

## **Chapter 7: IFSP Development**

The Individualized Family Service Plan (IFSP) is developed through a family-centered team planning process in which the family is supported to participate as an equal team member. The child's family helps the IFSP team and service providers understand the child's and family's daily routines and activities. The providers then assist the family in recognizing and utilizing existing learning opportunities and creating new ones that will help the child reach the desired outcomes. The resulting IFSP reflects the family's priorities, resources, and concerns; the child's functional strengths and needs; the outcomes the family would like to see for their child and family; and the supports and services necessary to achieve those outcomes.

### The Initial IFSP Meeting

#### Service Coordinator Responsibilities:

- Conduct, in person, the initial IFSP meeting within the 45-calendar day timeline
- Ensure that the meeting is conducted in the family's native language or other mode of communication unless clearly not feasible to do so.
- Ensure that the IFSP team uses both information from the family regarding their priorities and results of the child assessment, including a review of pertinent records less than six (6) months old from the primary care physician and other sources related to the child's current health status, physical development, medical history, and other information regarding the child's development in determining which IFSP services and informal/formal supports and resources are needed.
- Inform the family that inclusion in the IFSP of information from a family-directed assessment related to enhancing the development of the child is voluntary and refusal to include information from such an assessment in the IFSP in no way jeopardizes the supports and services provided as part of the IFSP.
- Encourage and support the family to be a full and equal partner on the IFSP team. The service coordinator may support the family's participation in the IFSP meeting in a variety of ways, including, but not limited to, the following: by ensuring the family is able to lead discussions within the meeting (e.g., family resources, priorities and concerns) as desired by the family, raising issues the family has identified as important, ensuring the family is getting the chance to speak and share opinions, explaining any jargon, etc.
- Establish and support a team approach to service planning that recognizes and respects the expertise of all team members, including the family.
- Build team consensus on IFSP outcomes and the supports and services necessary to achieve the outcomes.
- Begin a discussion with the family about transition. Depending on the child's age at the initial IFSP as well as family priorities and preferences, transition planning at the initial IFSP meeting will range from sharing basic and general information about what transition means and when it may occur to beginning more detailed planning of specific transition steps and services.
- Facilitate determination of entry ratings for the three child indicators (positive social relationships, acquiring and using knowledge and skills, and taking appropriate action to meet needs) for all eligible children new to early intervention who are 30 months or younger at the time of the initial IFSP, unless this was completed at the time of the assessment for service planning. This includes children who have received early intervention from other states, but who are new to early intervention in Virginia. The entry ratings recorded in ITOTS follow the

child. So a child who moves within Virginia from one early intervention system to another will already have entry assessment data, and the new local system does not need to do a new entry-level assessment.

- Entry assessment information is derived from multiple sources:
  - a. Results from developmental instruments and observation;
  - b. The family, including information about the child's performance in relation to the three indicators across situations and settings and with different people;
  - c. Any other source (e.g., child care provider, medical records, etc.)
- Considering the information above and functional skills of same-aged peers, the team determines the appropriate rating [Link to Indicator Ratings document] from 1-7 for each of the indicators. The [Decision Tree] can be used to guide the process.
- The team completes the front page of the Child Indicator Summary Form (CISF). If documentation on the IFSP and in the child's record is not sufficient to support the rating decisions, then supporting documentation must be provided on the back of the CISF. Documentation must include the sources of information (instrument, observation, parent report, etc.) and the information from those sources about the child's functional skills across settings, situations and people. The completed CISF is maintained in the child's early intervention record.  
[Link to VSDCP Frequently Asked Questions document]

#### Responsibilities of Other Service Providers:

- Participate in the IFSP meeting. This applies to service providers who were part of the eligibility determination team and/or conducted assessment for service planning. Providers who may be providing supports and services also participate in the initial IFSP meeting, as appropriate. Service providers who are not able to participate in the meeting in person may participate through other options, such as telephone consultations or providing written information. When participating by providing written information, service providers include assessment information related to service planning as well as recommendations related to intervention strategies for the rest of the IFSP team to consider when developing outcomes, strategies and necessary supports and services.
- Limit the use of jargon and acronyms and explain words or concepts that may be unfamiliar to the family.
- Assist the family in developing desired outcomes by starting with the activity settings in which the family participates and identifies as important and/or activity settings the family would like to pursue.
- When developing strategies to address the IFSP outcomes, focus on interest-based learning opportunities that occur throughout the child's and family's daily routines and activities.
- Consider multiple factors when working as a team, with the family, to identify the supports and services necessary to meet the IFSP outcomes. These factors include the expertise needed to support the family in addressing the IFSP outcomes, the abilities and interests of the child and family, needs expressed by the family, and family and community resources.
- Identify on the IFSP not only the primary service provider(s) but also the role of other team members in supporting the family and other service providers. These other team members may participate in joint early intervention visits with the

- primary provider(s) to the child and family and/or provide consultation to the primary provider(s) by suggesting strategies and techniques to enhance progress toward outcomes.
- Consider the following kinds of questions in determining the frequency and intensity of supports and services needed to meet the IFSP outcomes:
    - Is the relationship between the child/family/caregiver and the provider new (e.g., because they have just begun this service or because there has been a change in providers) or well-established?
    - Will the strategies used to address the outcomes need to be modified frequently or will the same strategies be used for a long period of time?
    - Is attainment of an outcome(s) especially urgent and able to be resolved quickly with intensive intervention (e.g., new referral of a child with non-organic failure-to-thrive, which needs quick resolution; or a child's behavior is preventing the family from finding a child care provider who will accept the child)?
    - Are there a large number and/or wide variety of strategies involved in addressing the IFSP outcomes or are there relatively few or more similar strategies?
    - Is the child progressing at the expected rate in meeting identified outcomes?
    - What are the family's/caregiver's learning needs in relation to the child's developmental needs and the IFSP outcomes?
    - Do the outcomes require a high level of specialized skill to address or are they more easily implemented with minimal guidance and instruction?
    - Are the outcomes or strategies new for the child and family?
    - Will the service provider(s) be working with only the family or with other caregivers as well in addressing IFSP outcomes?
    - Is the parent's understanding of and/or his or her ability to assist with implementing suggested activities affected by his or her own cognitive or emotional issues?
    - Does the child need intensive, one-on-one support to participate in his/her environment? (In this case, there also may be a need for an increase in support to the family in addressing the IFSP outcomes.)
  - Participate in the identification of a location(s) for supports and services that is based on the activities that are being addressed (as identified in the IFSP outcomes).

When considering the purchase of an Assistive Technology Device:

- Determine whether the assistive technology device is a medical device or a developmental device. If a physician must deliver the device, then it is considered a medical device and is not the responsibility of the Infant & Toddler Connection of Virginia. If providers other than a physician (e.g., nurse, physical therapist, occupational therapist, audiologist, speech-language pathologist, etc.) can deliver the device then it is considered developmental and can be considered a Part C service.
  - First consider or try simple, low- or non-tech modifications or solutions and then build up to mid-tech and to high-tech modifications or devices as needed.
  - Whenever possible, use loaner equipment for higher-tech devices before purchasing a specific device for an individual child. This allows the family and provider to determine how well the device meets the needs of this individual child and his/her family before spending money on the purchase of the device.
  - Assist the family in understanding the implications of the funding source for an assistive technology device:
    - If purchased with the family's health insurance (public or private), the assistive technology device belongs to the family and they may keep it when they leave the Infant & Toddler Connection of Virginia.
    - If federal or state Part C funds are used to pay for any or all of an assistive technology device and the device is valued at \$5,000 or more, then the assistive technology device belongs to the local Infant & Toddler Connection system and must be treated as follows when the child leaves the system:
      - The assistive technology device is returned to the local Infant & Toddler Connection system, re-inventoried and used for other children on a loaner or trial basis.
      - If the child is transitioning to preschool special education services under Part B through the local school division, then the local school system may receive the assistive technology device and utilize it as long as the child needs it. Once the child no longer needs the device, it is returned to the local Infant & Toddler Connection system.
      - If the child is transitioning to a program other than preschool special education services under Part B, then the receiving program may purchase the assistive technology device with appropriate depreciation consideration.
    - Assistive technology devices that are expendable, personal use items (e.g., bath forms, ear molds) are for the personal use of the specific child and are not reclaimed.
  - Ensure Part C funds are used as the payor of last resort in purchasing an assistive technology device and document efforts to access other funding sources, including, but not limited to, the following:
    - Equipment loan organizations, if appropriate
    - Equipment donation facilities
    - Local civic and community organizations
    - Public or private health insurance
    - Family fees
- Efforts to access other funding sources prior to the use of Part C funds must be documented in contact notes or on a payor source checklist or similar form.

### Completing the IFSP form

#### Service Coordinator Responsibilities:

- Ensure the development of an IFSP for each eligible child, with parent consent. The IFSP is developed using the statewide IFSP form and in accordance with the instructions detailed at the end of this chapter.
- Explain the contents of the IFSP to the parent(s) and obtain written consent from the parent(s) by signature on the IFSP form prior to the provision of early intervention supports and services described in the IFSP. Ensure the IFSP is translated orally or in writing into the family's native language or other mode of communication unless clearly not feasible to do so.
- Retain a signed copy of the IFSP and provide a copy to the family and to all service providers who participated in assessment or development of the IFSP or will be implementing the IFSP. The parental consent statement that the family signs on the IFSP gives consent for the IFSP to be shared with these providers.
- Send a copy of the IFSP to the child's primary care physician, with parent consent. Consent to send a copy of the IFSP to the physician is not covered by the consent statement on the IFSP and requires a separate release of information form.
- Obtain physician signature on the IFSP (or on a separate letter referencing the IFSP) to document medical necessity for services if the child will receive services that can be reimbursed under public (e.g., Medicaid or Tricare) or private insurance. This documentation also serves as the physician order for the medically necessary services listed on the IFSP.
- Ensure that if the family declines one or more early intervention services listed on the IFSP (but not all services listed on the IFSP), then the following steps occur:
  - Obtain the family's signature on the *Declining Early Intervention Services* form and provide a copy and explanation of the *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System*. Using the top half of the *Declining Early Intervention Services* form, fill in the date of the IFSP and the service(s) the family is declining. Both the service coordinator and family must sign and date the form.
  - Explain that the services that are not declined will be provided at the frequency, intensity and duration listed on the IFSP.
  - In explaining the Notice of Child and Family Safeguards, review and explain the complaint procedures.
  - Explain how the family may, at a later date, through the IFSP review process, accept a service previously declined.
- Ensure that if the family declines all services listed on the IFSP, then the following steps occur:
  - Obtain the family's signature on the *Declining Early Intervention Services* form and provide a copy and explanation of the *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System*.
    - a. Using the bottom half of the *Declining Early Intervention Services* form, the family is asked to mark the third line (that their child is eligible and has the right to receive the services listed on the IFSP) and then to read and mark the last line indicating that they do not choose to have their child receive services through the Infant & Toddler Connection system.

- b. Explain to the family how they can contact the local Infant & Toddler Connection system in the future using the phone number provided at the bottom of the form if they have concerns about their child's development.
    - c. In explaining the Notice of Child and Family Safeguards, the service coordinator reviews and explains the complaint procedures.
      - o If the child is close to being age eligible for early childhood special education services through the local school division (under Part B), explain how to access Part B services through the local school division.
      - o Obtain parent consent to make referrals to other appropriate resources/services based on child and family needs and preferences.
      - o Obtain parent consent to communicate with the primary care physician and primary referral source, if not already provided.
  - Ensure that if the family is requesting a specific early intervention service, or a specific frequency, intensity, location or method of delivering services that the rest of the team does not agree is necessary to achieve the outcomes identified on the IFSP, then the following steps occur:
    - o Provide a copy and explanation of the *Parental Prior Notice* form to the family. The "Other" line is checked and refusal to initiate the specific service is written in as the description. The reason why the Infant & Toddler Connection system is refusing to initiate the service is specified (e.g., progress made, other supports and services in place, evidence-based practice, etc.). Parent signature is obtained to acknowledge receipt of the form.
    - o Provide a copy and explanation of the *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System* to the family. In explaining the Notice of Child and Family Safeguards, review and explain the complaint procedures.
- Completion of these steps protects both the family and the local system, ensuring that the family understands their rights, safeguards and opportunities for addressing the disagreement if they so choose and that local systems have clear documentation of the service requested and reasons for refusing to initiate that service.
- Ensure that copies and explanations of procedural safeguard forms are provided in the family's native language or other mode of communication unless clearly not feasible to do so.

### Selecting Service Providers

- Part C early intervention supports and services will be provided only by qualified Part C practitioners who are affiliated with the local system. Practitioners who provide developmental therapy or service coordination must be certified by the State Lead Agency as an Early Intervention Specialist, Early Intervention Assistant or Early Intervention Service Coordinator. See Chapter 12 – Personnel for more information about practitioner qualifications, certification and affiliation with a local system.
- The service coordinator assists the family to select a provider(s) using the Provider Matrix. The service coordinator:
  - o Explains that the family has the opportunity to select from among the provider agencies (which can include solo practitioners) who are qualified

to provide the service identified on the IFSP and who are in their payor network and who practice in the area where the child/family lives.

- If no practitioner who can support and assist the family in accomplishing the IFSP outcomes is available within the family's Medicaid or private insurance network, then the family may choose a practitioner from outside their third party payor network.
- If the family would like to receive services from a practitioner who is not affiliated with the local system but who meets the Early Intervention Certification requirements and who is within the family's payor network, the local lead agency should make arrangements with that practitioner to become affiliated with the local system.
- The family may request a specific provider from within the selected provider agency.
- Contacts the selected provider agency and arranges for a service provider(s). If the selected provider agency is unable to provide the service due to full provider caseloads or the requested service provider within that agency is unavailable, then the service coordinator explains to the family their option to begin services right away with an available provider or to wait for their chosen provider to become available. If the family chooses to wait, the service coordinator documents this decision and the delay in start of services will be considered a family scheduling preference.
- Informs the family that they may request to change their service provider at any time by contacting the service coordinator.

It is possible that some families may not have a preference for a specific practitioner or provider agency. In those situations, the local system should have a mechanism in place for assignment of providers. There still must be documentation by parent signature on the IFSP addendum page that the parent was offered the opportunity to choose a provider.

