physical examinations 	<p>Eligibility Notes</p> <p>Webspoe</p>
3000.400	Documentation is present that the evaluation/assessment was conducted by a multidisciplinary process, including:	Eligibility Notes

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Legal Requirement	Indicator	Documentation
Multidisciplinary Evaluation 303.322 (a)(1); 303.17; SP (V)	At least two or more different disciplines or professions NOTE: The intake coordinator may be considered one of the disciplines.	Webspoe
SPOE		
Eligibility		
3000.410 Statement of Eligibility 303.300; SP (I)	The eligibility statement is documented and includes one (1) of the following: 3000.410.a. A diagnosed medical condition OR 3000.410.b. The area(s) in which the child was found to be delayed and the degree of the delay	Eligibility Notes Webspoe
SPOE		
3000.420 Basis for determination of eligibility and need for early intervention services 303.300; SP (I)	Documentation confirms eligibility was determined with the following criteria:	Eligibility Notes Webspoe
SPOE		
3000.430 Newborn Conditions (Conditions diagnosed at birth or 30 days post birth) 303.300; SP (I)(A)	Documentation is present verifying: 3000.430.a. Very low birth weight AND one or more of the following conditions: 3000.430.b. Apgar of 6 or less at 5 minutes 3000.430.c. Intracranial bleeds (Grade II, III, or IV) 3000.430.d. Asphyxiation 3000.430.e. Ventilator dependent for 72 hours or more NOTE: Continuous Positive Airway Pressure (CPAP), High Humidity Nasal Cannula (HHNC), Flow Positive Airway Pressure (flowPAP), Sigh Positive Airway Pressure (SiPAP), and/or Bi-Level Positive Airway Pressure (BiPAP) are all acceptable forms of respiratory support when calculating the required 72 hours a very low birth weight child is on a ventilator and may be considered as a factor in eligibility for First Steps.	Eligibility Notes Webspoe
SPOE		

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Legal Requirement	Indicator	Documentation
	OR	
3000.440 Neonatal/Infant/Toddler Conditions 303.300; SP (I)(A)(2)(a) SPOE	Documentation is present that the child exhibits: 3000.440.a. Genetic conditions known to be associated with mental retardation or developmental disabilities (e.g., Down Syndrome, Prader Willi, Fragile X Syndrome) OR 3000.440.b. Additional conditions known to be associated with mental retardation or developmental disabilities (e.g., Spina Bifida, Cerebral Palsy, Autism Spectrum Disorders) NOTE: For further examples of genetic and other conditions associated with mental retardation or developmental disabilities see Part C State Plan Section (I)(A)(2)(b).	Eligibility Notes Webspoe
	OR	
3000.450 Other diagnosed conditions 303.300; SP (I) (A)(2)(b) SPOE	Documentation is present that the child exhibits a condition known to be associated with mental retardation or developmental disabilities. 3000.450.a. Diagnosis is based upon informed clinical opinion by Board Certificated personnel: o Neonatologists o Pediatricians o Geneticists o Pediatric neurologists 3000.450.b. Physician’s documentation must include the specific condition and the potential impact of the condition in one or more of the five (5) developmental areas.	Physician Informed Clinical Opinion Form Eligibility Notes Casenotes Webspoe
	OR	
3000.460 Developmental Delay 303.300; SP (I)(B) SPOE	Documentation is present that: 3000.460.a. The child is functioning at half the developmental level that would be expected for a child developing within normal limits and of equal age 3000.460.b. Delay identified in one or more of the following areas: o Cognitive development o Communication development	Eligibility Notes Webspoe

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Legal Requirement	Indicator	Documentation
	<ul style="list-style-type: none"> ○ Physical development (including vision and hearing) ○ Social or emotional development ○ Adaptive development <p>NOTE: For infants born prematurely, the adjusted chronological age, calculated by deducting one-half of the prematurity from the child’s chronological age, should be assigned for a period of up to 12 months or longer if recommended by the child’s physician.</p>	
Timelines		
<p>3000.470</p> <p>Timelines</p> <p>303.322 (e)(1); 303.321 (e)(2); 303.322 (e)(2); SP (V)(VI)</p> <p>SPOE</p>	<p>3000.470.a. Documentation is present that the initial evaluation/assessment of each child (including the family assessment) and the IFSP were completed within 45 days of referral.</p> <p style="text-align: center;">OR</p> <p>3000.470.b. If the evaluation/assessment process exceeded 45 days, documentation is present of appropriate circumstances for extension of timelines (SEE NOTE).</p> <p>NOTE: Appropriate exceptional circumstances might include such things as child/family illness, hospitalization, lack of parent cooperation or any other “family initiated” delay.</p> <p>If appropriate, an interim IFSP must be developed.</p>	<p>IFSP</p> <p>Data System report</p> <p>Webspoe</p>
Family Assessment		
<p>3000.480</p> <p>Family Assessment</p> <p>(N/A if consent is not obtained)</p> <p>300.322 (d); SP (V)</p> <p>SPOE</p>	<p>If the family agrees, information is gathered through a family assessment. Documentation is present that the assessment:</p> <p>3000.480.a. Was conducted by personnel trained to utilize appropriate methods and procedures;</p> <p>3000.480.b. Included name(s) <i>and</i> role(s) of the individual(s) conducting the family assessment;</p> <p>3000.480.c. Was based on information provided by the family through a personal interview; and</p> <p>3000.480.d. Incorporates the family’s description of its resources, priorities and concerns related to enhancing the child’s development.</p>	<p>IFSP</p>
INTERIM IFSP WHEN EXCEEDING 45 DAYS		
<p>3000.490</p> <p>Interim IFSP is developed for an</p>	<p>Documentation is present that an interim IFSP is developed for an eligible child whose evaluation will exceed 45 days when appropriate circumstances are evident.</p>	<p>IFSP – Interim</p>

