



REFERENCES TO ASSIST IN MONITORING PREPARATION

In your early intervention practice, you will have referred to the NYS Early Intervention regulations, memoranda documents, and your NYS Early Intervention Provider Agreement. Your thorough review of all requirements in these resources will assist you in preparing for your monitoring review.

Instructions and required forms for early intervention monitoring, including optional self-assessment: <https://NYEIP.kepro.com/providers>.

NY State DOH Early Intervention Program: https://www.health.ny.gov/community/infants_children/early_intervention/

- **Regulations:** https://www.health.ny.gov/community/infants_children/early_intervention/regulations.htm
- **Guidance/Memoranda Documents:** https://www.health.ny.gov/community/infants_children/early_intervention/memoranda.htm
- **Health and Safety Standards:**
http://www.health.ny.gov/community/infants_children/early_intervention/service_providers/health_and_safety_standards.htm
- **Training:** http://www.health.ny.gov/community/infants_children/early_intervention/training.htm

Confidentiality:

- **Federal law-Family Educational Rights and Privacy Act (FERPA)** <http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html>
- **Confidentiality and consent form – HIV/AIDS:** http://www.health.ny.gov/forms/instructions/doh-2557_instructions.pdf;
<http://www.health.ny.gov/forms/doh-2557.pdf>
- **Confidentiality Attachment** – Components to Include/Describe in Written Policy and/or Procedure for Maintaining Early Intervention Records (sent by Kepro in confirmation packet).

Caring for Children with Life Threatening Allergies:

http://www.health.ny.gov/professionals/protocols_and_guidelines/docs/caring_for_students_with_life_threatening_allergies.pdf

Child Abuse/Neglect/Maltreatment: <http://ocfs.ny.gov/main/cps/>

Toy/Product Recalls: <https://www.cpsc.gov/Recalls/>

SEND PRIOR TO MONITORING

Policies and Procedures: As soon as possible, no later than 2 weeks prior to review: E-mail to Kepro all written policies and procedures as outlined on page 3 of this checklist, including those on Confidentiality.

Date Sent:

Liability Insurance: As soon as possible, no later than 2 weeks prior to review: E-mail to Kepro a copy of the current agency liability insurance coverage.

Date Sent:



CHILD RECORDS TO BE MADE AVAILABLE

<i>Prepare for each child on the list.</i>	Yes	No
Child records content: Please provide access to client records, including hardcopies and/or navigating your Electronic Health Record (EHR) platform, from the date the child was referred to the agency to the current date or date of discharge. Ensure child records and child lists are handled in a manner that protects personally identifiable information. Please include all records, including consent forms, medical information, evaluations, progress notes, session notes, and prescriptions/orders for service.	<input type="checkbox"/>	<input type="checkbox"/>

PERSONNEL RECORDS TO BE MADE AVAILABLE

Annual health assessment: Documentation is present.	<input type="checkbox"/>	<input type="checkbox"/>
Training: Documentation of service provider, service coordinator, and evaluator training per the Provider Agreement.	<input type="checkbox"/>	<input type="checkbox"/>

DOCUMENTS TO BE MADE AVAILABLE

	Yes	No
Parental consent form to use unencrypted email, if applicable.	<input type="checkbox"/>	<input type="checkbox"/>
Document used for child record access (access log).	<input type="checkbox"/>	<input type="checkbox"/>
Document provided to parents describing the process they must follow to inspect and review their child records.	<input type="checkbox"/>	<input type="checkbox"/>
Document used for parental consent for release of information.	<input type="checkbox"/>	<input type="checkbox"/>
Behavior management plans that have been developed for any child within the past year, regardless if the child's file is reviewed.	<input type="checkbox"/>	<input type="checkbox"/>
Document that informs parents of sick day policy and procedures.	<input type="checkbox"/>	<input type="checkbox"/>
Incident reporting: Documentation, including incident reports, of all health and safety related incidents or injuries that occurred while children were receiving services.	<input type="checkbox"/>	<input type="checkbox"/>
Fire inspection: Most recent fire inspection by local government authority or current Day Care License; within 1 year, if facility-based.	<input type="checkbox"/>	<input type="checkbox"/>
Evacuation drill records , if facility-based.	<input type="checkbox"/>	<input type="checkbox"/>
Allergy plans for children who have or have had a plan in the past 2 years, if facility-based.	<input type="checkbox"/>	<input type="checkbox"/>
Child emergency consents and parental contact information: If using a community site and parent is not present.	<input type="checkbox"/>	<input type="checkbox"/>



WRITTEN POLICIES TO SEND PRIOR TO MONITORING		
<i>Submit all written policies at least 2 weeks prior to your review. The Confidentiality Attachment sent with your confirmation packet, and the Health and Safety Standards located on the DOH website will assist you to ensure your policies are complete.</i>	Yes	No
Procedure to ensure records containing personally identifiable information are maintained in secure locations and disposed of properly [PI-42B].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to ensure records containing personally identifiable information are maintained securely and disposed of properly when stored off-site, if applicable [PI-42C].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to ensure information on computers is protected and if removable storage devices are used how they are secured [PI-42E].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure for use of email [PI-42F].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to ensure confidentiality of faxed information containing personally identifiable information is maintained [PI-42G].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to ensure confidentiality is maintained when lists contain record of access for multiple children [PI-42I].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure for parental notification of process to review their child's record [PI-42J].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure for ensuring parental access to their child's record [PI-42K].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to amend a child's record [PI-42M].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to obtain consent to release information [PI-42O].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to protect records containing sensitive information and HIV related information [PI-42Q].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to report suspected child abuse and maltreatment [PI-47].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to address behavior injurious to the child or others and use of corporal punishment and aversive interventions [PI-50].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to address child and provider illness and emergencies [PI-52].	<input type="checkbox"/>	<input type="checkbox"/>
Procedure to address unsafe conditions encountered in the home environment [PI-81].	<input type="checkbox"/>	<input type="checkbox"/>