- If local system practices allow practitioners to provide both service coordination and developmental therapy/other Part C services to the same family, and the family chooses to have the service coordinator also provide developmental therapy/other Part C service (assuming the service coordinator meets the provider qualifications for both roles), then there will only be reimbursement for one service – either the time spent providing service coordination or the time spent providing developmental therapy/other Part C service – not both. Local systems are not required to allow this choice, and this dual role only affects reimbursement if the practitioner serves in that dual role with the same family. There is no issue if the practitioner provides only developmental therapy for one set of children and families and only service coordination for another set of children and families.
- The choice of service provider(s) is documented on the IFSP Addendum page, which may be completed after the IFSP itself is signed. The Addendum page documents not only the service provider selected but also the family's signature acknowledging that they were offered the opportunity to choose a provider. The family's signature on the Addendum page may be obtained at the first visit with the family after provider arrangements have been finalized based on the family's choice. No services, other than service coordination, can be delivered until the addendum page is signed (though it is acceptable for the provider to have the

family sign the addendum page at his/her first visit if it has not already been signed).

ITOTS Data Entry – IFSP Development: [Link to ITOTS Manual]

The local system manager ensures the following information is entered into ITOTS:

- Result of Evaluation
- Assessment data in the Child Indicator Assessment section:
  - Assessment date
  - The rating (1-7) for each of the three indicators: Positive social relationship, Acquiring and using knowledge and skills, and Taking appropriate action to meet needs.
- IFSP Completed? Yes/No
- Date (IFSP Completed)
- Mitigating circumstances if exceeded 45-day timeline
- Primary service setting
- Medically Fragile? Yes/No
- Reason for Eligibility
- Risk factors
- Initial planned services
- Third party coverage

Local Monitoring and Supervision Associated with IFSP Development

The local system manager provides the supervision and monitoring necessary to ensure the following:

- Appropriate use and explanation of procedural safeguards forms
- Compliance with the 45-day timeline
- Documentation of mitigating circumstances when the 45-day timeline is exceeded
- Development of IFSPs in accordance with the IFSP Instructions provided at the end of this chapter
- Timely and accurate entry of ITOTS data
- Development of IFSP outcomes that reflect family priorities and routines and the child's functional abilities and needs
- Planned supports and services that are appropriate to meet the outcomes

## INSTRUCTIONS FOR COMPLETING THE VIRGINIA IFSP FORM

### **GENERAL INFORMATION**

- Virginia’s statewide IFSP has been designed to meet the IFSP requirements of Part C of IDEA and Medicaid plan of care requirements under Early Periodic Screening, Diagnosis, and Treatment (EPSDT). In order to maintain the integrity and official identity of the statewide IFSP form, only the following changes are permitted:
  - Local System Name (Required) – Before completing or printing the form, delete the words “Local System Name Here” and enter the local system name. The local system name must be the Infant & Toddler Connection of \_\_\_\_\_ and not a program or provider name. The local system has the option to enter on the line below Infant & Toddler Connection of \_\_\_\_\_, “Administered by {name of local lead agency}.”
  - Child’s County or City of Residence (Optional) – If the local system serves only one county or city, that information may be added permanently to the form (i.e., pre-printed). Other local systems may permanently add the list of counties and cities served to the extent that they fit in the available space (the applicable county or city can then be circled when the IFSP is completed).
  - Service Coordinator’s Name, Agency, Address, etc. (Optional) – If all service coordinators in the local system work from one agency, then that agency information may be permanently added to the form (pre-printed) on page 1. Leave the top space blank in order to enter the Service Coordinator’s name, but add all consistent information to the permanent form.
  - Those local systems that are currently using the IFSP to meet Targeted Case Management (TCM) Consumer Service Plan requirements may use their existing social assessment prompts on the IFSP rather than using Section IIc. This will be allowed only until changes in Medicaid reimbursement for service coordination are finalized. It is acceptable to have the social assessment prompts in existing sections of the IFSP and delete section IIc, but the addition of prompts to address information beyond what is required for the Consumer Service Plan is not allowed. Once the IFSP form is changed by the local system, it is no longer the document that was reviewed and approved by the Department of Medical Assistance Services.

**No other prompts or information may be added or pre-printed on the statewide IFSP form.**

- The form may be filled out electronically, or printed out and completed in handwriting, or through a combination of both. Instructions for using word processing to make the permitted changes described above and to complete the form electronically are provided in Attachment A.
- Electronic signatures are acceptable if your local system has a mechanism to accommodate electronic signatures.
- All dates must be provided as month, day, and year.
- If/when errors are made when completing a handwritten IFSP for an individual child, they must be crossed out with a single line and initialed and dated by the reviser. Correct errors in an electronically-completed IFSP by following local agency

requirements or by using strike-through and providing the date and initials of the reviser. White-out, or any other means of correction other than that described here, may never be used.

- The Child's Name, Date of Birth, and IFSP Date are to be filled in at the top of each page after page one. This ensures that if pages of the IFSP become separated, each page will be easily identifiable. The IFSP Date and Date of Birth on each page help to further identify the child in case more than one child in a program has the same name and also serves to identify the IFSP in case the initial and/or subsequent IFSPs in a child's file become mixed together.
- Each section of the IFSP should be filled in (except that "Date Met" and "Date Outcome Added" do not need to be completed on page 5 of the initial or annual IFSP; items on the transition page should be filled in over time, as appropriate; and Child's Primary Language may be left blank if it is the same as the family's). If an item is non-applicable, place "N/A" in that space. If a space seems to ask for unnecessary or redundant information, review the instructions to ensure you have correctly interpreted the intent of the item.
- When columns are used, if the information is the same for each cell in the column, it is permissible to write "above" in each cell of the column after the first one.
- If a child with a current IFSP moves within Virginia, communication and coordination should occur between the sending local system and the receiving local system in advance of the move, whenever possible, to enable supports and services to be in place in the receiving local system based on the current IFSP. The family's new service coordinator will schedule an IFSP review soon after the family moves in order for the new IFSP team to review the existing IFSP and make any necessary modifications. The revised IFSP must reflect the new local system name; new service coordinator; any changes to outcomes, supports and services (based on child and family needs); and a completed IFSP review page (page 9) with parent signature. [Please note that when entering the IFSP date in ITOTS for a child who has transferred from another local system in Virginia with an active IFSP, the original IFSP date (the date on the IFSP he/she had in the previous system, rather than the date of the new review) is used.]
- An alternate version of the statewide IFSP has been developed to address Consumer Service Plan requirements associated with the provision of Mental Retardation Targeted Case Management (TCM-MR). This alternate version is labeled Infant & Toddler Connection of Virginia – IFSP, TCM in the footer of the IFSP form; and instructions for completing the TCM-MR version of the IFSP are provided in Attachment B. Use of the TCM-MR version of the IFSP is optional and is not limited to children who are eligible for TCM-MR.

## **PAGE 1**

### **I. Child and Family Information**

The information on this page is primarily for the purposes of Part C. Other demographic information required by third-party payors (e.g., Social Security number, insurance policy

number/s, diagnosis codes) and possibly by individual local Part C systems (e.g., program ID numbers) is highly specific to individual companies, confidential, and irrelevant to many of the recipients of an IFSP (e.g., local school systems, childcare providers). Therefore, it should be provided, as required by individual circumstances, on a separate page as an attachment.

- 1) **Child's Name** - Fill in child's name
- 2) **Date of Birth** - Fill in child's date of birth
- 3) **Gender** – Check M or F to indicate whether the child is male or female
- 4) **Child's County or City of Residence** - Fill in child's city or county of residence. This is important for local systems that have more than one city or county in their catchment area. This may be pre-printed on the form for local systems who only serve one city or county. Other local systems may permanently add the list of counties and cities served to the extent that they fit in the available space (the applicable county or city can then be circled when the IFSP is completed).
- 5) **IFSP Date** - Enter the date the parent signs the IFSP (i.e., the IFSP Date on page 1 and at the top of subsequent pages must match the date of parent signature on page 8 of the IFSP). If the IFSP cannot be completed in one meeting, then the contact notes must reflect the dates of all meetings held to develop the IFSP.
- 6) **Initial/Annual** - Check the appropriate box to indicate if this is the child's initial IFSP or if it is an annual IFSP and write in which annual IFSP it is (e.g., #1, #2. The annual IFSP done one year after the initial IFSP is annual #1).

If the IFSP form is used for an interim IFSP, then "Interim IFSP" should be hand-written on the cover page. When the initial IFSP is developed, the team starts with a new IFSP form.
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- 7) **Date Six-Month Review Due** - Fill in the date by which the six-month IFSP review must be completed. This date will be 6 months from the IFSP Date entered above.
- 8) **Date(s) Review(s) Completed** – When the 6-month or other IFSP review is conducted, write in the date of the review. It is not necessary to rewrite the IFSP at every six-month review or when a review is held at a time other than 6 months, as long as the IFSP is updated to reflect the child's current needs and plans. However, a new IFSP form must be initiated at each annual IFSP meeting.
- 9) **Family's Primary Language and/or Mode of Communication** - Fill in the family's primary language or mode of communication. (Examples: English, Spanish, American sign language, augmentative communication system)
- 10) **Child's (if different)** - Fill in the child's primary language or mode of communication, if different from the family's. If it is the same, leave blank.

- 11) **Medicaid Number (Optional)** – If the child has Medicaid, the team may choose to enter the number here. This should be the child's permanent Medicaid number (as opposed to a MCO number, for instance).
- 12) **Family's Name, Address, Phone, And Other Contacts** – Fill in all contact information for the family. The amount of space in this section allows for the wide range of potential *contacts* required, (e.g., surrogate parents, foster parents, social services or natural parents, child care provider), the variety of *methods* of contact possible for each contact listed (e.g., home phone, work phone, cell phone, pager, e-mail, personal fax), and allows room for updates as information changes. Some local systems may also wish to include the physician's name and contact information in this section. [When completing the IFSP electronically, this section is formatted into 2 columns. The section will allow you to continue entering information in column one until you click into column 2. You will need to click into column 2 when the last information on page 1 is at the bottom of the page (i.e., before it scrolls onto a new page).]
- 13) **Service Coordinator's Name, Agency, Address, Phone and Fax Numbers** – Fill in all contact information for the family's service coordinator, as assigned at the IFSP meeting, including if appropriate, cell phone, pager, e-mail, etc.

Some families may prefer to handle most or all of their own service coordination duties; it is still a requirement of Part C, however, that they have an official service coordinator assigned.

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## **PAGE 2**

### **II a. Child and Family Activities**

Fill in information regarding the family's everyday activities and routines, including what is going well for the family, what challenges they have with specific routines, what the child and family normally enjoy, and what changes they would like to see in their routines and activities. This information will guide development of strategies for achieving outcomes within the context of the child's and family's interests and naturally occurring activities, routines, and community supports. The information may be presented as a narrative, phrases, a diagram, or other format.

The service coordinator is expected to gather information for Sections IIa and IIb prior to the IFSP meeting, through conversations with the family beginning at the initial visit with family. This practice will assist families and providers in preparing for the development of outcomes during the IFSP meeting. Page 2 of the IFSP may be completed prior to or finalized during the IFSP meeting.

### **II b. Family Identified Resources, Priorities, & Concerns**

Record information shared by the family about their resources, priorities, and concerns related to enhancing their child's development. This section must also include the

family's assessment of the supports, resources and services they currently have. Families help identify other caregivers in the child's life who may be able to assist in addressing the IFSP outcomes. The extent to which other caregivers (such as child care providers, extended family members, respite care providers, etc.) are involved in addressing IFSP outcomes depends on a number of factors including, but not limited to, the following: the extent to which the family would like to have these other caregivers involved, how much time the child spends with these caregivers, and the willingness of these caregivers to learn and apply strategies for increasing the child's learning opportunities and ability to participate in everyday activities. The service coordinator is responsible for informing the family that inclusion in the IFSP of information from a family-directed assessment related to enhancing the development of the child is voluntary and refusal to include such a statement in the IFSP in no way jeopardizes the supports and services provided as part of the IFSP. The information may be presented as a narrative, phrases, a diagram, or other format. If the family declines to provide this information or provides this information but does not want it to be included on the IFSP, they are to initial the appropriate statement in the box on page two of the IFSP form.

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## **PAGE 3**

### **III. Team Assessment**

- 1) **Narrative** - Provide a written summary of the child's development. This section may be organized in any manner. An integrated report summarizing the findings from all assessment sources is strongly recommended.

If assessments completed outside the Infant & Toddler Connection of Virginia system are used, then these should be referenced in the summary on page 3. In order for the narrative to give a complete picture of the child's developmental status it is helpful to integrate relevant information from the outside report(s) into the team assessment. Any outside assessment reports used must be included in the child's record and may be attached to the IFSP.

In order to avoid duplication of assessments, the IFSP team may use assessment reports written by providers outside of the Infant & Toddler Connection of Virginia for development of the IFSP and service planning. When using outside assessment reports, relevant information must be transferred from that assessment report to page 3 of the IFSP, so that it is clear that all required Part C assessment components have been completed. If a provider from outside the Infant & Toddler Connection of Virginia assessed only some, but not all, of the developmental areas required by Part C, the remaining areas of development must be assessed during the assessment for service planning. Assessments must have occurred no more than 6 months prior to being used for service planning.

If more than one page is required, a second Page 3, entitled "Narrative" is available for those who complete the IFSP by hand. When the IFSP is

completed electronically, the narrative will automatically continue onto additional pages as needed. For each additional page, the preceding page should reference the continuation onto the next page.

In order to document medical necessity for third party payors the narrative must include the following information: the referral source and reason for referral, any medical diagnoses (especially those related to the reason for referral), pertinent health and physical development information (including pertinent medical history, clinical signs and symptoms, current health status), and a summary of developmental/functional strengths and limitations.