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Legal Requirement	Indicator	Documentation
<p>eligible child whose evaluation will exceed 45 days (due to a parent or child delay)</p> <p>303.345; SP (VI)</p> <p>SPOE</p>		
PRIOR WRITTEN NOTICE OF ACTION – INTERIM IFSP EXCEEDING 45 DAYS		
<p>3000.500 Written Notice of Action with all required components provided prior to implementing Interim IFSP</p> <p>303.403; SP (IX)</p> <p>SPOE</p>	<p>Prior Written Notice for interim IFSP and early intervention services was provided.</p>	<p>Notice of Action/Consent Form</p>
Written Notice of Action Content		
<p>3000.510 Date of Notice</p> <p>303.403; SP (IX)</p> <p>SPOE</p>	<p>Date of the Notice (mm/dd/yy)</p>	<p>Notice of Action/Consent Form</p>
<p>3000.520 Statement of the action</p> <p>303.403 (b)(1); SP (IX)</p> <p>SPOE</p>	<p>Statement of the action(s) being proposed.</p>	<p>Notice of Action/Consent Form</p>
<p>3000.530 Reasons for the action</p> <p>303.403 (b)(2); SP (IX)</p>	<p>Statement of the reason(s) for the action(s) being proposed.</p>	<p>Notice of Action/Consent form</p>

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Legal Requirement	Indicator	Documentation
SPOE		
3000.540 Parental Rights Statement provided 303.403 (b)(3)(4); SP (IX)	Documentation that the parent was provided a copy of the Parental Rights Statement	Notice of Action/Consent Form
SPOE		
3000.550 Language of Notice 303.403 (c)(1); SP (IX)	Notice is: <ul style="list-style-type: none"> ○ Written in language understandable to the general public <li style="text-align: center;">and ○ Provided in the native language of the parents, unless it is clearly not feasible to do so 	Notice of Action/Consent Form
SPOE		
3000.560 Language of parent not a written language 303.401 (b); 303.403 (c) (2)(3); SP (IX)	If the native language or other mode of communication of the parent is not a written language, documentation indicates that the designated service coordinator took steps to ensure that: <ul style="list-style-type: none"> ○ The notice was translated orally or by other means to the parent in the parent's native language or other mode of communication <li style="text-align: center;">and ○ The parent understands the notice 	Notice of Action/Consent Form Case Notes
SPOE		
NOTE: If the parent is deaf or blind, or has no written language, the mode of communication must be that normally used by the parent (such as sign language, Braille, or oral communication).		
PARENTAL CONSENT – INTERIM IFSP EXCEEDING 45 DAYS		
3000.570 Parental Consent obtained prior to implementing the interim IFSP (N/A if parent declined to give consent) 303.404 (a)(1); SP (IX)	Written consent was obtained prior to implementing the interim IFSP. Documentation indicates: <ul style="list-style-type: none"> 3000.570.a. Parent Signature 3000.570.b. Date (mm/dd/yy) Note: Date of parental consent must be prior to the date of the provision of any early intervention services.	Notice of Action/Consent Form

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Legal Requirement	Indicator	Documentation
SPOE		
	OR	
3000.580 Parent declined an interim IFSP (N/A if parent gave consent) 303.404 (b); SP (IX) SPOE	If parent declines to give consent, or withdraws consent after first providing it, for the implementation of the IFSP, documentation is present that the designated service coordinator made reasonable attempts to ensure that the parent: <ul style="list-style-type: none"> ○ Was fully aware of the nature of the early intervention services that would be available. <li style="padding-left: 40px;">and ○ Understood that the child would not be able to receive the EI services unless consent was given. 	Notice of Action/Consent Form Case notes
3000.590 Content of Interim IFSP 303.345; SP (VI) SPOE	An Interim IFSP is present that includes the following content: <p>3000.590.a. The name of the service coordinator who will be responsible for implementation of the Interim IFSP and coordinating with other agencies and persons.</p> <p>3000.590.b. The early intervention services that have been determined to be needed immediately by the child and the child’s family.</p>	IFSP – Interim
INFORMED PARENTAL CONSENT TO BILL PUBLIC AND/OR PRIVATE INSURANCE		
3000.600 Informed Parental Consent Obtained to bill Public (Medicaid) and/or Private Insurance 303.520; SP (XII) (N/A if parent does not qualify for Medicaid and does not have private insurance)	Documentation is present that parent was provided with public/private insurance consent form and gave informed written consent to bill public and/or private insurance, as applicable.	Public and/or private insurance consent form Case notes Webspoe
	OR	
3000.605 Parent declined to give written consent to bill public/private insurance 303.520; SP (XII) (N/A if parent gives written	Parent declined to give written consent to bill public/private insurance.	Public and/or private insurance consent form Case notes Webspoe

