



New York State Department of Health Early Intervention Program Quality Improvement Monitoring Review Review Preparation Checklist – Agency Provider

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

Credential Verification:

- **NY State Licensed Professionals:** <http://www.op.nysed.gov/opsearches.htm>
- **NY State Teachers:** <http://eservices.nysed.gov/teach/certhelp/CpPersonSearchExternal.jsp?trgAction=INQUIRY>

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/>

Waivers from Corporate Practice Restrictions for Early Intervention Agencies: <http://www.op.nysed.gov/waiver-ei-info.htm>

Justice Center for the Protection of People with Special Needs (information on Staff Exclusion List): www.justicecenter.ny.gov

TB Education: https://www.cdc.gov/tb/publications/pamphlets/getthefacts_eng.htm; <https://www.cdc.gov/tb/publications/faqs/default.htm>;
<https://www.cdc.gov/tb/publications/pamphlets/default.htm>



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SEND PRIOR TO MONITORING

Table with 2 columns: Description and Date Sent. Rows include Staff List, Quality Assurance Plan, Policies and Procedures, Liability Insurance, and NYSED Corporate Practice Waiver.

CHILD RECORDS TO BE MADE AVAILABLE

Table with 3 columns: Description, Yes, No. Row includes Child records content.

PERSONNEL RECORDS TO BE MADE AVAILABLE

Table with 3 columns: Description, Yes*, No. Rows include Service Coordinator qualifications, Documentation, State Central Registry (SCR), and Annual health assessment.



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PERSONNEL RECORDS TO BE MADE AVAILABLE

Table with 3 columns: Description, Yes, No. Rows include Confidentiality training and Other required training.

DOCUMENTS TO BE MADE AVAILABLE

Table with 3 columns: Description, Yes, No. Rows include MDE health assessment capacity, Parental consent form, Document used for child record access, Document provided to parents, Document used for parental consent for release of information, Behavior management plans, Document that informs parents of sick day policy and procedures, Incident reporting, Written parent permission, JCAHO Accreditation, Current Daycare License, Fire inspection, Evacuation drill records, Allergy plans, and Child emergency consents and parental contact information.



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WRITTEN POLICIES TO SEND PRIOR TO MONITORING

Table with 3 columns: Policy Description, Yes, No. Rows include: Submit all written policies at least 2 weeks prior to your review...; Procedure to ensure records containing personally identifiable information are maintained in secure locations...; Procedure to ensure records containing personally identifiable information are maintained securely...; Procedure to ensure information on computers is protected...; Procedure for use of email...; Procedure to ensure confidentiality of faxed information...; Procedure to ensure confidentiality is maintained when lists contain record of access...; Procedure for parental notification of process to review their child's record...; Procedure for ensuring parental access to their child's record...; Procedure to amend a child's record...; Procedure to obtain consent to release information...; Procedure to protect records containing sensitive information and HIV related information...; Procedure to keep staff informed of confidentiality requirements...; Procedures to ensure employees and contractors have current licensure...; Procedure to screen employee and subcontracted individuals...; Procedure to report suspected child abuse and maltreatment...; Procedure to address behavior injurious to the child or others...; Procedure to address child and provider illness and emergencies...; Procedure to address unsafe conditions encountered in the home environment...



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DOCUMENTS TO BE MADE AVAILABLE

	Yes	No
Procedure to ensure implementation of the Quality Assurance Plan including the role of the Quality Assurance Professionals [PI-83].		