- 2) **The following people participated in the assessment for service planning** (printed name, credentials, role/ organization, signatures, date) – Individuals who completed assessments should print their name, role/organization/credentials, as appropriate, and sign and date (month, day, year) here. For example:

Mary Anderson, Parent	<i>Mary Anderson</i>	9/15/07
Cathy Jones, OTR, Independence, Inc.	<i>Cathy Jones</i>	9/15/07
Debbie Smith, PT, ABC Therapists Inc.	<i>Debbie Smith</i>	9/15/07

- 3) **Information from the following assessments completed outside the Infant & Toddler Connection of Virginia system was used to complete the assessment for service planning** (*printed name, credentials, organization*) - The name, credentials and organization of any assessor who is not part of the Infant & Toddler Connection of Virginia system must be entered here.

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**PAGE 4:**

**IV. Outcomes of Early Intervention – Service Coordination** - This page documents the outcome (pre-printed) and short-term goals for service coordination and must be completed for every child who has an IFSP, even if the family wishes to have only minimal service coordination from the local system and wants the service coordinator only to coordinate IFSP meetings. Parts of the page are partially completed in order to assure inclusion of required activities.

- 1) **Short Term Goals** – The short-term goals provide the Part C-required **criteria** for determining the degree to which progress is being made toward achieving the outcome. The short term goals should be written from the perspective of what the service coordinator will do for the child and family and must include a target date. The short-term goals should be specific and based on family priorities and needs at the time the IFSP is developed.

If the family only wants to address the two pre-printed short-term goals, then the rest of the lines for short-terms goals may be left blank. If the family only wants to address the first (pre-printed) short-term goal, then the other pre-printed short-term goal may either be deleted (if the IFSP is completed electronically) or struck through and initialed by the service coordinator (if the IFSP is handwritten).

- 2) **Target Date (for short term goals)** – Provide target dates (month/day/year) for when each short-term goal could be expected to be achieved. The two pre-printed short-term goals are ongoing, and this has been pre-printed under Target Date.
- 3) **Date Met (for short term goals)** - Enter date (month/day/year) at any point at which the short-term goal was met, changed or discontinued. This date must correspond to information documented in the contact notes in the child's record.

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## **PAGE 5:**

Outcomes are identified based on information gathered through the assessment for service planning process, including conversations with the family to identify current activity settings, potential child learning opportunities and areas where the family would like assistance. Asking families questions like "What activity settings that your family participates in are most important to you?" and "What new activity settings would you like to pursue?" can assist families and the IFSP team in identifying the desired outcomes.

Each outcome must be recorded on a separate page. This outcome page is to be duplicated and used for all outcomes other than service coordination. Each outcome should be numbered (e.g., since the service coordination outcome will be outcome #1 for all children, subsequent outcomes should be numbered from # 2 on).

### **IV. Outcomes of Early Intervention**

- 1) **Date Outcome Added** – For outcomes developed at the initial IFSP meeting, this space is left blank. For outcomes added during IFSP review meetings, enter the date of the IFSP review during which the outcome was added (this is the start date for the new outcome). Page 9 of the IFSP must also be completed when an IFSP review is held.
- 2) **Outcome (Long-term functional goal) # \_\_\_\_** - This statement is what the family would like to see happen as a result of their participation in Part C. It may be a major developmental goal related to the child's participation in home and community activities (child outcome), or it may be an outcome related to the family's ability to assist appropriately in their child's development (family outcome). It must be functionally stated, reflect the family's priorities (i.e., the outcome focuses on the child's participation in activities that are important to the family), and be consistent with information gathered from the team assessment of the child's developmental strengths and needs and with information from the family-directed family assessment (if completed). Outcomes can be stated in the family's words or they can be restated with help from the early intervention providers either in addition to the family's statement or instead of it if the family prefers. Child outcomes must be measurable and functional and represent what the child is expected to be able to do, e.g., "Jane will feed herself the entire supper meal each day".

- 3) **Target Date** – Enter the date (month/day/year) by which the Outcome could reasonably be expected to be achieved. Since an IFSP Review must be held anytime changes are made to the outcome (and/or short term goals), it is helpful to choose a target date that corresponds to a required review date.
- 4) **Date Met, Changed Or Ended** – Enter date (month/day/year) at any point at which the Outcome was met, changed or discontinued. The change this date represents must be documented in contact notes in the child's record. An IFSP review must be held in order to change an outcome.
- 5) **Learning opportunities and activities that build on child's and family's interests and abilities** – List here activities that the child finds (or might find) enjoyable (based on child's interests and ability) and that could be incorporated into the child's and/or family's existing or desired routines and activities. This should not be an exhaustive listing of all the activities possible, but rather an overview of the possible activities that will be explored in ongoing intervention (specific activities will be recorded in ongoing contact notes/lesson plans). All intervention should, however, be planned in the context of the family's daily routines, activities, and resources available in the community, consistent with the information recorded in Section II of the IFSP.
- 6) **Short Term Goals** – The short-term goals provide the Part C-required **criteria** for determining the degree to which progress is being made toward achieving the outcome. The short term goals should be written from the perspective of what the child will be able to accomplish, should represent an end result rather than a process, should be **functional and measurable**, and must include a target date. The short-term goals can be thought of as the building blocks leading up to achievement of the outcome, e.g., *“Child will pull to stand while holding on to the sofa in the family room several times each evening without physical assistance.”*
- 7) **Target Date (for short term goals)** – Provide target dates (month/day/year) for when each short-term goal could be expected to be achieved.
- 8) **Date Met (for short term goals)** - Enter date (month/day/year) at any point at which the short-term goal was met, changed or discontinued. This date must correspond to information documented in the contact notes in the child's record.
- 9) **Interventions (Treatment procedures and/or modalities)** – Enter the specific interventions (treatment procedures and/or modalities) that will be used to address the outcome. Specific interventions may include, but are not limited to, the following:

Balance/coordination	Caregiver/parent training
Positioning	Fine motor training
Therapeutic exercise	Developmental handling
Gait training	Expressive language skills training
Community living skills	Visual perceptual skills training
Functional activities/mobility	Receptive language skills training
Assistive technology devices	Feeding
Equipment/device training	Oral motor skills development
Weight-bearing	
Range of motion	

Swallowing  
Pre-verbal skills  
Cognitive skills development  
Sign language  
Behavior modification  
Hearing aid tolerance/use

Sensory integration  
Functional visual skills  
Self-feeding skills  
Articulation therapy/  
phonological awareness  
Cognitive linguistic therapy

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**PAGE 6:**

**V. Services Needed to Achieve Early Intervention Outcomes** – Determine the specific Part C services that are necessary to help the child and family achieve the outcomes identified in Section IV of the IFSP. The IFSP team considers multiple factors when identifying appropriate supports and services to address IFSP outcomes, including the expertise needed to support the family, abilities and interests of the child and family, and family and community resources.

**Complete the table as follows:**

- 1) **Entitled Service** – Service coordination must be provided to every eligible child and family and has already been recorded in the table. Enter each additional Part C service that was determined through the IFSP process to be necessary for the child/family to achieve the outcomes identified in the IFSP. The following list of Part C services is not exhaustive and does not preclude the IFSP team from identifying another type of service as an early intervention service as long as that service meets the criteria of an early intervention service under Part C (i.e., services that are provided under public supervision, by qualified personnel, in accordance with the State’s system of payments, selected in collaboration with the family, and designed to meet the developmental needs of the child or the needs of the family to assist appropriately in the child’s development):

- Assistive technology devices and services\*
- Audiology
- Developmental services (previously called Special instruction)
- Family training, counseling, and home visits
- Health services
- Medical evaluations
- Occupational therapy
- Physical therapy
- Psychological services
- Service coordination
- Social work services
- Speech-language pathology
- Transportation and related costs
- Vision services

\*Important information about Assistive Technology:

- When listing assistive technology on the IFSP, please specify whether it is an assistive technology device or assistive technology service.
- When listing Assistive Technology Device, the intensity, individual/group, and location should all be marked N/A. The projected end date and actual end should reflect the anticipated and actual date of delivery of the device to the child, respectively.
- Assistive technology services should be listed according to the provider of that service (e.g., if the assistive technology service is being provided by the physical therapist, then list the service as Physical Therapy/Assistive Technology Services). The frequency, intensity, method, etc. should reflect both the physical therapy service and assistive technology service, combined.
- Assistive technology services are services that directly assist the child with a disability in the selection, acquisition or use of an assistive technology device and include the following: evaluation of the needs of the child with a disability, including functional evaluation of the child in the child's customary environment; purchasing, leasing or otherwise providing for the acquisition of assistive technology devices; selecting, designing, fitting, customizing, adapting, applying, maintaining, repairing or replacing assistive technology devices; coordinating and using other therapies, interventions or services with assistive technology devices, such as those associated with education and rehabilitation plans and programs; training or technical assistance for the child, family, other caregivers or service providers; and collaboration with the family and other early intervention service providers. If a provider is delivering any of the services included in the definition of assistive technology services, then page 6 of the IFSP should reflect both the service that provider generally provides (e.g., physical therapy if the provider is a physical therapist) and assistive technology service as indicated above.

The following page provides an example of how to record an assistive technology device and service in the Entitled Services table on page 6 of the IFSP.

Auditory Verbal Therapy (AVT) and Applied Behavior Analysis (ABA) or other such approaches to service delivery are not entitled Part C services; but rather interventions/treatment modalities. The IFSP must list the entitled Part C services based on the provider who will implement the intervention/treatment modality (e.g., if the IFSP team determines that a speech-language pathologist will be implementing AVT to address the outcomes for a given child, then speech-language pathology is the entitled service listed on the child's IFSP).



- 2) **Frequency** - Enter the number of visits per week/month each service is to be provided (e.g., 1x/wk). ***It is not acceptable to list a range (such as 1-2x/week) for frequency.*** It is acceptable to plan for and record a change in frequency of a service, such as weekly occupational therapy for two months, then occupational therapy every two weeks for three months. If a service will be provided only once, then write "once" in the frequency column.

For service coordination, record the projected **minimum** frequency of **direct contact time between the service coordinator and the family**, which includes activities such as home visits, phone calls and emails with the family, accompanying the family to an appointment, etc.

- 3) **Intensity** - Enter the length of time the service is to be provided during each visit (e.g., 60 min/visit). ***It is not acceptable to list a range (such as 30-45min/visit) for intensity.***

For service coordination, record the projected **minimum** intensity of **direct contact time between the service coordinator and the family**, which includes activities such as home visits, phone calls and emails with the family, accompanying the family to an appointment, etc.

The Part C Office recognizes that the frequency and intensity of service coordination actually provided will fluctuate since service coordination is an active, ongoing process that is responsive to individual family needs and circumstances. When the frequency and intensity of service coordination delivered vary from that planned on isolated occasions, the service coordinator's contact notes must reflect the reason for increase/decrease in frequency/intensity. If the frequency and/or intensity of service coordination delivered vary greatly from that planned on a consistent basis, then it is time for an IFSP review. During State monitoring of service delivery, local systems will NOT be cited as out of compliance if there is not an exact match between the planned and delivered frequency and/or intensity for service coordination as long as there is documentation that service coordination was active and ongoing and based on meeting the family's needs and IFSP outcomes.

- 4) **Group/Individual** – Specify whether the service is to be provided on an individual or group basis. Although Part C services are most often provided on an individual basis, an example of when group might be listed as the method would be when one service provider is working with twins, who are both eligible for Part C, in the home, together on a shared outcome.
- 5) **Methods** – Using a, b, c, or d, specify whether the service is to be provided through coaching, including hands-on as appropriate; consultation; provision of an assistive technology device; or evaluation.

- Coaching, including hands-on as appropriate – Record this method any time the provider will provide a service (other than assessment, see below) to the child and/or family and/or other caregiver.
- Consultation – This method refers to consulting between service providers (i.e., the child and family are not involved in the consultation session). If the consultation between providers is planned at the time of the IFSP, then it should be documented as an entitled service on page 6 of the IFSP. If a concern comes up later and the primary provider is just making a call to another provider, say the OT, to ask a question, then there is no need to have an IFSP review to record that call as consultation. However, depending on the outcome of that call, an IFSP review may be needed in order to add assessment or further consultation by the OT.
- Provision of an assistive technology device – Record this method only when the service listed is Assistive Technology Device.
- Assessment – This method refers to assessment completed after the initial assessment for service planning and does not include ongoing assessment conducted at each session by the service provider.

- 6) **Natural Environment/Location** - Enter the natural environment/location where the service will take place. The choice of location is based on the activities that are being addressed (as identified in the outcomes on page 5 of the IFSP). For services that will be provided in a variety of community settings, it is acceptable to record several of the locations followed by "etc." ("park, home, daycare, grocery store, etc."). If listing two locations (for example, "daycare and home"), connect the two with "and" so that it is clear that both locations will be used.

If the location is not a natural environment, provide justification (in the designated place on page 6) for why the IFSP outcomes cannot be met in a natural environment.

For service coordination, if the family wants contact to be by phone and e-mail, the service coordinator will see the family face-to-face at least for the annual IFSP. In this situation, the location listed on the IFSP would be the location where the service coordinator will be with the family for the annual IFSP meeting.

- 7) **Payment** – Using the key in the header of this column, list the number(s) of the possible payment sources for each service. The final decisions about payment arrangements are recorded on the Family Cost Share Agreement form. Possible payment sources may include Medicaid, private insurance, family fees, donation, state, city, Part C funds, etc. If a possible payment source is not listed in the key, then write it in the appropriate box (see the example on page 14 of these instructions). "None" is not an option.
- 8) **Projected Start Date** - Enter the **projected** date (month/day/year) on which the service will begin. The exact date of the first appointment is not required. The date should be within 30 calendar days of the date the parent signs the IFSP unless the IFSP team decides on and documents the reasons for a later start

date in order to meet the individual needs of the child and family. It is not permitted to delay services while waiting for insurance authorization, except by parent request. The projected start date for a one-time service (e.g., an audiology evaluation) should reflect the anticipated date for delivery of that service. The IFSP is not valid or in effect until the parent signs the IFSP. The IFSP date would be listed as the projected start date only if (1) the family signs the IFSP on that date and (2) the service is anticipated to be delivered that same day.

Please note that the 30-day timeline does not apply to delivery of an assistive technology device. The projected start date listed on the IFSP for an assistive technology device should reflect the anticipated date for delivery of that service/device.