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Legal Requirement	Indicator	Documentation
consent)		
INDIVIDUALIZED FAMILY SERVICE PLAN (IFSP)		
3000.610 Written Notification of IFSP meeting 303.342 (d)(2); SP (VI) SPOE; DMH	Notification of IFSP meeting (mm/dd/yy) is present indicating the date family and other participants were notified of the IFSP meeting in writing, early enough to ensure their ability to attend.	IFSP Meeting Notification
IFSP Meeting Participants		
3000.630 The parent(s) of the child 303.343 (a)(1); SP (VI) SPOE; DMH	The parent(s) of the child	IFSP
3000.640 For the initial IFSP meeting, the Intake Service Coordinator (N/A for annual IFSP and periodic IFSP review meetings) 303.343 (a)(1); SP (VI) SPOE	For the initial IFSP meeting, the Intake Service Coordinator. NOTE: If, prior to the initial IFSP meeting, an ongoing service coordinator has been identified, that person may be invited to attend the meeting.	IFSP
3000.650 For the annual IFSP meeting and periodic IFSP review, the On-going Service Coordinator (N/A for initial IFSP meeting)	For the annual IFSP meeting and periodic IFSP review, the On-going Service Coordinator	IFSP

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Legal Requirement	Indicator	Documentation
303.343 (a)(1); SP (VI) SPOE; DMH		
3000.660 Other family members as requested by the parent(s) 303.343 (a)(1); SP (VI) SPOE; DMH	Other family members as requested by the parent(s)	IFSP
3000.670 An advocate or other person outside the family, as requested by the parent(s) 303.343 (a)(1); SP (VI) SPOE; DMH	An advocate or other person outside the family, as requested by the parent(s)	IFSP
3000.680 The person(s) directly involved in conducting the evaluations and assessments 303.343 (a)(1); SP (VI) SPOE; DMH	The person(s) directly involved in conducting the evaluations and assessments. (For periodic IFSP review, only required if conditions warrant) NOTE: See alternate methods of participation in IFSP meeting(s) at Indicator 3000.700.	IFSP
3000.690 Service providers, as appropriate 303.343 (a)(1); SP (VI) SPOE; DMH	Service providers, as appropriate. (For periodic IFSP review, only required if conditions warrant)	IFSP

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
<p>3000.700</p> <p>Alternate arrangements for participation in IFSP meeting (N/A if individual(s) in attendance) 303.343 (a)(2); SP (VI)</p> <p>SPOE; DMH</p>	<p>Documentation indicates that, when necessary, individuals directly involved in conducting the evaluations and assessments were provided alternate methods of participation, which may include:</p> <ul style="list-style-type: none"> ○ telephone conference call ○ having a knowledgeable authorized representative attend the meeting ○ making pertinent records available at the meeting 	<p>IFSP</p> <p>Case Notes</p>
CONTENT OF THE IFSP		
<p>3000.710</p> <p>Statement of child’s present level of development 303.344 (a)(1); SP (VI)</p> <p>SPOE; DMH</p>	<p>The IFSP documents the child’s current status in each of the following areas based on professionally acceptable objective criteria:</p> <p>3000.710.a. Physical (including vision, hearing and health)</p> <p>3000.710.b. Cognitive development</p> <p>3000.710.c. Communication</p> <p>3000.710.d. Social or emotional development</p> <p>3000.710.e. Adaptive development</p>	<p>IFSP</p>
<p>3000.720</p> <p>Summary of family information 303.344 (b); SP (VI)</p> <p>SPOE; DMH</p>	<p>3000.720.a. With the family’s agreement, the IFSP includes the summary of the family assessment</p> <p style="text-align: center;">OR</p> <p>3000.720.b. When the family does not agree to include this information, the IFSP must include a statement to that effect.</p> <p>NOTE: Content of family assessment was evaluated under Indicator 3000.480.</p>	<p>IFSP</p>
<p>3000.730</p> <p>Statement of outcomes 303.344 (c); SP (VI)</p> <p>SPOE; DMH</p>	<p>The IFSP includes a statement of the major outcomes expected to be achieved for the child and the family.</p> <p>Each outcome includes:</p> <p>3000.730.a. Strategies and Activities (summarize ideas for addressing the outcome)</p> <p>3000.730.b. Criteria (what needs to be accomplished in order for outcome to be met)</p> <p>3000.730.c. Procedures (how progress toward the outcome(s) will be measured)</p>	<p>IFSP</p>

