

Companion Document for Compliance Verification Review

Section I - Intake and Eligibility

#1 - CFC Manual Intake Procedures 1.0

Yes - Case note documenting phone call to the family within two business days of referral. If family has no phone, letter sent within 2 business days of referral. If family was referral source, case notes or referral form should clearly document.

No - No case note documenting contact/attempted contact or contact was not made within 2 business days.

#2 - CFC Manual Intake Procedures 5.0

Yes - Case note documenting face to face meeting with the family to discuss ei program and complete intake documents. Note: Re-referrals are not exempt from the requirement.

A response to CFC recommendations on this item was provided as part of a chart distributed for the November 2010 CFC managers meeting, stating that DHS legal did NOT approve the recommendation made.

No - No case note documenting intake meeting or intake was completed over the phone and intake documents were mailed for signatures.

#3 - CFC Manual Intake Procedures 5.6

Yes - Document is completely filled out, signed and dated.

No - Document is not in file.

Incomplete - Document is not completely filled out, signed or dated.

#4 - CFC Manual Intake Procedures 5.6

Yes - Document is completely filled out, signed and dated.

No - Document is not in file.

Incomplete - Document is not completely filled out, signed or dated.

#5 - CFC Manual Intake Procedures 5.7

Yes - Document is completely filled out, signed and dated.

No - Document is not in file.

Incomplete - Document is not completely filled out, signed or dated.

#6 - CFC Manual Intake Procedures 5.9

Yes - Document is completely filled out, signed and dated.

No - Document is not in file.

Incomplete - Document is not completely filled out, signed or dated. Questions on document are not answered appropriately.

#7 - CFC Manual Intake Procedures 5.9

Yes - Document is completely filled out, signed and dated.

No - Document is not in file.

Incomplete - Document is not completely filled out, signed or dated.

#8 - CFC Manual- Public and Private Insurance Use Sec. 2, page 67

Yes - Copies of the following are in the file, if applicable: All Kids card, PA42 screen, WIC card, private insurance card.

No - Has All Kids, but no copy of current card or PA 42 in file. Has WIC, but no copy of current WIC card in file. Has private insurance, but no copy of insurance card is in the file.

Incomplete- Copy of 1 side of the insurance card.

#9 - CFC Manual- Family Fee Determination 1)

Yes – Copies of two recent consecutive pay stubs, most recent 1040 form, or copy of All Kids card/PA42 (for those children below Level 2), or WIC Card is in file.

No – File does not include proof of income.

Incomplete – Information is not recent. Has only one pay stub or has inappropriate income documentation.

#10 - CFC Manual- Initial and Annual Eligibility 1.0

Yes – The monitor will look at the initial eligibility to determine if the documentation supports that the child is eligible under IL rules and that eligibility is accurately reflected on the PA35.

Eligibility determination was multi-disciplinary?

Is there an eligible diagnosis?

Is there a 30% delay?

If informed clinical opinion is used, is there documentation stating why child is eligible and how determination was made?

No – Evaluations do not show 30% delay or there is no documentation that IFSP team determined eligibility due to informed clinical opinion.

#11 - CFC Manual- Initial and Annual Eligibility 2.1

Yes – Eligibility letter or Waiver of Written Prior Notice in file and has correct eligibility reason.

No – No letter in file.

Incomplete – Letter does not have the eligibility reason.

#12 - CFC Manual- Initial and Annual Eligibility Policy 3)a)b)

Yes – The monitor will look at the most recent Annual eligibility to determine if the documentation supports that the child is eligible under IL rules?

Eligibility determination was multi-disciplinary?

Is there an eligible diagnosis?

Is there a 30% delay?

If informed clinical opinion is used, is there documentation stating why child is eligible and how determination was made?

No longer meets initial eligibility criteria – has delay/not attained age-equivalent development and EI service are needed to support continued developmental progress.

No – Evaluations do not show 30% delay or there is no documentation that IFSP team determined eligibility due to informed clinical opinion

Section II - Current IFSP and Reviews

#1 - CFR 303.342 IFSP Development

Yes - Initial IFSP completed within 45 days of referral.

No – Initial IFSP not completed within 45 days of referral.

#2 - CFC Manual- Initial/ Annual IFSP Development 5.11

Yes – Look at current IFSP services to determine if Physician auth has been obtained for all direct services that the child is currently receiving.

No – Physician’s auth is not present in the file or is expired.

Incomplete – Script is in the file but it is not updated, script is in the file but does not include all authorized services.

#3 – Authority Reference Pending

Yes – Auths were issued within 30 days of the most recent annual IFSP meeting. Child is not on service delay list for any services.

No – Auths were not issued for services within 30 days of most recent annual IFSP meeting. Child is on service delay list. * Comment should include a statement if the child was not listed on the service delay list (managers report)

#4 - CFR 303.12 (4) (b) (2) and CFC Manual- IFSP Form Instructions pg 9

Yes – Natural environments section of IFSP is completed for each outcome. If not in natural environment, justification is completely filled out.