- 9) **Projected End Date** – Enter date (month, day, and year) when the service can reasonably be expected to have met all outcomes, or a future IFSP review date.
- 10) **Actual End Date** - Enter the date the service, as written, was discontinued. This applies to discontinuation of the service, and it also applies to any **changes** in the service, such as a change in the frequency, intensity, method, or location. In the latter cases, the service as originally written on the IFSP has been discontinued. Accordingly, the date of the change (End Date) should be entered here, and the “new” service (reflecting the changes made) should be added on the next empty line. Changes of this sort require an IFSP review and must be documented in Section IX – IFSP Review Record. For example, if the service on the IFSP is listed as physical therapy, 2 times per month, 1 hour per session, coaching with hands-on as appropriate, on an individual basis at home, then the actual end date for that service, as written, means the actual end date for physical therapy provided at that frequency, intensity, method, location. Physical therapy may be continuing but the frequency has been changed to once a month – the previous physical therapy service, as written, has ended and the new physical therapy service has begun.

**Justification of why early intervention outcomes cannot be achieved satisfactorily in natural settings and a plan with timelines and supports necessary to return early intervention services to natural settings** – If any service will be provided outside of a natural setting, explain here why outcomes cannot be achieved by receiving services in a natural setting within the context of the daily activities and routines of the child and family. The justification must document the IFSP team’s decision that the child’s outcome(s) could not be met in a natural setting even with supplementary support. The justification must include ways that services provided in specialized settings will be generalized into the child’s daily activities and routines and a plan with steps, timelines and supports necessary to return early intervention services to natural settings within the child’s and family’s daily activities and routines. The need for services to continue outside of natural settings must be monitored carefully, and IFSP reviews should be held more frequently to determine whether the child’s outcomes can now be met within natural settings. Therapist or parent preferences are not acceptable justifications. (If services are not provided in natural settings within the context of the daily activities and routines of the child and family because of family preference, then the services

are not Part C services and cannot be paid for with any federal, state or local early intervention funds).

**Reason for later projected start date (if services are planned to start more than 30 calendar days after the family signs the IFSP)** – For each service that is planned to start more than 30 calendar days after the family signs the IFSP, list here the service and indicate whether the reason is family scheduling preference, team planned a later start date to meet child and family needs, or other. If the reason is that the team planned a later start date to meet child and family needs, then explain here or in a contact note how the delay in the start of services meets child and family needs. If the reason is “other,” then this other reason must be fully documented/explained in the contact notes.

IFSP services may start more than 30 calendar days after the family signs the IFSP and still be considered “timely” if the IFSP team decides on and documents the reasons for a later start date in order to meet the individual needs of the child and family. It is also acceptable to plan a later start date due to family scheduling preference.

Provider unavailability is not a reason for planning a later start date, since it is not known for certain at the time of IFSP development that there will be no provider available. There are circumstances when the IFSP team anticipates a delay in the start of services due to a provider issue. For instance, if audiology is listed as an entitled service and the team knows it usually takes 6 weeks to get an appointment, then the projected start date should be realistic and reflect that fact. The reason for the later projected start date would be “other,” and the local system will work to get an earlier appointment either through a cancellation or by seeking the services of another audiologist, if possible. The contact notes will document the attempts to get an earlier appointment. Similarly, if the team anticipates a delay in the start of physical therapy because of a provider shortage, then the projected start date will reflect that fact, the reason given will be “other,” and contact notes will detail the circumstances as well as efforts to start the service as soon as possible.

Local systems are not permitted to delay the start of supports and services while waiting for insurance authorization, except by parent request. In order for this to be considered an acceptable reason for the delay in starting a service(s), there must be documentation that contact has been ongoing with the insurance company and that the local early intervention system has been working with the company to determine if there will be coverage for early intervention services AND that the parent chose not to begin services until insurance issues were resolved. Otherwise, Part C funds must be used to avoid a delay in the start of services.

If a service has a projected start date on the IFSP that is within the 30-day time frame, but the actual start date is delayed beyond the 30 days, then the reasons for that delay are documented in the contact notes rather than on the IFSP. The contact notes also provide documentation of the actual start date of each service. Compliance with the requirement for timely start of services is based on the actual start date in relation to the date the family signed the IFSP.

**VI. Other Services (services needed, but not entitled under Part C –include medical services such as well baby checks, follow up with specialists for medical purposes, etc.)** – List all medical and any other ongoing services a child and/or family may need but are neither required nor covered under Part C, e.g., follow-up by a medical specialist for a chronic health condition, orthopedic visits, etc. For each service, list the name of the provider of the service and the location at which the service is typically rendered. If those services are not yet being provided, describe the steps the service coordinator or family may take to assist the child and family in securing those services.

Entitled vs. Other:

- Any medical services for diagnostic or evaluation purposes that the IFSP team identifies as necessary to determine the child’s developmental status are considered entitled services and should be listed in the entitled services section.
- Services parents secure on their own outside of Part C (because they want more frequent services or a specific location, for example) should be listed as Other Services.

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**PAGE 7:**

**VII. Transition Planning** - The activities on this page are intended to help service coordinators plan individual child/family transitions in compliance with Part C requirements. There is no specific requirement about how much of the transition planning page must be completed at the initial IFSP. Transition planning must be individualized for each child and family and take into account the child’s age at the initial IFSP as well as the family’s priorities and preferences.

The transition pages of the IFSP should be updated more frequently as the time of the child’s transition draws nearer. An IFSP review is not needed in order to make changes on the transition pages. The family and service coordinator may update or make changes to the transition pages and then share the updated information with other team members at the time of the next IFSP review or annual IFSP.

- 1) **The following information about transition is discussed beginning at the initial IFSP** – This box provides an outline of the general information about transition that must be shared with families beginning at the initial IFSP meeting. Enter the date this information was fully shared with the family and the initials of the service coordinator. It is acknowledged that this information may be discussed with the family on more than one occasion, but it is only necessary to document the date on which the information was first reviewed completely with the family.

- 2) **Important Dates for Transition Planning** – This information assists the service coordinator and family in knowing some of the important dates for transition planning with this specific child and family.
- **Target date for referral to determine eligibility for early childhood special education services** – Generally, local systems will enter April 1 of the year that the child will be 2 by September 30<sup>th</sup>. This date provides the target date for referral to the local school division in order for the child to begin receiving early childhood special education services on the first day of school. Some local systems may work with local school divisions that allow admission of 2-year-olds throughout the school year (rolling admissions) or have other agreed upon timelines for referral. In that case, enter the target date here accordingly.
  - **Date of child’s third birthday** – Enter the date of the child’s third birthday and discuss with the family the eligibility and age requirements for early intervention so they understand when their child will no longer be eligible for Part C early intervention services.
- 3) **Notification to the Local School Division** – Enter the date by which the child’s name, address, phone number and birth date will be sent to the local school division and enter the name of that school division. There is no specific federally- or state-required date or timeline by which this information must be sent. For children who are potentially eligible for Part B, the local Part C system is required to send the child’s name, address, phone number and birth date to the local school division as the child becomes age eligible, unless the parent initials the line in this box indicating they do not want this information transmitted. Children in Part C are considered “potentially eligible” for Part B unless there is a clear expectation that they will no longer require services by the time they reach age 3. In Virginia, families have the option to transition their child to Part B in the year their child turns 2 or by the third birthday. The timing of notification depends on the family’s plan for transition. If the family plans to transition their child as he/she turns 2 by September 30, then the notification to the schools should be sent as that time approaches. Otherwise, it would be sent as the child nears his/her third birthday.

When/if the notification is actually sent, enter the date on the line at the bottom of this box for *Date Notification Sent*.

What happens if the family changes their mind about the notification?

- If the family initials the line indicating they do not want this information sent to the local school division but later changes their mind, then the service coordinator can either:
  1. Have the parent initial on the second line in this box indicating “I have changed my mind and agree to have this information sent to the local school division.”  
-OR-
  2. Discuss this during an IFSP review meeting, note on page 9 of the IFSP (IFSP Review Record) that the family has decided to allow transmission of this information to the local school division, and have the family sign page 9. If this option is used, then the service coordinator must note in the Notification box on page 7 of the IFSP that the family changed their mind, as indicated on the IFSP Review Record dated \_\_\_\_\_.
- If the family initially leaves the space blank (indicating that they agree to have the information sent), then later decides (prior to it being sent) that they do not want their information sent, they must initial the sentence indicating that they do not want the information sent and include the date they initialed this.
- If a family initials the Notification box indicating they do not want this information sent and later says that they want their child referred to the local school division, there is no need for an IFSP review and no need for the family to indicate they have changed their mind about sending the notification information to the local school division. The notification information is a child find activity, and the family has opted not to have their child's information sent. When they later decide to have their child referred to the local school division, this is no longer a child find activity and there is no need to go back and change their previous decision not to send the notification information.

- 4) **Transition Planning Requirements** – This section includes a wide range of steps and activities reflecting the variety of possible transition destinations. The transition steps and activities that will be completed for an individual child and family will depend on that family’s specific transition plans and preferences. The steps and activities may be completed in whatever order is most appropriate for each child and family.

The transition pages also are appropriate for use when a child is moving out of the local Part C system’s jurisdiction, either to another local system in Virginia or out of state. If much of the transition page has already been completed based on an expected transition other than the move, then the service coordinator and family may use a new set of transition pages to record the new transition destination and the steps and activities associated with the move. This new set of transition pages must then be attached to the IFSP.

- **Transition Steps/Activities** - All blanks within the table (except “other steps/activities”) must be completed by the time the child transitions. If the child will receive no further services upon leaving early intervention, then non-applicable activities (e.g., sending child referral information to the next setting) should be marked “N/A.” If the family chooses not to complete an activity (e.g., 1b. Arrange visits to programs as desired by the family), then note that in the blank. Please note the following instructions related to specific steps/activities:
  - Steps 2 and 3 – Record the dates that the referral and transition conference actually occur. Other discussions with the family prior to them deciding to accept the offer of a referral or transition conference must be documented either in Step 1d or in contact notes.
  - Step 4, Activity b – This may include steps to help the child become more familiar with the new program/setting and/or learn new skills needed to adjust to the new program/setting. This may also include steps to assist the family in determining and completing other activities that are needed before the child can move into the new program/setting (e.g., enrollment forms, immunizations, transportation issues, etc.). If these steps require changes in the IFSP outcomes or services, then an IFSP review must be held.
  - Step 5, Activity a – If circumstances required that the Parental Prior Notice form be sent to the family and the form was not returned, then 5a should be marked “No,” and documentation must be available in the child’s record indicating when the form was sent and any follow-up that occurred to obtain a signature.
  - Step 5, Activity b – This activity applies only to a children who have been placed on inactive status, in accordance with the no-show policy page, and who have reached the last projected end date for the services listed on their IFSP.

- **Target Date** – Enter the date (month/day/year) by which the step is expected to be completed. It is not necessary to enter target dates for each individual activity.
- **Date Completed** - Enter the date (month/day/year) the corresponding step was actually completed.
- **Initials Person Completing** – Enter the initials of the person who completed the step.

Question: Given the level of detail on page 7 of the IFSP, what needs to go in contact notes related to transition?

Answer: Contact notes should be used to document the following:

- The fact that discussion with the family about transition occurred and that information is documented on page 7 of the IFSP;
- The fact that the service coordinator worked on a transition activity on behalf of the family;
- Communication and planning related to the transition conference (including cancelled meetings with reasons, details about the transition plan that are not documented on Page 7, the names of the people who participated in the meeting, etc).
- Any additional information related to transition that is not documented on page 7 of the IFSP.

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## **PAGE 8:**

### **VIII. IFSP Agreement**

- 1) **Parental Consent for Provision of Early Intervention Services** – This is a statement of agreement with and informed consent for the services as specified in the IFSP. The *Notice of Child and Family Rights in the Infant & Toddler Connection of Virginia Early Intervention System* must be given to the parent(s) and explained prior to asking them to sign the IFSP. If the parent expresses disagreement with any portion of this statement, the service coordinator should determine the source of the disagreement and attempt to resolve it with the parent(s). If the parent(s) decide to opt out of one or more services or to opt out of Part C, they must be provided with and sign the "Declining Early Intervention Services" procedural safeguard form and their rights must be explained to them. If this is an initial IFSP, the family will have been provided a copy of "Facts about Family Cost Share" when they initially entered the system. This information should be provided again at each annual IFSP meeting.

- 2) **Parent(s)/Legal Guardian Signature** - Parents sign to affirm their agreement with the consent statement above. Check the appropriate box to indicate whether the signer is the child's Parent, Legal Guardian, or Surrogate Parent.
- 3) **Other IFSP Participants** - Everyone else who participates in the development of the IFSP, in addition to the parent(s), (including anyone accompanying the parents and knowledgeable authorized representatives of anyone directly involved with the eligibility determination and/or assessment for service planning) must sign here and list their role, organization (as applicable), and the full date of signature (month, day, year).
- 4) **The following individuals participated electronically or in writing** - The names of others who participated in the development of the IFSP via phone, internet conferencing, submission of written reports, etc., but were not physically present at the meeting must be entered here. List the specific manner in which each individual participated.
- 5) **Translator/Interpreter (if used)** - List the name and contact number of any individual(s) who either interpreted any portion of the IFSP development process for the family/child, or who was responsible for translating the IFSP into the family's native language.
- 6) **Related documents** – List any related documents that were used to develop the IFSP (for example, medical specialist's evaluation of an aspect of the child's health that is relevant to his developmental progress). These documents, while not part of the IFSP itself, must be included in the child's early intervention record.
- 7) **Copies to** – List here all individuals who will receive a copy of the IFSP. If the IFSP is to be sent to persons who did participate in the eligibility determination, assessment for service planning, or IFSP development and will not be actively involved in carrying out the plan, the parent must sign a separate release of information form. Also, if information is attached to the IFSP that was received from other sources it must be made clear to the family that their consent to release the IFSP includes the release of the attached report.
- 8) **Physician certification** – This section is used to document physician certification for medically necessary services and is only completed when necessary for public or private insurance reimbursement purposes. The physician must certify the services as medically necessary before any of the Medicaid reimbursed services are provided.

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**PAGE 9:**

IX. **IFSP Review Record** – This page is intended to provide documentation for the IFSP reviews that must be conducted every six months or more frequently as requested by the parent or other team members. The services page and the transition page often require updating during a review. Additions to the IFSP (updates) must be dated and

signed. Page 9 of the IFSP documents the parent's consent for any changes to the IFSP made at the time of review.