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
	<p>3000.730.d. Timelines (start date and end date for the outcome(s))</p> <p>NOTE: The criteria, procedures and timelines are used to determine (1) the degree to which progress toward achieving the outcomes is being made, and (2) whether modifications or revisions of the outcomes or services are necessary.</p>	
<p>3000.740</p> <p>Statement of early intervention services</p> <p>303.12(d)(definitions); 303.13; 303.344 (d)</p> <p>SP (A)(d)(definitions); SP (VI)</p> <p>SPOE; DMH</p>	<p>The IFSP includes a statement of the specific early intervention services, necessary to meet the unique needs of the child and the family to achieve the outcome(s) identified in the IFSP:</p> <p>3000.740.a. Early intervention services are identified under one (1) or more of the following categories:</p> <ul style="list-style-type: none"> ○ Assistive technology devices and services ○ Audiology ○ Family training, counseling and home visits ○ Health services necessary to enable a child to benefit from the other EI services under this part ○ Medical services for diagnostic or evaluation purposes only ○ Nursing services ○ Nutrition services ○ Occupational therapy ○ Physical therapy ○ Psychological services ○ Service coordination ○ Social work services ○ Special instruction ○ Speech/language pathology ○ Transportation and related costs that are necessary to enable an eligible child and the child's family to receive EI services ○ Vision services <p>NOTE: This is not an exhaustive list of EI services.</p>	IFSP

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
<p>3000.750</p> <p>Description of the services to be provided</p> <p>303.344 (d)(1)(2)(3); SP (VI)</p> <p>SPOE; DMH</p>	<p>The IFSP describes the services to be provided by addressing:</p> <p>3000.750.a. The frequency of the service (i.e., number of days or sessions).</p> <p>3000.750.b. The intensity of the service (i.e., the length of time for each session).</p> <p>3000.750.c. Whether the service is provided on an individual basis or on a group basis.</p> <p>3000.750.d. The method for providing the services (e.g., direct, consultation/facilitation, evaluation, assessment, service coordination).</p> <p>3000.750.e. The location of the services (actual place(s) where the service will be provided).</p> <p>3000.750.f. The payment arrangements, if any.</p>	<p>IFSP</p>
<p>3000.760</p> <p>Statement addressing services in the natural environment</p> <p>303.12 (b); 303.18; 303.344 (d)(ii); SP (VI)</p> <p>SPOE; DMH</p>	<p>To the maximum extent appropriate to meet the needs of the child, early intervention services must be provided in natural environments, including home and community settings in which children without disabilities participate. The IFSP includes:</p> <p>3000.760.a. A description of the natural environments in which early intervention services will be provided</p> <p style="text-align: center;">OR</p> <p>3000.760.b. A justification of the extent to which the services will not be provided in a natural environment, if applicable.</p> <p>NOTE: Natural environments are defined as settings that are natural or normal for the child's age peers who have no disabilities.</p>	<p>IFSP</p>
<p>3000.770</p> <p>A Statement of other services</p> <p>303.344 (e); SP (VI)</p> <p>SPOE; DMH</p>	<p>To the extent appropriate, the IFSP addresses:</p> <p>3000.770.a. Medical or other services to meet the needs of the child even though they are not included as Part C service(s).</p> <p>3000.770.b. The funding source(s) to be used to pay for the service(s).</p> <p style="text-align: center;">OR</p> <p>3000.770.c. The steps that will be taken to secure the service(s) through public or private sources.</p> <p>NOTE: This requirement does not apply to routine medical services (immunizations, well-baby care) unless the child needs those services and the services are not otherwise available or being provided.</p>	<p>IFSP</p>
<p>3000.780</p> <p>Dates for initiation and duration of services</p>	<p>The IFSP includes:</p> <p>3000.780.a. The projected dates (mm/dd/yy) for initiation of the services outlined in the IFSP.</p> <p>3000.780.b. The anticipated duration (i.e., end date) of the services.</p>	<p>IFSP</p> <p>Data Report</p> <p>Case notes</p>

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
303.344 (f)(1)(2); SP (VI) SPOE; DMH		
3000.790 Early Intervention (EI) Services are provided in a timely manner 303.344 (f)(1); SP (VI) SPOE; DMH	Documentation indicates Early Intervention (EI) Services began as soon as possible after the IFSP meeting, and within thirty (30) days of parental consent for services , unless the IFSP team determined a later date was appropriate.	IFSP Data Report Case Notes
3000.800 On-going Service Coordinator identified 303.344 (g); 303.23; SP (VI) SPOE; DMH	The IFSP includes the name of the on-going service coordinator who will be responsible for the implementation of the IFSP and coordination with other agencies and persons.	IFSP
3000.810 Transition 303.344 (h); SP (VI) SPOE; DMH	The IFSP addresses the child's transition that will occur at age three or when the child exits First Steps. Discussion with and training of parents regarding future placements and other matters related to the child's transition must be documented on <i>each</i> IFSP	IFSP
PRIOR WRITTEN NOTICE OF ACTION – INITIATION OF EARLY INTERVENTION SERVICES		
3000.820 Written Notice with all required components provided prior to initiation of early intervention services 303.403 (a); SP(VI)(IX); 303.342	Prior Written Notice was provided to the parents(s) of an eligible child within a reasonable time prior to implementing the initial IFSP.	Notice of Action/Consent Form IFSP

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
<p>(e)</p> <p>SPOE (FOR INITIAL EI SERVICES)</p> <p>SPOE; DMH (For Subsequent EI Services)</p>		
Written Notice of Action Content		
<p>3000.830 Date of Notice</p> <p>303.403 (a); SP(VI)(IX); 303.342 (e)</p> <p>SPOE (For Initial EI Services)</p> <p>SPOE; DMH (For Subsequent EI Services)</p>	<p>Date of the Notice (mm/dd/yy)</p>	<p>Notice of Action/Consent Form</p>
<p>3000.840 Statement of the action</p> <p>303.403 (b)(1); SP (IX)</p> <p>SPOE (For Initial EI Services)</p> <p>SPOE; DMH (For Subsequent EI Services)</p>	<p>Statement of the action(s) being proposed</p>	<p>Notice of Action/Consent Form</p>
<p>3000.850 Reasons for the action</p>	<p>Statement of the reason(s) for the action(s) being proposed</p>	<p>Notice of Action/Consent</p>