No – Natural environment section of the IFSP is not completed. There is no justification form in the file.

Incomplete – Justification form is in the file but it is not completely filled out.

#5 - CFC Manual- Required Six Month Review 1.0

Yes – Case note documents phone call or letter, fax sent to request assessment report or Progress Summary reports.

No – No case note documenting phone. No letter or fax documenting request.

Incomplete – Assessment/Summary reports are present but there is no evidence that they were requested.

#6 - CFC Manual- Required Six Month Review 3.0

Yes – A letter has been sent to family and providers.

No – No documentation that notice was given to family and providers.

Incomplete – Notice was not in writing.

#7 - CFC Manual- Required Six Month Review 4.1

Yes – Documentation that each outcome is reviewed.

No – No documentation of progress.

Incomplete – Some outcomes were reviewed, but not all. Documentation of progress (or lack thereof) is minimal – such as “continue outcome”.

#8 - CFC Manual- Required Six Month Review Policy 5)

Yes – Case notes and/or letters show that all providers were invited to attend team meeting – providers can attend by phone or in person. Justification form to increase, decrease or change setting has been completely filled out.

No – No documentation that all IFSP team members were invited to meeting. Justification form not in file.

Incomplete – Justification form is present in file, but not completely or appropriately filled out.

#9 - CFC Manual- Required Six Month Review Policy 2)

Yes – Case note documented that meeting was held.

No – 6 month review did not occur.

Incomplete – 6 month review did occur but not all reports were present in the file.

#10 - CFC Manual- Overview of Child and Family Connections Pg. 7

Yes – Case notes document phone calls, attempted phone calls, or meetings. Letters sent are in the file.

No – There is no evidence that contact occurred each month

Incomplete – Monthly contact is missing for 1-2 months.

#11 - CFC Manual- Required Annual Review 1.0

Yes – Annual IFSP date is before IFSP end date or IFSP was extended and reason was case noted.

No – Date of Annual IFSP is after IFSP end date and there is no evidence that an extension was given.

Incomplete – IFSP was extended, but there was no case note documenting the reason for the extension.

#12 - CFC Manual- Required Annual Review 1.0, 2.0

Yes – Screening device for family fee, family income documentation and insurance information was updated at most recent annual IFSP. Updated Informed Doc and Receipt of Rights

No – At most recent annual IFSP, screening device for family fee, family income documentation and insurance information was not updated. Informed Doc and Receipt of Rights was not updated.

Incomplete – Some of the information was updated, but not all. Screening device was not completely or correctly filled out.

Section III - Transition and Exit Information

#1 - CFC Procedure Manual- Transition 1.0

Yes – Case note or other documentation that transition was discussed with family.

No – No evidence that communication on transition began.

#2 - CFC Procedure Manual- Transition 1.1

Yes – Consent to share information with LEA is signed and dated. Letter or case note that the referral packet was sent to LEA. The content of the packet varies according to the parent's consent.

No – There is no consent form for the LEA. There is no evidence that referral packet was sent to LEA.

Incomplete – Consent form is in file, but not completely filled out.

#3 - CFC Procedure Manual- Transition 3.1

Yes – Form is filled out as intended and case notes document that it was sent to LEA.

No – Form is not filled out and there is no evidence that it was sent to the LEA.

Incomplete – Form is not completely or accurately filled out.

#4 - CFC Procedure Manual- Transition 1.4

Yes – All efforts on behalf of transition are documented in case notes.

No – There is no mention in case notes of transition activities.

#5 - CFC Procedure Manual- Transition 3.0

Yes – Transition conference held at least 90 days prior to 3rd birthday – documented in case notes. Documentation in letter or case notes that IFSP team and LEA were invited to the meeting.

No – Meeting held, but not within required timeframes. No documentation that meeting was held.

#6 - CFC Procedure Manual- Transition 2.0

Yes – Meeting date and topics of discussion are documented in case notes; may be same meeting as transition conference.

No – No meeting documented. No documentation that progress towards functional outcomes and EI levels of development/child outcomes were discussed.

Incomplete – Documentation that meeting occurred, but no documentation that progress, etc. was discussed.

#7 – CFC Procedure Manual – Transition 2.0 and IFSP Form Instructions, Page 7

Yes – Questions 8, 9, and 10 are completed and entered into the system within 120 days of child turning 3.

No – Questions were not completed and entered within 120 days of the child turning 3.

#8 - CFC Procedure Manual- Transition, Pg 119 - CFC Activities/DHS Activities

Yes – Tracking form was received from the LEA or LEA was contacted to determine status of tracking form. Looking for completed form to be in file or case notes that show attempts to get the form.

No – Tracking form was not in file and there was no evidence that LEA was contacted to determine status.