Review Required?

**Yes:** An IFSP Review must occur whenever a change to the outcomes, short-term goals or service provision (frequency, intensity, group/individual, method, natural environments/location) specified in the IFSP is being considered.

**No:** An IFSP Review is not required to add or change learning opportunities and activities or to add/document specific transition strategies. The above additions should be written right on the form and must be initialed and dated. Changes to contact information for the family and/or change in the service coordinator do not require an IFSP review and should be documented on the IFSP as the changes occur.

**No:** An IFSP Review is not required if a short-term goal is not met by the target date. However, it may be appropriate to hold an IFSP review to discuss progress and whether there is a need to change the short-term goal. Otherwise, if the short-term goal is continuing, the team will revise the target date at the next IFSP review.

**No:** A review is not required when the frequency, intensity, etc. change if the changes were planned and documented on the IFSP during a prior IFSP meeting (e.g., the team planned and wrote on the IFSP that developmental services would be provided once a week for 3 weeks then change to once every other week).

**No:** A review is not required to change the service provider for an entitled Part C service.

**Other Requirements Associated with IFSP Reviews:**

- *Prior Written Notice and Confirmation of IFSP Meeting* procedural safeguard forms must be used prior to an IFSP review. These forms may be mailed ahead of the meeting if necessary (e.g., if the meeting will not be face-to-face and the service coordinator will not see the family before the meeting).
- At a minimum, the review must include the parent(s) and any other friend or family member(s) requested by the parent, the service coordinator, and any direct service provider(s) as appropriate.
- This does not have to be a face-to-face meeting. Any means of reviewing the IFSP that is acceptable to the parents and other participants is permissible, as long as all participants have the opportunity to provide input.
- If the IFSP review is held by means other than a face-to-face meeting, then the contact notes must document the date of the IFSP review. Even though the parent's signature may not be obtained on that date, it is the date the review is held that must be within 6 months of the date the initial or annual IFSP was developed. Contact notes then document efforts to obtain the parent's signature.

- 1) **Purpose of Review** – Check the appropriate box to indicate if the review is being held as the required 6-month review of the IFSP or has been specifically requested by the parent or another member of the team.
- 2) **Review Date** – Date of the IFSP review meeting. If the IFSP review occurs by phone, then the date of the phone call to review the IFSP is the review date.
- 3) **Summary** – Provide an overview of what was discussed and decided at the review. This should include information from the family regarding their priorities and preferences and information from any current evaluations and from ongoing assessment in determining which IFSP services are needed. Include the manner in which the review was conducted and any other new information that might affect the IFSP. If there are changes made to the IFSP as a result of this review, include the rationale for the change(s) here.
- 4) **Changes** - Enter any changes that were made to the IFSP as a result of the meeting. This should consist of the current provision and what is changing about it, e.g., Physical Therapy is being changed from 1x/wk. to 1x/mo. If no change is recommended, write "none." Changes authorized here must be entered in the appropriate IFSP section(s), either Section IV - Outcomes, and/or Section V – Services Needed to Achieve Early Intervention Outcomes, by entering the end date for the old provision and writing in the new provision on the next open line/page. If a new outcome is added, the header should retain the original IFSP date and the date the outcome is added should be recorded by "Date Outcome Added."

- 5) **Projected Start Date for Change** – Record the date the change is projected to begin.
- 6) **Parental Consent** – The parent signs to indicate his/her involvement in the decisions and his/her informed consent for the changes. A written copy of parents' rights must be provided to the parent(s).
- 7) **Other IFSP Participants** - Everyone else who participated in the IFSP review, in addition to the parent(s), (including anyone accompanying the parents and knowledgeable authorized representatives of anyone directly involved in assessment of the child) must sign here and list their role, organization (as applicable), and the full date of signature (month, day, year).
- 8) **The following individuals participated electronically or in writing** - The names of others who participated in the IFSP review via phone, internet conferencing, submission of written reports, etc., but were not physically present at the meeting must be entered here. List the specific manner in which each individual participated.
- 9) **Physician certification** – This section is used to document physician certification for medically necessary services and is only completed when necessary for public or private insurance reimbursement purposes. The physician must certify the services as medically necessary before any of the Medicaid reimbursed services are provided.

Duplicate the page as necessary.

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**ADDENDUM:**

Use this addendum page to document the provider for each entitled service listed on page 6. Generally, the providers are not known at the time of the IFSP meeting so this page may be completed after the IFSP is signed.

- 1) **Entitled Service** – List the entitled services from page 6 of the IFSP, ensuring that each service is listed next to the same number on the Addendum as it is on page 6. This connects the service provider listed in the Addendum with the service details on page 6.
- 2) **Service Provider** – List the service provider's name (e.g., Jane Doe), agency, address and phone number on the top row next to the service. There are 3 rows available for each service in case there is a change in service provider.
- 3) **Current?** – If there is a change in service provider or the service as listed with the corresponding number on page 6 of the IFSP has ended, check the N in this column next to the exiting service provider indicating that this provider is not a current provider. If the service is continuing but there has been a change of provider, then add the name of the new provider on the next row for that same service. Please note the following:

- An IFSP review is not required in order to change the service provider as long as the service, as listed on page 6 of the IFSP, remains the same.
  - If any aspect of the service changes (e.g., the frequency or the intensity), then the service as listed on the IFSP has ended and a new service has started (see page 17, #10). The new service is listed on a new line on page 6 of the IFSP, and that same service must then be listed on the corresponding line of the addendum.
- 4) **Parent Signature** – The parent checks the box next to the first statement and signs to indicate that he/she was given the opportunity to choose from among available practitioners who work in their local system area and who are in their payor network. All parents must be given this opportunity. More information about parent choice of provider is available in the “Selecting Service Providers” section of Chapter 7 of the Infant & Toddler Connection of Virginia Practice Manual.

If the child is enrolled in Targeted Case Management (TCM), the family also checks the box next to the second statement indicating they were given the opportunity to choose from among available service coordinators who are TCM providers. The local system is not required to offer a choice of service coordinators unless the child is receiving Targeted Case Management.

## ***ANNUAL IFSP***

(Must be completed within 365 days)

Listed below are page-by-page considerations for the annual IFSP.

### **Page 1**

- Fill in the date of the annual IFSP
- Place a check beside “Annual” and note whether this is annual IFSP #1 or #2 (e.g., the annual IFSP done one year after the initial IFSP is annual #1).
- Fill in the date that the six month review is due (after the annual)
- Fill in the dates reviews are completed as they occur

### **Page 2**

- Complete in the same way as for the initial IFSP. The means of gathering the information may be different since much of it may be gathered through ongoing conversations during intervention sessions and service coordinator visits or calls. This is a great opportunity to assure that the team is staying in sync with the family since child and family routines and the family’s priorities, concerns and resources may change over time.

### **Page 3**

- The providers who are serving the child are expected to be able to make a statement concerning the child’s present level of development in each of the developmental areas since ongoing assessment is a routine part of intervention. Re-assessment at the time of the annual IFSP would only be completed if specifically needed in order to complete the annual determination of eligibility or the annual evaluation of the IFSP for an individual child (e.g., the child has recently had major surgery that significantly impacted his/her developmental status or the child receives services infrequently and no provider has had the opportunity for ongoing assessment for a long period of time).
- Provide an update of the child’s overall functioning for the Team Assessment – Narrative.
- Complete the remainder of the page as done for the initial IFSP.

### **Page 4 and Page 5**

- Begin numbering outcomes with number one (for the service coordination outcome) even if you will be re-writing an ongoing outcome.
- Fill in the target date for the outcomes and the short-term goals. The “date met, changed or ended” will be filled in during future IFSP reviews if/when changes are made to that outcome.

**Page 6**

- The only difference for page 6 from the initial IFSP is that some services may already be in progress. These should be listed with “continuing” recorded as the “projected start date.”

**Page 7**

- The transition pages from the child’s initial IFSP are to follow the child through subsequent IFSPs so that each IFSP includes a complete picture of the transition process. Therefore, the transition pages from the initial IFSP can be either electronically copied into or photocopied and inserted into the annual IFSP. Likewise, the transition pages from the first annual IFSP will be copied and used in the second annual IFSP. The IFSP team will continue adding information on the original transition pages throughout her/his enrollment in Part C. The date of the most current IFSP must be entered at the top of the transition page as it is used in subsequent IFSPs (e.g., the date of the annual IFSP is entered at the top so it is clear that this transition page goes with this annual IFSP).
  - When completing the IFSP electronically, enter the date of the annual IFSP as the IFSP date at the top of page 7.
  - When completing the IFSP by hand, please add the new IFSP date on the second line under IFSP Date at the top of the page without striking through the previous IFSP date (so it does not appear to be an error).

**Page 8**

- Complete page 8 as you did for the initial IFSP. The only difference is that the “Facts about Family Cost Share” document must be provided and explained to the family at the time of the annual IFSP.

**Page 9**

- Page 9 remains the same as described in the instructions for completion of the initial IFSP.

**Addendum**

- Complete the Addendum as you did for the initial IFSP.

## ATTACHMENT A:

### Instructions for Using Word Processing to Customize and to Complete the IFSP Form

#### Making permanent changes to the IFSP form

The IFSP form may be customized with permanent changes for local use **only** in the ways described in the first point under General Information on page 1 of this document.

#### **Electronic version of the IFSP:**

When you first open the IFSP form on a word processor, a message may appear asking whether to enable macros. Click *yes* or *OK*.

**To make permanent changes**, you must first **unprotect** the form. To do this in MS Word:

- Click on the Tools menu
- Click on *unprotect document*

If you will be entering information in a box where you will not need to enter additional information when completing the form for an individual child (e.g., Local System Name), then click on the shaded box, hit *delete*, and then type in the applicable information.

**After you make changes, be sure to protect the document again. If you don't, attempting to type new information will alter the document's format.**

#### **To protect the document:**

1. Click on the Tools menu
2. Click on *protect document*
3. A window will appear with three options for protecting the document. Select *forms*.
4. The window will also have an option to password protect. If you enter a password, no one will be able to unprotect the document for further permanent changes unless they know that password. If you do not wish to use a password, leave the space blank and click *OK*.

#### **Handwritten version of the IFSP**

This version of the IFSP is not protected. To make permanent changes, click on the shaded box and type in the applicable information. When entering the local system name, you will need to first delete the words "Local System Name Here." Save the document to make these changes permanent, and then print it out for individual completion.

#### Using Word Processing to complete the form

- You will need to make all required and optional changes to the IFSP form before you begin typing an individual child's IFSP. Make sure the document is protected before you begin filling in information of an individual child. If you unprotect the document in the middle of entering a family's information, you will lose the information when you re-protect.
- When filling in the form electronically for an individual child, you must **save the completed IFSP under a different name such as the child's name and date**.

This will create a new file and will maintain the blank form. Alternatively, you can save the "original" IFSP form as a template. You will need to name the document when you complete it for an individual child.

- Once protected you will only be able to type in the shaded text boxes. It is advisable to use your tab key to move forward from text box to text box (use shift + tab to move backwards). Your space bar will select and de-select the check boxes on the form.

For local systems that complete the Assessment Narrative in a separate Word document and then paste into the IFSP form

- If pasting the text into the IFSP form results in a page break after the word "Narrative," you can take the following steps to delete the page break:
  - Position the cursor in the first paragraph of the text you pasted in
  - Go to the menu bar at the top of the screen and select *Format*
  - Select *Paragraph*
  - Select the tab that reads *Line and Page Breaks*
  - Unselect the checkbox that reads *Keep with next*
  - Click *OK* and the paragraph will return to the correct page
- Pasting the text in from another document sometimes results in unexpected formatting changes within the pasted text. To prevent this, you need to paste the text without formatting.
  - In order to paste the text, go to the menu bar at the top of the screen and select *Edit*
  - Select *Paste Special*
  - Select *Unformatted Text*
  - Click *OK*

## ATTACHMENT B

### Instructions for Completing the Mental Retardation Targeted Case Management (TCM-MR) Version of the Statewide IFSP Form

The TCM-MR version of the IFSP form requires the following additional or different information from the standard statewide IFSP:

#### Page 1

- **Child's Name** – If the IFSP will be used as the Consumer Service Plan for Targeted Case Management, then the child's full name must appear on every page. If the child has a nickname, it is acceptable to include that in addition to his/her full name.
- **Dates Quarterly Medicaid Targeted Case Management Reviews Due** – Enter the dates by which the quarterly TCM reviews must be completed. Enter the date the quarter ends, not including the 30-day grace period.
- **Dates IFSP/TCM Reviews Completed** - When the quarterly TCM review is held, write in the date of the review. The quarterly review must reflect the full 90 days of services. Therefore, the review must be completed between the end of the quarter and the end of the 30-day grace period. Although there is no requirement that the quarterly TCM review include the family, local systems are strongly encouraged to consider the quarterly TCM review to be an IFSP review if the IFSP is being used as the Consumer Service Plan. An IFSP review is required if changes to outcomes or services are being considered.
- **Date(s) Other IFSP Reviews Completed** – When the 6-month or other IFSP review is held separately from a quarterly TCM review, write in the date of the review here. It is not necessary to rewrite the IFSP at every six-month review or when a review is held at a time other than 6 months, as long as the IFSP is updated to reflect the child's current needs and plans. However, a new IFSP form must be initiated at each annual IFSP meeting.
- **Medicaid Number (Optional)** - For children receiving Targeted Case Management Services, it is helpful, though not mandatory to include the Medicaid number on page 1 of the IFSP. This should be the child's permanent Medicaid number (as opposed to a MCO number, for instance).
- **This IFSP also serves as the Consumer Service Plan for Targeted Case Management from \_\_\_\_\_ (start date) to \_\_\_\_\_ (end date)** - Check this box if the IFSP is also being used as the TCM Consumer Service Plan. Enter the start date and end date for the Consumer Service Plan. The end date will generally be one year (365 days) from the start date, unless the child is expected to exit Part C sooner than that or the child became eligible for TCM some time after the initial (or annual) IFSP was developed.