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
<p>303.403 (b)(2); SP (IX)</p> <p>SPOE (For Initial EI Services)</p> <p>SPOE; DMH (For Subsequent EI Services)</p>		Form
<p>3000.860 Parental Rights Statement provided</p> <p>303.403 (b)(3)(4); SP (IX)</p> <p>SPOE (For Initial EI Services)</p> <p>SPOE; DMH (For Subsequent EI Services)</p>	Documentation that the parent was provided a copy of the Parental Rights Statement	Notice of Action/Consent Form
<p>3000.870 Language of Notice</p> <p>303.403 (c) (1); SP (IX)</p> <p>SPOE (For Initial EI Services)</p> <p>SPOE; DMH (For Subsequent EI Services)</p>	<p>Notice is:</p> <ul style="list-style-type: none"> ○ Written in language understandable to the general public <li style="text-align: center;">and ○ Provided in the native language of the parents, unless it is clearly not feasible to do so 	Notice of Action/Consent Form
<p>3000.880 Language of parent not a written language</p> <p>303.401 (b); 303.403 (c)(2)(3); SP (IX)</p>	<p>If the native language or other mode of communication of the parent is not a written language, documentation indicates that the designated service coordinator took steps to ensure that:</p> <ul style="list-style-type: none"> ○ The notice was translated orally or by other means to the parent in the parent’s native language or other mode of communication <li style="text-align: center;">and ○ The parent understands the notice 	<p>Notice of Action/Consent Form</p> <p>Case Notes</p>

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
SPOE (For Initial EI Services) SPOE; DMH (For Subsequent EI Services)	NOTE: If the parent is deaf or blind, or has no written language, the mode of communication must be that normally used by the parent (such as sign language, Braille, or oral communication).	
PARENTAL CONSENT – INITIATION OF EARLY INTERVENTION SERVICES		
3000.890 Parental Consent obtained prior to initiation of early intervention services 303.404(a)(2); SP (VI) SPOE (For Initial EI Services) SPOE; DMH (For Subsequent EI Services)	Written consent was obtained prior to initiation of early intervention services. Documentation includes: 3000.890.a. Parent Signature 3000.890.b. Date (mm/dd/yy) NOTE (1): Date of parental consent must be prior to initiating early intervention services. NOTE (2): Only the services for which parental consent has been given should be listed on the IFSP. IFSP meeting notes are recorded in the First Steps data system to record recommendations and options that do not appear in the IFSP and serve as a reference for future discussions.	Notice of Action/Consent Form Case Notes
ANNUAL AND PERIODIC IFSP MEETINGS		
3000.900 Annual meeting to evaluate the IFSP is held 303.342(c); SP (VI) SPOE; DMH	The IFSP team meets to review and revise, if necessary, the IFSP on an annual basis. Documentation includes: 3000.900.a. Date of meeting (mm/dd/yy) 3000.900.b. Annual meetings are no more than 365 calendar days apart	Meeting Notifications IFSP Webspoe Case Notes
3000.910 Periodic review of the IFSP occurs 303.342 (b); SP (VI) SPOE; DMH	The IFSP is reviewed every six months or more frequently if needed, or if requested by the parent. Documentation is present that: 3000.910.a. Reviews occur at least every six months (mm/dd/yy). 3000.910.b. Reviews address the degree to which progress is being made toward achieving the outcomes. 3000.910.c. Reviews determine whether modifications or revisions of the outcomes or services are necessary. NOTE 1: Periodic review may occur through a meeting or another means acceptable to the parent(s) and other participants.	Meeting Notifications IFSP Webspoe Case Notes

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
	NOTE 2: Because the annual meeting incorporates the periodic six month review, only one (1) separate periodic review is necessary each year. NOTE 3: If there is no need for changes in the IFSP (as determined by the IFSP team), the service coordinator documents this along with dates of contact and no meeting is required. A complete IFSP must be in the file to document that the IFSP was reviewed in this way.	
PRIOR WRITTEN NOTICE OF ACTION – CHANGE OF LOCATION/SETTING		
3000.920 Prior Written Notice with all required components provided to parent for a change in location/setting of services 303.403; SP (IX) SPOE; DMH	Prior Written Notice is given to the parent(s) a reasonable time before changing the location/setting of early intervention services as outlined in the IFSP.	Notice of Action Form IFSP Case Notes
Written Notice of Action Content		
3000.940 Date of Notice 303.403; SP (IX) SPOE; DMH	Date of Notice (mm/dd/yy)	Notice of Action Form
3000.950 Statement of the action 303.403 (b)(1); SP (IX) SPOE; DMH	Statement of the action(s) being proposed or refused	Notice of Action Form
3000.960 Reasons for the action 303.403 (b)(2); SP (IX)	Statement of the reason(s) for the action(s) being proposed or refused	Notice of Action Form

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
SPOE; DMH		
3000.970 Parental Rights Statement provided 303.403 (b)(3)(4); SP (IX) SPOE; DMH	Documentation that the parent was provided a copy of the Parental Rights Statement	Notice of Action form
3000.980 Language of Notice 303.403 (c)(1); SP (IX) SPOE; DMH	Notice is: <ul style="list-style-type: none"> ○ Written in language understandable to the general public <li style="text-align: center;">and ○ Provided in the native language of the parents, unless it is clearly not feasible to do so 	Notice of Action form
3000.990 Language of parent not a written language 303.401 (b); 303.403 (c)(2)(3); SP (IX) SPOE; DMH	If the native language or other mode of communication of the parent is not a written language, documentation indicates that the designated service coordinator took steps to ensure that: <ul style="list-style-type: none"> ○ The notice was translated orally or by other means to the parent in the parent’s native language or other mode of communication <li style="text-align: center;">and ○ The parent understands the notice NOTE: If the parent is deaf or blind, or has no written language, the mode of communication must be that normally used by the parent (such as sign language, Braille, or oral communication).	Notice of Action form Case Notes
PRIOR WRITTEN NOTICE OF ACTION – CHANGE IN TYPE OR AMOUNT OF SERVICES		
3000.1000 Written notice of action with all required components provided to the parent prior to a change in services	Prior written notice is given to the parent(s) a reasonable time prior to initiating a change in the type or amount of the early intervention services outlined in the IFSP.	Notice of Action Form IFSP Case Notes

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
303.403(a); SP (IX) SPOE; DMH		
Written Notice of Action Content		
3000.1020 Date of Notice 303.403(a); SP (IX) SPOE; DMH	Date of Notice (mm/dd/yy)	Notice of Action Form
3000.1030 Statement of the action 303.403 (b)(1); SP (IX) SPOE; DMH	Statement of the action(s) being proposed or refused	Notice of Action Form
3000.1040 Reasons for the action 303.403 (b)(2); SP (IX) SPOE; DMH	Reason(s) for the action	Notice of Action Form
3000.1050 Parental Rights Statement provided 303.403 (b)(3)(4); SP (IX) SPOE; DMH	Documentation that the parent was provided a copy of the Parental Rights Statement	Notice of Action Form

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
<p>3000.1060 Language of Notice 303.403 (c)(1); SP (IX)</p> <p>SPOE; DMH</p>	<p>Notice is:</p> <ul style="list-style-type: none"> ○ Written in language understandable to the general public and ○ Provided in the native language of the parents, unless it is clearly not feasible to do so 	<p>Notice of Action Form</p>
<p>3000.1070 Language of parent not a written language 303.401 (b); 303.403 (c)(2)(3); SP (IX)</p> <p>SPOE; DMH</p>	<p>If the native language or other mode of communication of the parent is not a written language, documentation indicates that the designated service coordinator took steps to ensure that:</p> <ul style="list-style-type: none"> ○ The notice was translated orally or by other means to the parent in the parent’s native language or other mode of communication and ○ The parent understands the notice <p>NOTE: If the parent is deaf or blind, or has no written language, the mode of communication must be that normally used by the parent (such as sign language, Braille, or oral communication).</p>	<p>Notice of Action Form</p> <p>Case Notes</p>
PRIOR WRITTEN NOTICE OF ACTION – INELIGIBLE FOR EARLY INTERVENTION SERVICES		
<p>3000.1080 Written notice of action with all required components is provided to the parent if the child is determined ineligible for EI services 303.403 (b)(1); SP (IX)</p> <p>SPOE; DMH</p>	<p>Prior written notice is given to the parent if the child is determined ineligible for Early Intervening services.</p>	<p>Notice of Action Form</p>
Written Notice of Action Content		
<p>3000.1090 Date of Notice 303.403 (b)(1); SP (IX)</p>	<p>Date of Notice (mm/dd/yy)</p>	<p>Notice of Action Form</p>

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
SPOE; DMH		
3000.1100 Statement of the action 303.403 (b)(1); SP (IX)	Statement of the action(s) being proposed or refused	Notice of Action Form
SPOE; DMH		
3000.1110 Reasons for the action 303.403 (b)(2); SP (IX)	Reason(s) for the action	Notice of Action Form
SPOE; DMH		
3000.1120 Parental Rights Statement provided 303.403 (b)(3)(4); SP (IX)	Documentation that the parent was provided a copy of the Parental Rights Statement	Notice of Action Form
SPOE; DMH		
3000.1130 Language of Notice 303.403 (c)(1); SP (IX)	Notice is: <ul style="list-style-type: none"> ○ Written in language understandable to the general public <li style="text-align: center;">and ○ Provided in the native language of the parents, unless it is clearly not feasible to do so 	Notice of Action Form
SPOE; DMH		
3000.1140 Language of parent not a written	If the native language or other mode of communication of the parent is not a written language, documentation indicates that the designated service coordinator took steps to ensure that:	Notice of Action Form