#### Page 2

- **Child and Family Activities** – Since targeted case management focuses on the child, it is important that this section clearly identifies activities in which the child participates or the family would like the child to participate as well as the activities the child enjoys.
- **Social Assessment** – In order to meet TCM-MR requirements, provide the child's current status in each of the areas listed. If the required information is covered either completely or partially in another section of the IFSP, it is

acceptable to note next to the appropriate prompt in Section IIc, “See \_\_\_\_\_” or “See also \_\_\_\_\_” rather than repeating the information.

Reminders:

Medicaid needs to know if the child has any income. This would include any income in the child’s name, such as trust funds, some child support, etc. This information should be recorded in “Financial, insurance, transportation and other resources.”

In “Physical/mental health, safety and behavior issues,” please note that safety includes any abuse or neglect.

“In Physical/mental health, safety and behavior issues,” list the child’s current medications, both prescribed and over-the-counter (without the exact dosage, as this may change). Somewhere in the child’s record would be a complete list of the current medication; exact dosage; who prescribed; reason; etc. The side effects would be included/attached, usually in that same section of the child’s record. It is not acceptable to simply reference a website for the side effects.

The social assessment must clearly establish the need for targeted case management. It must be clear from the social assessment why the service coordination short-term goals were identified. Identify within the social assessment categories what the family wants help with for their child. The monthly billable case management activities must address the specific needs of the child as addressed in the short-term goals.

If you are using the TCM version of the IFSP for a child who is not eligible for TCM, there is no requirement to complete section IIc, the social assessment. However, it is not acceptable to omit (i.e., delete) section IIc completely from the TCM version of the IFSP. Mark the section N/A or note here that the child is not eligible for TCM. If the information has already been gathered for section IIC (e.g., in the course of assessing eligibility for TCM), then that information should be included in the child’s record.

**Page 3**

- **Eligibility for Targeted Case Management** – Mark whether the child is eligible or not eligible for Mental Retardation Targeted Case Management. In order to be eligible for Mental Retardation Targeted Case Management, the child must be delayed in cognitive and adaptive development. There is no requirement that the delay be of any certain percentage. Please note, however, that adaptive development is defined differently under TCM than under Part C. Under TCM, adaptive skill areas include communication, self-care, home living, social skills, community use, self-direction, health and safety, functional academics, leisure and work. A child under the age of six may also be eligible for Mental Retardation Targeted Case Management due to the presence of a syndrome typically associated with mental retardation.

**Page 4**

- **Child will receive...** - Check the appropriate box to indicate whether the child will receive service coordination or service coordination/targeted case management.
- **Outcome (Long-Term Goal)** – Outcome #1 is a general service coordination/case management outcome that is required for all children eligible under Part C.
- **Short-Term Goals** – The short-term goals must be worded in terms of what the service coordinator/case manager will do for the child. For instance, if the social assessment indicates a need for WIC and food stamps, then the short-term goal must make clear that the service coordinator/case manager will “Provide supports identified by your family to include resources for: Meeting John’s nutritional needs by assisting in applying for WIC and food stamps” (or other similar wording). It is not acceptable to write “... resources for: Helping the family get WIC and food stamps.” Similarly, if there is a need to get information or an appointment with a physician, it is not enough to write a short-term goal stating that “the family will follow-up with the physician.”
- **Service Coordinator/Case Manager** – Enter the name, credentials, and role/organization of the individual who will provide service coordination or service coordination/targeted case management.

**Page 6**

- **Frequency and Intensity of Service Coordination** - For Part C, direct contact time is with the family and includes activities such as home visits, phone calls and emails with the family, accompanying the family to an appointment, etc. Under Targeted Case Management, direct contact time is with the child. For children receiving TCM, the frequency box must reflect at least one contact directly with the child every 90 days.
- **Actual End Date** – Criteria for Part C eligibility and TCM eligibility are not the same, and children discharged from Part C may still be eligible for TCM. A child who continues to be eligible for TCM once he/she is no longer eligible for Part C cannot be discharged from TCM unless the parent consents. TCM must continue to be provided by someone in the catchment area. Children receiving Targeted Case Management must be given the right to appeal if their TCM services end. If the child is discharged from TCM, an appeal letter must be sent to the family in accordance with requirements in the Medicaid Mental Retardation Community Services Manual, Chapter IV.

**Page 8**

- **Other IFSP Participants** – If the case manager is not a Qualified Mental Retardation Professional (QMRP), a supervisor who is must approve the assessment and individual service plan in order to meet licensing requirements (12 VAC 35 – 105-590). The supervisor can sign next to or below the service coordinator/case manager on the IFSP in this situation.

**Page 9 - TCM**

- The TCM version of the IFSP Review Record page includes prompts for the information required under targeted case management at each quarterly review as well as that required for IFSP reviews under Part C. ***Use of this page is optional.***

- General Status – Record the child’s general status, including health and safety, at the time of the quarterly review.
- Significant events – Document any significant events that have occurred since the plan was developed or since the last quarterly review of services.
- Progress of lack of progress – Describe the progress of lack of progress in meeting the Consumer Service Plan/IFSP.
- Satisfaction with services – Describe the family’s satisfaction with services received under the Consumer Service Plan/IFSP.

**Page 9**

- The regular version of page 9 is also included with the TCM-MR version of the IFSP. The regular page 9 may be used when an IFSP review is held separately from the quarterly TCM reviews or if the local system decides to document only the Part C requirements on the IFSP (and documents the TCM quarterly review requirements elsewhere).

For additional information about Mental Retardation Targeted Case Management, please see the Mental Retardation Community Services Manual, Chapter 4 (available at [www.dmas.virginia.gov](http://www.dmas.virginia.gov), click on Provider Manuals.)

**Note: Child determined eligible for TCM later**

If a child is not eligible for targeted case management (TCM) at the time of his/her initial Part C eligibility determination and assessment for service planning but later becomes eligible for TCM, the following steps may be taken to use the IFSP as the Consumer Service Plan for TCM:

1. Hold an IFSP Review to add the required elements of the Consumer Service Plan (as described above, in this attachment).
2. At the bottom of page 1, enter the start date of the Consumer Service Plan (which would be the IFSP review date) and enter the end date for the Consumer Service Plan (which would be one year from the IFSP date, the date the annual IFSP is due).

If the existing IFSP was not developed using the TCM version of the IFSP, then new pages will need to be completed in order to use the IFSP as the Consumer Service Plan for TCM. The original pages of the IFSP (developed before the child was determined to be eligible for TCM) must not be discarded. Either mark a single line through the old page, initial and date the change and then add the new page or leave the old page as is and add the new page, as page 1a for example.

**Note: MR Waiver**

Some children receiving TCM are also eligible for MR Waiver services. The TCM version of the IFSP has not been designed to meet the additional requirements of the MR Waiver.

## Chapter 8: IFSP Implementation and Review

As children develop and grow and family priorities and concerns change over time, the IFSP changes to reflect new outcomes, supports and services. The service coordinator coordinates and monitors the delivery of IFSP supports and services. The IFSP is reviewed at least every 6 months or whenever a team member, including the family, identifies the possible need for a change. A new IFSP is written annually during the child's enrollment in the Infant & Toddler Connection system. Transition planning and support also occur during this phase of the early intervention process.

### Service Delivery

#### General:

- The early intervention supports and services listed on the IFSP must begin in a timely manner, within 30 calendar days of the date the parent(s) signs the IFSP. Early intervention supports and services may begin more than 30 calendar days after the parent(s) signs the IFSP if the IFSP team decides on and documents the reasons for a later start date in order to meet the individual needs of the child and family. It is also acceptable to plan a later start date due to family scheduling preference.
  - The date of parent signature on the IFSP is day 1 of the 30 calendar days.
  - The 30-day timeline begins on the date the parent signs the IFSP regardless of the projected start date listed on the IFSP. In addition, the timely start of services is not related to the frequency with which the service will be provided (e.g., even if the planned frequency of the service is once every two months, that service must begin within 30 days of the date the parent signs the IFSP, unless the team has agreed to a later start date to meet child and family needs or the family prefers to schedule the first visit after 30 days).
  - A contact note is required to document the date a service actually begins.
  - If the service coordinator participated in the IFSP meeting and/or met with the family on the same day and after the IFSP meeting, then service coordination could be considered as beginning on the date the family signed the IFSP. The service coordinator's signature on the IFSP is adequate to document that the date of parent signature on the IFSP was the start date for service coordination. Other entitled supports and services would begin on the date the parent signs the IFSP only if the service provider delivers an entitled service on that day that is separate from and after the IFSP meeting.
  - The 30-day timeline does not apply to delivery of an assistive technology device. The child's early intervention record must include documentation of the steps taken from the date of the signed IFSP to secure the device as quickly as possible.
  - Part C early intervention supports and services must be provided only by qualified practitioners. Practitioners who provide developmental therapy or service coordination must be certified by the State Lead Agency as an Early Intervention Specialist, Early Intervention Assistant or Early Intervention Service Coordinator. See Chapter 12 – Personnel for more information about practitioner qualifications and certification.

- Families are active participants in each early intervention session. Missed appointments and limited caregiver participation in early intervention sessions are cues that discussion is needed with the family to determine if/why the outcomes or supports and services are not meeting their needs and/or what barriers exist to keeping scheduled appointments or becoming involved in sessions. An IFSP review should be conducted to better align supports and services with family priorities and/or daily activities and routines in order that the Part C early intervention system can be involved in their lives in a way that is helpful to them and that facilitates the parent-provider partnership.
- In order to establish/maintain rapport and partnership with the family and to determine whether existing supports, services and strategies are working, the service coordinator and other service providers use the following kinds of questions/ideas to begin conversations with families and to guide their listening during visits and other contact with the family:
  - How have things been going?
  - Tell me about how things are going with breakfast, getting your family out of the house in the morning, etc.
  - Tell me about what you and your child did over the weekend.
  - Did you have any appointments for your child? Any coming up?
  - Tell me about any time of day that's not going well for you with your child.
  - In the past week, what time of day has been going well (with or without your child)?
  - Do you have enough activities to do with your child? Too much?
  - How did your child respond to the activities you did with him/her? What worked well? What did not work well?
  - Is there anything else I can help you with?

Service Coordinator Responsibilities:

- Coordinate and monitor the delivery of those IFSP supports and services for which the family has given consent.
- Explain to families who are receiving Part C supports and services that they may receive an annual survey from the State requesting their input on the supports and services they are receiving. Explain that family responses to the survey are confidential and help to improve service delivery in the local area and across the state. Encourage the family to complete the survey when they receive it.
- Ensure that the language or other mode of communication normally used by the child in the home or learning environment is used in all direct contact with the child. If the service provider is not able to use the native language and the parent is not able to translate or interpret for the child, then
  - A translator must be present. A professional translator is not required. Another IFSP team member may be able to translate or there may be an extended family member, neighbor, clergyman, or other family friend who would be willing and able to translate (if the family agreed). The local Infant & Toddler Connection system may wish to collaborate with the local school system(s) in finding translators.
  - When sign language interpreters are needed, these interpreters must meet professional licensure requirements. To locate qualified sign language interpreters, contact the Virginia Department for the Deaf and Hard of Hearing (1-800-552-7917) or access their website, [www.vddhh.org](http://www.vddhh.org), for a directory of qualified interpreters. If a licensed sign language interpreter is not available in the area served by the local

- Document all contacts made and all activities completed with or on behalf of the child and family in accordance with the requirements specified in Chapter 9.
- Submit a contact log to the local lead agency no later than the 21st of each month for the previous month for any service for which reimbursement is sought from Part C funds. The log must include the type of service delivered (e.g., service coordination), date(s) of service delivery, amount of time service was provided on each date, and signature of the provider.
- Ensure that missed appointments (no shows) for services listed on the IFSP are handled in accordance with the procedures given in the flow chart that follows. A no-show situation must be addressed promptly; all steps in addressing the situation must be thoroughly documented; and a child may only be discharged from the Infant & Toddler Connection system after all of the flow chart steps have been taken and there has been no contact from the family and the projected end dates for all Part C services listed on the IFSP, including service coordination, have been reached. The timelines given in the flow chart may be considered guidance rather than requirements.
  - If a child is determined to be inactive, then enter required data on the ITOTS Discharge/Inactive Tab. [Link to ITOTS Manual]

## Flow Chart for "No Shows" for Service Visits

**Provider Arrives for Scheduled Visit**

### Service Provider Responsibilities

Service Provider (SP) informs Service Coordinator (SC) of each missed appointment **within 2 business days** after the missed appointment (even if SP was able to speak with family within the 2 business days and reschedule appointment)

Then →

### Service Coordinator Responsibilities

SC makes initial attempt to contact family within **2 business days of notification by service provider** (if SP was unable to contact family).

**Purpose of Contact**

1. Find out reasons for missed appointments
2. Determine need for IFSP review, and
3. Coordinate scheduling next visit for other service providers

↓  
Then

SC has **3 additional business days** to make an **additional two attempts** to contact the family. If 2 attempts are by phone & no voice message is left, the third attempt **MUST** be either by regular US mail or home visit.

↓  
Then

If there has been no response from family within **7 calendar days of the third attempt** to contact, then on the next business day the SC sends **a certified letter with return receipt requested**.

**Content of letter**

1. Information letting the family know about missed appointment(s)
2. Attempts to contact
3. Services are still available
4. Can do IFSP review
5. Please contact Service Coordinator to schedule review and/or next service appointment

↓  
Then

If there has been no contact initiated by the family **within 10 calendar days of sending certified letter**, SC notifies SP, in writing, that status of the case is "inactive" until communication is made with family or projected end date for entitled services, including Service Coordination.

Targeted Case Management **MUST** close case to Medicaid but leaves case open to Part C on "inactive" status.

↓  
Then

On **projected end date for entitled services**, *Parental Prior Notice* is sent to family with a copy in child's record.

**Top Section:**

- Check "Other" (Your child is being discharged from the Part C system)

**"Reason" Section:**

- **MUST** summarize all attempts to contact family **AND** list end date for entitled services listed on IFSP.

Meanwhile

1. SPs who do not have standing appointments **do not go back out for visits** until the SC or SP is able to contact family.
2. SPs who do have standing appointments must go out for visits as designated on the IFSP

### Givens

**Documentation of attempts to contact and schedule appointment is critical:**

1. SP's notes reflect contact with SC
2. SC's notes reflect specific attempts to contact family & schedule appointment AND contact(s) with SP

### AND

**Any communication back from the family re-starts the timelines established within this document.**

**Definitions**

**Contact** may include, but is not limited to any of the following:

- Telephone call, Home Visit, Fax, E-Mail, Letter, Visit to Place of Employment, etc.

**Inactive:** no additional visits or attempts to contact need to be initiated by local system, but the child is NOT discharged

Responsibilities of Other Service Providers:

- Deliver services in accordance with the IFSP.
- Conduct ongoing assessment as part of service delivery.
- Work as a team member to support the child and family in achieving the IFSP outcomes. Team members consult with each other and with the family to ensure that services are coordinated and consistent with one another and support functional development of the child as a whole. This is true whether multiple providers are visiting the family or there is a primary provider. If the IFSP team determines that one primary provider will work with the family, then other team members support the primary provider and the child and family by providing consultation to the primary provider, participating in joint visits with the primary provider to the child and family, and/or suggesting strategies and techniques to enhance progress toward outcomes.
- Use items already present in the child's environment when providing early intervention supports and services. This assists the family/caregiver to identify what they have in their own environment that can be used during daily routines and activities to accomplish the outcomes.
- Focus interaction with the child and family on expanding the family's confidence and competence to help the child learn and develop during everyday activities.
- Continually consider what support the family or other caregiver needs in order to implement strategies within their child's and family's daily routines and activities.
- Contact the service coordinator to request an IFSP review when there is a need to discuss potential changes to outcomes or services. Specific recommendations to the family about potential changes should be discussed during the IFSP review.
- Contact the service coordinator when there are missed appointments or other difficulties with parent participation.
- Document all contacts made and all activities completed with or on behalf of the child and family in accordance with the requirements specified in Chapter 9.
- Submit a contact log to the local lead agency no later than the 21st of each month for the previous month for any service for which reimbursement is sought from Part C funds. The log must include the type of service delivered (e.g., physical therapy, developmental services, OT, etc.), date(s) of service delivery, amount of time service was provided on each date, and signature of the provider.

IFSP Reviews

General:

- The purpose of the periodic review is to determine the degree to which progress toward achieving the outcomes is being made and whether modification or revision of the outcomes or supports and services, including frequency and intensity, is necessary.
- An IFSP Review must occur whenever a change to the outcomes, short-term goals or service provision (frequency, intensity, group/individual, method, natural environments/location) specified in the IFSP is being considered. More information about when an IFSP review is required is available in the IFSP Instructions at the end of Chapter 7 (see instructions for completing page 9 of the IFSP form).
- Families and other IFSP team members can request an IFSP review at any time by contacting the service coordinator.
- The IFSP review may be carried out by a meeting or by another means that is acceptable to the parents and other participants as long as all IFSP team members have the opportunity to provide input about all contents of the IFSP.

Service Coordinator Responsibilities:

- Facilitate the periodic review of the IFSP at least every six months or more frequently if conditions warrant or the family requests a review.
  - If a review is conducted before 6 months, then the 6-month review timeline may be re-started at that point. For example, if the initial IFSP is developed on 6/30/09 and an IFSP review is conducted on 10/15/09 because the family requests consideration of a change in service frequency, then the next IFSP review must be conducted by 4/15/10. Local systems are not required to use a moving 6-month review date as illustrated in the example. It is acceptable to keep the 6-month review date fixed at 6 months from the date of the initial IFSP regardless of whether interim reviews are held.
  - The due date for the annual IFSP does not change regardless of when IFSP reviews are held. The annual IFSP must be held within 365 days of the date of the initial or previous annual IFSP.
- Ensure the family receives a copy and explanation of the *Parental Prior Notice* form (with a check mark by “A meeting to revise or review the IFSP is needed”), *Confirmation of the Individualized Family Service Plan (IFSP) Schedule* form, and *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System*. Review the purpose of the IFSP review, the family’s role in the review process, and the safeguards applicable to this step in the early intervention process.
- Assist the family in preparing for the IFSP review. Share any written information from providers about the child’s progress with the family prior to the IFSP review, if available. Encourage families to make notes of their input and questions prior to the IFSP review. The level of support that each family will want and need in preparing for the IFSP review will vary and should be individualized for each family.
- Assist the family in identifying IFSP review participants. The following participants are required:
  - The parent(s) of the child;
  - Other family members, as requested by the parent, if feasible;
  - An advocate or person outside the family if requested by the parent; and
  - The service coordinator who has been working with the family;
  - People involved in ongoing or new assessments and individuals who are providing supports and services to the child and family participate as needed.
- Work with the family and other participants to determine a process for reviewing and revising the IFSP that is acceptable to all parties and allows for all participants to provide input. A face-to-face meeting is not required for an IFSP review. The method used to conduct the IFSP review should ensure the following:
  - The family has the information and support they need to make informed decisions for their child and family;
  - The family’s current priorities and concerns are reviewed; and
  - All participants have a current and complete picture of the degree to which progress toward meeting the outcomes is being made.
- Ensure that the meeting is conducted in the family’s native language or other mode of communication unless clearly not feasible to do so.
- Complete the appropriate sections of the statewide IFSP form (see IFSP instructions at the end of Chapter 7).
- Ensure the family’s signature is obtained on the IFSP review page to document their consent for the changes, if any. Even if there are no changes, the family still signs the IFSP review page.
- Retain a signed copy of the IFSP with the review page and provide a copy to the family and to all service providers who participated in assessment or the IFSP review or will be

- Obtain physician signature on the IFSP (or on a separate letter referencing the IFSP) to document medical necessity for services if the child will receive services that can be reimbursed under public (e.g., Medicaid, Tricare) or private insurance. This documentation also serves as the physician order for the medically necessary services listed on the IFSP.
- Ensure that if the family declines one or more early intervention services listed on the IFSP (but not all services listed on the IFSP), then the following steps occur:
  - Obtain the family's signature on the *Declining Early Intervention Services* form and provide a copy and explanation of the *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System*. Using the top half of the *Declining Early Intervention Services* form, fill in the date of the IFSP and the service(s) the family is declining. Both the service coordinator and family must sign and date the form.
  - Explain that the services that are not declined will be provided at the frequency, intensity and duration listed on the IFSP.
  - In explaining the Notice of Child and Family Safeguards, review and explain the complaint procedures.
  - Explain how the family may, at a later date, through the IFSP review process, accept a service previously declined.
- Ensure that if the family declines all services listed on the IFSP, then the following steps occur:
  - Obtain the family's signature on the *Declining Early Intervention Services* form and provide a copy and explanation of the *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System*.
    - a. Using the bottom half of the *Declining Early Intervention Services* form, the family is asked to mark the third line (that their child is eligible and has the right to receive the services listed on the IFSP) and then to read and mark the last line indicating that they do not choose to have their child receive services through the Infant & Toddler Connection system.
    - b. Explain to the family how they can contact the local Infant & Toddler Connection system in the future using the phone number provided at the bottom of the form if they have concerns about their child's development.
    - c. In explaining the Notice of Child and Family Safeguards, the service coordinator reviews and explains the complaint procedures.
  - If the child is close to being age eligible for early childhood special education services through the local school division (under Part B), explain how to access Part B services through the local school division.
  - Obtain parent consent to make referrals to other appropriate resources/services based on child and family needs and preferences.
  - Communicate the child's exit from Part C services to the primary care physician and primary referral source (if appropriate), with parent consent.
- Ensure that if the family is requesting a specific early intervention service, or a specific frequency, intensity, location or method of delivering services that the rest of the team does not agree is appropriate to meet the needs of the child or family, then the following steps occur:
  - Provide a copy and explanation of the *Parental Prior Notice* form is provided to the family. The "Other" line is checked and refusal to initiate the specific service is written in as the description. The reason why the Infant & Toddler Connection system is refusing to initiate the service is specified (e.g., progress made, other

supports and services in place, evidence-based practice, etc.). Parent signature is obtained to acknowledge receipt of the form.

- Provide a copy and explanation of the *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System* to the family. In explaining the Notice of Child and Family Safeguards, review and explain the complaint procedures.

Completion of these steps protects both the family and the local system, ensuring that the family understands their rights, safeguards and opportunities for addressing the disagreement if they so choose and that local systems have clear documentation of the service requested and reasons for refusing to initiate that service.

- Ensure that copies and explanations of procedural safeguard forms are provided in the family's native language or other mode of communication unless clearly not feasible to do so.

#### Responsibilities of Other Service Providers:

- Provide information to the family and other team members on the child's progress based on ongoing assessment.
- Participate in the IFSP review through the methods determined by the team, which may include a face-to-face meeting or sharing information by phone or in writing.
- Consider the family's current priorities and concerns when making recommendations or participating in team decisions about changes to outcomes and/or supports and services.
- Limit the use of jargon and acronyms and explain words or concepts that may be unfamiliar to the family.

#### Annual IFSP

##### Service Coordinator Responsibilities:

- Conduct, in person, an annual IFSP meeting within 365 days of the date of the initial or previous annual IFSP meeting to review the child's progress and to write a new IFSP if the child continues to be eligible. If a child moves from one local early intervention system within Virginia to another, the child's annual IFSP date is based on the child's initial IFSP date (or previous annual IFSP date) regardless of the child's location for the previous IFSP (e.g., if child had an initial IFSP developed on 10/12/08 in one local system, then moved to a new local system on 4/1/09, then the annual IFSP still must be developed by 10/12/09).
- Explain that the annual IFSP meeting will include a confirmation of ongoing eligibility and that if the child no longer meets the Infant & Toddler Connection of Virginia eligibility criteria then he/she will be discharged. The annual confirmation of ongoing eligibility is based on progress reports (written or verbal, based on contact notes) of team members and is documented on the *Eligibility Determination* form. The confirmation of ongoing eligibility may occur prior to or during the annual IFSP meeting. A multidisciplinary team is required for determination of ongoing eligibility. Therefore, if, for example, the child is receiving only service coordination and occupational therapy or the child is only receiving service coordination, then it will be necessary to pull in a second discipline to participate with the occupational therapist and the service coordinator or to pull in 2 disciplines to participate with the service coordinator in the determination of ongoing eligibility. If the child is ineligible:
  - Provide the parents with a copy and explanation of the *Parental Prior Notice* form (indicating "Your child is not eligible for Infant & Toddler Connection of Virginia") and the *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System*. On the *Parental Prior*

*Notice* form, identify the information used to make the determination that the child is not eligible. In explaining the Notice of Child and Family Safeguards, review and explain the complaint procedures.

- Facilitate an opportunity for the family to talk with the eligibility determination team if the family has questions or disagrees with the eligibility finding and if desired by the family.
- Obtain parent consent to make referrals to other appropriate resources/services based on child and family needs and preferences.

If the child continues to be eligible, proceed with the steps below.

- Ensure the family receives a copy and explanation of the *Parental Prior Notice* form (with a check mark by “A meeting to develop the annual IFSP and confirm eligibility is needed”), *Confirmation of the Individualized Family Service Plan (IFSP) Schedule* form, and *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System*.
- Assist the family in planning and preparing for the annual IFSP meeting. Encourage families to make notes of their input and questions in each section of the blank IFSP form and to bring that to the IFSP meeting as a reminder for the family during the meeting. The level of support that each family will want and need in preparing for the annual IFSP meeting will vary and should be individualized for each family
- Assist the family in identifying participants for the annual IFSP meeting. The following participants are required:
  - The parent(s) of the child;
  - Other family members, as requested by the parent, if feasible;
  - An advocate or person outside the family if requested by the parent;
  - The service coordinator who has been working with the family;
  - People involved in ongoing or new assessments; and
  - As appropriate, individuals who are providing supports and services to the child and family.
- Arrange IFSP meetings in the setting and language that facilitate a family's ability to participate.
- Notify all participants in writing of the date, time and location for the IFSP meeting using the *Confirmation of Individualized Family Service Plan (IFSP) Schedule* form.
- Ensure that IFSP team members who are not able to meet at times convenient for the family are given other options for IFSP participation, such as telephone consultations or providing written information.
- Provide the family with a copy and explanation of *Facts About Family Cost Share* and obtain their signature on a new Family Cost Share Agreement form.
- Facilitate determination of interim assessments/ratings of child progress using the procedures described in the discharge section of Chapter 8 for the exit rating, if the local Infant & Toddler Connection system chooses to do interim ratings.
- Ensure a new IFSP is developed using the statewide IFSP form and the IFSP Instructions that are found at the end of Chapter 7.
- Ensure the family's signature is obtained on the IFSP to document their consent for the services.
- Retain a signed copy of the IFSP and a copy of the *Eligibility Determination* form and provide copies to the family and to all service providers who participated in assessment or development of the IFSP or will be implementing the IFSP. The parental consent statement that the family signs on the IFSP gives consent for the IFSP to be shared with these providers.

- Send a copy of the IFSP to the child's primary care physician, with parent consent. Consent to send a copy of the IFSP to the physician is not covered by the consent statement on the IFSP and requires a separate release of information form.
- Obtain physician signature on the IFSP (or on a separate letter referencing the IFSP) to document medical necessity for services if the child will receive services that can be reimbursed under public (e.g., Medicaid or Tricare) or private insurance. This documentation also serves as the physician order for the medically necessary services listed on the IFSP.
- Ensure that if the family declines one or more early intervention services listed on the IFSP (but not all services listed on the IFSP), then the following steps occur:
  - Obtain the family's signature on the *Declining Early Intervention Services* form and provide a copy and explanation of the *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System*. Using the top half of the *Declining Early Intervention Services* form, fill in the date of the IFSP and the service(s) the family is declining. Both the service coordinator and family must sign and date the form.
  - In explaining the Notice of Child and Family Safeguards, review and explain the complaint procedures.
  - Explain how the family may, at a later date, through the IFSP review process, accept a service previously declined.
- Ensure that if the family declines all services listed on the IFSP, then the following steps occur:
  - Obtain the family's signature on the *Declining Early Intervention Services* form and provide a copy and explanation of the *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System*.
    - a. Using the bottom half of the *Declining Early Intervention Services* form, the family is asked to mark the third line (that their child is eligible and has the right to receive the services listed on the IFSP) and then to read and mark the last line indicating that they do not choose to have their child receive services through the Infant & Toddler Connection system.
    - b. Explain to the family how they can contact the local Infant & Toddler Connection system in the future using the phone number provided at the bottom of the form if they have concerns about their child's development.
    - c. In explaining the Notice of Child and Family Safeguards, review and explain the complaint procedures.
  - If the child is close to being age eligible for early childhood special education services through the local school division (under Part B), explain how to access Part B services through the local school system.
  - Obtain parent consent to make referrals to other appropriate resources/services based on child and family needs and preferences.
  - Communicate the child's exit from Part C services to the primary care physician and primary referral source (if appropriate), with parent consent.
- Ensure that if the family is requesting a specific early intervention service, or a specific frequency, intensity, location or method of delivering services that the rest of the team does not agree is appropriate to meet the needs of the child or family, then the following steps occur:
  - Provide a copy and explanation of the *Parental Prior Notice* form is provided to the family. The "Other" line is checked and refusal to initiate the specific service is written in as the description. The reason why the Infant & Toddler Connection system is refusing to initiate the service is specified (e.g., progress made, other

supports and services in place, evidence-based practice, etc.). Parent signature is obtained to acknowledge receipt of the form.