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
language 303.401 (b); 303.403 (c)(2)(3); SP (IX) SPOE; DMH	<ul style="list-style-type: none"> ○ The notice was translated orally or by other means to the parent in the parent’s native language or other mode of communication <li style="text-align: center;">and ○ The parent understands the notice <p>NOTE: If the parent is deaf or blind, or has no written language, the mode of communication must be that normally used by the parent (such as sign language, Braille, or oral communication).</p>	Case Notes
PRIOR WRITTEN NOTICE OF ACTION – REFUSAL TO EVALUATE UPON REFERRAL		
3000.1150 Written notice of action with all required components is provided to the parent when refusing to evaluate child upon referral 303.403; SP (IX) SPOE; DMH	Prior written notice of action with all required components is provided to the parent(s) when refusing to evaluate the child upon referral.	Notice of Action Form
Written Notice of Action Content		
3000.1160 Date of Notice 303.403; SP (IX) SPOE; DMH	Date of Notice (mm/dd/yy)	Notice of Action Form
3000.1170 Statement of the action 303.403 (b)(1); SP (IX) SPOE; DMH	Statement of the action(s) being refused	Notice of Action Form
3000.1180	Reason(s) for the action	Notice of Action

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
Reasons for the action 303.403 (b)(2); SP (IX) SPOE; DMH		Form
3000.1190 Parental Rights Statement provided 303.403 (b)(3)(4); SP (IX) SPOE; DMH	Documentation that the parent was provided a copy of the Parental Rights Statement	Notice of Action Form
3000.1200 Language of Notice 303.403 (c)(1); SP (IX) SPOE; DMH	Notice is: <ul style="list-style-type: none"> ○ Written in language understandable to the general public and ○ Provided in the native language of the parents, unless it is clearly not feasible to do so 	Notice of Action Form
3000.1210 Language of parent not a written language 303.401 (b); 303.403 (c)(2)(3); SP (IX) SPOE; DMH	If the native language or other mode of communication of the parent is not a written language, documentation indicates that the designated service coordinator took steps to ensure that: <ul style="list-style-type: none"> ○ The notice was translated orally or by other means to the parent in the parent’s native language or other mode of communication and ○ The parent understands the notice <p>NOTE: If the parent is deaf or blind, or has no written language, the mode of communication must be that normally used by the parent (such as sign language, Braille, or oral communication).</p>	Notice of Action Form Case Notes
TRANSITION FROM PART C AT AGE THREE (3)		
3000.1220	Documentation is present that an IFSP meeting to discuss transition from Part C was held six (6) months prior to the child’s third birth date.	IFSP

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
<p>Transition Meeting held within timelines</p> <p>(N/A if timelines were exceeded due to documented parent/child reason [e.g., parent or child illness] or if referral to First Steps was received after the child turned 2 years 6 months)</p> <p>303.148 (2)(i); SP (F)</p> <p>SPOE; DMH</p>		<p>Case notes</p> <p>Webspoe</p>
OR		
<p>3000.1230</p> <p>Referral to First Steps was received after the child turned 2 years 6 months (i.e., Late Referral)</p> <p>(N/A if transition meeting held by age 2 years 6 months)</p> <p>303.148 (2)(i); SP (F)</p> <p>SPOE</p>	<p>Documentation is present that if a child was referred between the ages of 2 years 6 months and 3 years, the Intake Coordinator, with the parent's permission:</p> <p>3000.1230.a. Contacted the local education agency (LEA) to inform them that the child may potentially be eligible for ECSE</p> <p style="text-align: center;">OR</p> <p>3000.1230.b. If this contact did not occur, documentation is present that transition was addressed at the initial IFSP meeting.</p>	<p>Case notes</p> <p>Webspoe</p>
AND		
<p>3000.1240</p> <p>Requested parental permission to invite the LEA to the transition meeting</p> <p>303.148(2)(i); SP (F)</p> <p>(N/A Late referral)</p>	<p>Service Coordinator requested permission from the parent to invite the Local Education Agency (LEA) to the transition meeting.</p>	<p>Case notes</p>

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
SPOE; DMH		
<p>3000.1250 Obtained parental permission to invite the LEA to the transition meeting</p> <p>303.148(2)(i); SP (F)</p> <p>(N/A if parent did not consent to invite the LEA)</p> <p>SPOE; DMH</p>	<p>Service Coordinator obtained permission from the parent to invite the Local Education Agency (LEA) to the transition meeting.</p>	Case notes
<p>3000.1260 Local education agency (LEA) personnel were invited to attend the transition meeting.</p> <p>303.148(2)(i); SP (F)</p> <p>(N/A if parent did not consent to invite the LEA)</p> <p>SPOE; DMH</p>	<p>If parent consented to invite the Local Education Agency (LEA), documentation is present that local education agency (LEA) personnel were invited to attend the transition meeting.</p> <p>NOTE: If the LEA was invited, but was unable to attend the transition meeting, the Service Coordinator must conduct the transition meeting without the Local Education Agency (LEA).</p>	Meeting Notification
<p>3000.1270 Purpose of the Transition Meeting</p> <p>303.344 (h)(2)(ii); SP (F)</p> <p>SPOE; DMH</p>	<p>Documentation is present that at the transition meeting discussion occurred regarding the plan and procedures to prepare the child for changes in service delivery, including steps to help the child adjust and function in a new setting</p>	<p>IFSP</p> <p>Case notes</p> <p>Webspoe</p>
<p>3000.1280 Parental Consent for the exchange of personally identifiable information obtained prior to releasing information from the Early Intervention (EI) record</p>	<p>Documentation is present that written consent from the parent was obtained before any personally identifiable information was disclosed to LEA personnel.</p>	<p>Case notes</p> <p>Webspoe</p> <p>Release of Information Form</p>

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
303.401(a); 303.460(b); 34 CFR 300.571; 34 CFR Part 99 (FERPA); SP (IX) SPOE; DMH		
3000.1290 Information provided to local education agency (LEA) (N/A if consent not obtained from parent) 303.344 (h)(2)(iii); SP (F) SPOE; DMH	Documentation is present that information is provided in a timely manner to the local education agency (LEA) to assist the school district in determining the child's eligibility for Part B, and programmatic needs. This information includes, at a minimum:	Case Notes IFSP Webspoe
3000.1300 Name of the child 303.344 (h)(2)(iii); SP (F) SPOE; DMH	Name of the child	Case Notes IFSP Webspoe
3000.1310 Name, address and phone number of the parents 303.344 (h)(2)(iii); SP (F) SPOE; DMH	Name, address and phone number of the parents	Case Notes IFSP Webspoe
3000.1320 The child's birth date 303.344 (h)(2)(iii); SP (F)	The child's birth date	Case Notes IFSP Webspoe

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
SPOE; DMH		
3000.1330 A complete copy of the current IFSP, including the transition plan 303.344 (h)(2)(iii); SP (F)	A complete copy of the current IFSP, including the transition plan	Case Notes IFSP Webspoe
SPOE; DMH		
3000.1340 All evaluations conducted in the previous year 303.344 (h)(2)(iii); SP (F) 303.322	All evaluations conducted in the previous year.	Case Notes IFSP Webspoe
SPOE; DMH		
3000.1350 Any written reports from service providers within the last year 303.344 (h)(2)(iii); SP (F)	Any written reports from service providers within the last year.	Case Notes IFSP Webspoe
SPOE; DMH		
SERVICES PROVIDED IN ACCORDANCE WITH THE IFSP		
3000.1360 Services provided in accordance with the IFSP 303.167(a); 303.346; 303.525; SP (VI)	Service provider(s) implement provisions of the IFSP, as written.	IFSP Interviews with parents Interviews with providers Case Notes Progress Reports
Providers Only		

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
		Webspoe
EDUCATIONAL SURROGATE		
<p>3000.1370</p> <p>Determine need for educational surrogate</p> <p>303.406; SP (IX)</p> <p>(N/A if no need for appointment of educational surrogate)</p> <p>SPOE; DMH</p>	<p>Documentation is present that within 30 days of referral or within 30 days of a child being identified as a child with no parent, guardian, or person acting as a parent, or who is a ward of the state, the SPOE determined there was a need for an educational surrogate appointment.</p>	<p>Referral Form</p> <p>Case Notes</p> <p>Determination of Need for Educational Surrogate Appointment form</p>
<p>3000.1380</p> <p>Submit Determination of Need for Educational Surrogate Appointment Form</p> <p>(N/A if no need for appointment of educational surrogate)</p> <p>303.406; SP (IX)</p> <p>SPOE; DMH</p>	<p>3000.1380.a. Request for educational surrogate appointment was submitted to DESE Division of Special Education, within ten (10) days of the determination of need.</p> <p>3000.1380.b. A copy of the Determination of Need for Educational Surrogate Appointment form, approved and signed by DESE, and surrogate appointment letter are maintained in the early intervention record.</p>	<p>Determination of Need for Educational Surrogate Appointment form.</p>
<p>3000.1390</p> <p>Change in child's need for an educational surrogate</p> <p>(N/A if no need for appointment of educational surrogate)</p> <p>303.406; SP (IX)</p> <p>SPOE; DMH</p>	<p>Documentation is present that DESE was notified of the need for a change in the child's educational surrogate status within thirty (30) days of child's change in status.</p>	<p>Early intervention Records</p>
<p>3000.1400</p> <p>Change in specific educational surrogate appointment</p> <p>(N/A if no need for appointment</p>	<p>Documentation is present that DESE was notified of any changes that are needed for the surrogate appointment within thirty (30) days of the agency's awareness of the needed change (i.e., surrogate resignation, conflict of interest, etc.)</p>	<p>Early intervention Records</p>

3000-Early Intervention Services

Legal Requirement	Indicator	Documentation
of educational surrogate) 303.406; SP (IX) SPOE; DMH		
3000.1410 Annual surrogate evaluation(s) (N/A if no need for appointment of educational surrogate) 303.406; SP (IX) SPOE; DMH	3000.1410.a. Documentation is present that annual evaluations for educational surrogates are completed and submitted to DESE, Division of Special Education, by July 1 of each year OR 3000.1410.b. Prior to a recommendation for termination of the surrogate's appointment.	Early Intervention Record Evaluation Form SPOE Records for each active assignment Webspoe system
3000.1420 Evidence of recruiting efforts for educational surrogate (N/A if no identified need for educational surrogate appointments) 303.406; SP (IX) SPOE; DMH	Documentation is present of agency's efforts for recruiting individuals to serve as educational surrogates.	SPOE records