- Provide a copy and explanation of the *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System* to the family. In explaining the Notice of Child and Family Safeguards, review and explain the complaint procedures.

Completion of these steps protects both the family and the local system, ensuring that the family understands their rights, safeguards and opportunities for addressing the disagreement if they so choose and that local systems have clear documentation of the service requested and reasons for refusing to initiate that service

- Ensure that copies and explanations of procedural safeguard forms are provided in the family's native language or other mode of communication unless clearly not feasible to do so.

#### Responsibilities of Other Service Providers:

- Provide information to the family and other team members on the child's progress based on ongoing assessment for use in determining the child's ongoing eligibility and, if the child remains eligible, for use in developing the annual IFSP.
- Participate in the annual IFSP meeting. This applies to service providers who were part of new or ongoing assessment and, as appropriate, providers who are providing supports and services to the child and family. Service providers who are not able to participate in the meeting in person may participate through other options, such as telephone consultations or providing written information
- Consider the family's current priorities and concerns when making recommendations or participating in team decisions about outcomes and/or supports and services. Additional considerations are detailed in Chapter 7 (IFSP Development) under "Responsibilities of Other Service Providers."
- Limit the use of jargon and acronyms and explain words or concepts that may be unfamiliar to the family

#### Transition

##### Service Coordinator Responsibilities:

- General Transition Steps and Services
  - Ensure that each child and family is offered individualized transition supports and services.
  - Ensure that individualized transition planning activities are documented on the child's IFSP.
  - Ensure the referral and timely transfer and exchange of records and other information for families who:
    - a. Enter into the early intervention system from hospitals, providers, local early intervention systems and/or out-of-state; or
    - b. Exit the early intervention system to another early intervention system within Virginia, early childhood special education services through the local school division, an early intervention system out-of-state and/or other community programs.
  - Provide identifying information and a request for evaluation to the special education director or designee of the local school system in order to make a referral for early childhood special education services under Part B. It is important to be clear that this is a referral for evaluation, since a referral for screening does not begin the timeline for eligibility determination under Part B.

The referral information may be provided by phone, fax, secure email or mail. The point at which the special education director (or designee) receives this information is considered the date of referral. Referrals should be made no later than April 1 in a given year or at least 6 months prior to the child's third birthday, with parent consent.

- Transmit, with parental permission, child-specific information (e.g. current IFSP, recent assessment findings, and other pertinent records) to the appropriate school division in which the child resides as soon as possible after referral.
- Ensure that families whose children are referred to the local Infant & Toddler Connection system close to the child's third birthday or after April 1 when the child will reach the age of eligibility for special education at the beginning of the upcoming school year are informed of services available through the public schools and that, with parental permission, child-specific information is shared with the local school division as soon as possible following referral to the local Infant & Toddler Connection system.
  - a. When the child's age at referral to the Infant & Toddler Connection of Virginia means the child will no longer be age eligible for Part C services by the time the Part C process can be completed (e.g., eligibility determination, assessment for service planning, IFSP development and beginning services), then the child may be referred directly to the local school division for early childhood special education services under Part B.
  - b. For children who are close to the age where they will transition, but for whom the Part C process can be completed, the single point of entry must inform parents of their options for services through the local division under Part B) and/or the local Infant & Toddler Connection system (under Part C). If a family chooses to start with the Infant & Toddler Connection system and is found eligible, the individual child transition requirements must be followed including scheduling a transition conference, and making the referral to the local school division for early childhood special education services under Part B within the required timelines unless the referral is too close to the child's third birthday to meet the time requirements. Even if the timelines cannot be met, the transition planning conference should still be held when possible. The family can choose to refer themselves to the local school division for early childhood special education services under Part B at the same time they make the referral to the Infant & Toddler Connection system. They should make both systems aware of the dual referral. If the family has not already referred themselves to the local school division, the service coordinator can assist the family by making this referral, with parent consent. The local Infant & Toddler Connection system and the local school division should work together during the eligibility determination process and assessment for service planning to avoid duplication of assessments.
- Assist the family in exploring alternative settings, if desired by the family, for:
  - a. The child who is not eligible for early childhood special education services under Part B through the local school division and who continues with Part C supports and services until the third birthday;
  - b. The child whose family chooses not to receive early childhood special education services under Part B through the local school division and who continues with Part C supports and services until the third birthday; or

- c. The child who is no longer eligible for Part C supports and services prior to the third birthday.
- Notification to the LEA (Local Educational Agency, which is the local school division)
  - Notify parents of all children who may be eligible for early childhood special education services under Part B through the local school division of the local Infant & Toddler Connection system's intent to share the child's name, address, telephone number, and birth date with the appropriate local school division as the child reaches the age of eligibility for special education unless the parent disagrees. Since notification to the local educational agency is a child find activity, it includes all children except (1) those who have exited or will exit the Infant & Toddler Connection system because they no longer meet Part C eligibility criteria, and (2) those whose parent(s) indicate in writing on the IFSP that they do not want the information transmitted.
  - Document this notification on the IFSP transition page and specify the date on which the locality intends to send the information to the school division.
  - Transmit the information to the local school division unless the parent indicates in writing on the IFSP transition page that he/she does not want the information transmitted. For local agencies that require written consent beyond the federal requirement of providing notice (via page 7 of the IFSP in Virginia), local systems can follow their agency requirements to obtain consent at the time of the initial IFSP for release of the child's name, address, phone number and date of birth. Notification to the LEA may be sent using the *Notification to LEA* report from ITOTS, which lists the names and directory information of all children approaching age eligibility for early childhood special education services under Part B whose parents have allowed transmission of this information.
- Transition Planning Conference
  - Provide prior notice and obtain parent approval to convene the required conference between the sending Infant & Toddler Connection system providers, the family, and the local school division that occurs at least 90 days, or up to 9 months, prior to the child's eligibility for early childhood special education services under Part B or the date on which the child is eligible for early childhood special education services under Part B of IDEA. By Virginia regulation, children are eligible for early childhood special education services at the start of the school year in which the child turns 2 by September 30th. If the family would like the child to transition to early childhood special education services under Part B at the start of the school year in which the child turns 2, then the transition planning conference must be held at least 90 days before the start of the school year. Some local school divisions allow eligible children to begin early childhood special education services throughout the year, as they turn 2. In this case, the transition planning conference must be held at least 90 days before the child turns 2. If the family chooses to delay transition to early childhood special education services under Part B until the child's third birthday (or to delay transition until some point before the child's third birthday), then the transition planning conference must be held at least 90 days before the child's third birthday.
    - a. Provide a copy and explanation of the *Parental Prior Notice* form (with a check mark by "The required transition planning conference is necessary.") and the *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System* to the family.

- b. Explain the purpose of the transition planning conference: To discuss potential options for supports and services through the school system or other community program and establish a plan for a smooth transition from early intervention services to early childhood special education or other community services.
  - c. Document parent approval for the transition planning conference either on page 7 of the IFSP form (see IFSP Instructions at the end of Chapter 7) or use the *Parent Approval for Transition Planning Conference* form. If the parent declines the conference, that decision also is documented on page 7 of the IFSP form or by using the *Parent Approval for Transition Planning Conference* form.
- o Ensure scheduling of the transition conference within the required timelines and participation by required parties, including local school division personnel.
  - a. Since the transition planning conference is intended to provide the family with information about their options for services after leaving the Infant & Toddler Connection of Virginia system, service coordinators are encouraged to offer this conference to families well in advance of transition, closer to the 9 months than the 90 days. This allows the family time to consider their options and plan ahead for any necessary referrals or other steps necessary to ensure services are in place for a smooth transition at age 2 or age 3.
  - b. The local school division representative must be an individual who is knowledgeable about the services available in the local school system. The local school division representative does not need to be the special education director or any other specific position. The key is that the local school division representative is able to provide information and answer questions regarding the continuum of supports and services available through the school system, as well as participate in developing the transition plan with the family. This may be the ECSE (early childhood special education) teacher, a speech therapist or other related service provider who sees children in the early childhood special education program, or child find person for the school division.
  - c. While a face-to-face meeting among all participants is preferable, participation by teleconference and/or videoconferencing are acceptable methods as well. In that rare instance when the local school division representative cannot participate in any of these ways, then the local school division must provide written information about early childhood special education services to the family and a contact name and phone number where the family can call with questions about school services.
  - d. The transition planning conference must be an individual conference for each family and cannot be a group meeting involving several families or a community event with representatives of multiple transition destinations available to meet with all families.
- o Ensure that the family is included in any transition planning conference, that the family understands the purpose of the meeting, and that the family is supported in identifying the steps to be taken to support the transition process. Provide the family with the name and contact information for an individual from the local school division that they can contact with any questions following the transition planning conference.

- Provide the family with a contact person at the school division to answer any questions they have about school services, if the family declines to participate in a transition planning conference.
- Document the transition plan developed during the transition planning conference. The transition plan is an outline of the steps that will be taken in the process of helping the child and family move from the Infant & Toddler Connection system to early childhood special education services through the local school division or to other community services, as appropriate, for children who are not going to the local school division. The “plan” can be documented in contact notes and/or on page 7 of the IFSP. If it is documented in a contact note, then a notation must be made on page 7 of the IFSP referring to the contact note by date. If the family requests more time to think about the transition plan, then the plan developed during the transition conference would list transition steps that were identified during the meeting and/or note that the family requested time to think about the information discussed and that follow-up will occur at a given time to determine with the family how they would like to proceed with transition planning. As discussions continue, the service coordinator must document the additions and/or changes to the transition plan that was started in the transition planning meeting.

#### Discharge and Determination of Child Progress at Exit

Children and their families exit the local Infant & Toddler Connection system for a variety of reasons, which include but are not limited to the following: they move out of the area served by the local Infant & Toddler Connection system, either to another state or to another local Infant & Toddler Connection system within Virginia; the family decides to withdraw from the system; the child and family are lost to contact; the child no longer has a developmental delay, atypical development or a diagnosed condition; the child transitions to early childhood special education services through the local school division or to other community services; or the child reaches his/her third birthday.

#### Service Coordinator Responsibilities:

- Ensure exit ratings on all three child indicators (positive social relationships, acquiring and using knowledge and skills, and taking appropriate action to meet needs) are done prior to exit for all children who had an entry rating **AND** who have been in the system for 6 months or longer since their initial IFSP. The rating must be done no more than 6 months prior to exit from Part C. Since the ratings reflect the child’s status at the time of the assessment, it is beneficial to time the exit assessment/rating as close to exit as possible in order to capture results for the full time the child was receiving early intervention services. Since the intent of Virginia’s System for Determination of Child Progress is to measure children’s progress in Virginia’s early intervention system, the exit ratings are done only at the time the child leaves Virginia’s early intervention system, not when the child leaves one local system to enter a different local system.
  - To complete the exit ratings:
    - a. Using information from parent report, an assessment instrument, observation and other sources, determine the child’s status (rating) for each of the indicators. NOTE: A formal assessment is not required, though documentation of the child’s abilities using an instrument (such as the HELP, ELAP, etc.) is required. It is not necessary to use the same instrument that was used for the entry assessment. The provider(s) determines the child’s developmental levels in all areas through ongoing

assessment (which can occur over multiple sessions). The instrument must be completed.

-OR-

Obtain entry ratings from the local school division to use as the exit ratings for the Infant & Toddler Connection system.

- b. The IFSP team considers information from the sources listed above to determine the child's status in relation to same-age peers for all three indicators. Document the child's functional status in the child's early intervention record. This can be done in a contact note. Also document the sources of information used in the assessment process.
- c. The front page of the Child Indicator Summary Form (CISF) is completed, including questions 1b, 2b and 3b. Complete the back page if documentation in the child's record isn't sufficient to support the rating decisions and/or if the source of the information used to make the determination is not documented in the child's record. The yes/no response to the b questions (Has the child made progress?) must always be based on the child's progress since the initial assessment, even if there has been one or more interim assessments.
  - o There will be situations where it is not possible to complete the ratings because the children/families leave the system without notice. This must be documented in a contact note.
  - o The local Infant & Toddler Connection system's exit ratings may serve as the local school division's entry ratings under Part B and the local school division's entry ratings may be used for the local Infant & Toddler Connection system's exit ratings und Part C. Local systems are strongly encouraged to collaborate with their local school division representatives to establish mechanisms to accomplish this sharing of data and non-duplication of assessment.

[Link to VSDCP Frequently Asked Questions document]

- Provide a copy and explanation of the *Parental Prior Notice* form (with "Your child is not eligible for Infant & Toddler Connection of Virginia" marked) and the *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System* to the family. Parental prior notice must be provided to the family at least 5 days before early intervention services will be terminated. It is not necessary to provide parental prior notice if the family is moving out of the area served by the local Infant & Toddler Connection system or if the family has stated that they wish to withdraw from services (since, in this situation, the system is not proposing to end services).
  - o If the child is no longer eligible (but is within the age range for Part C services), the reason listed on the *Parental Prior Notice* form will explain that ongoing assessment results indicate that the child no longer meets the eligibility criteria for Part C. In explaining the *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System*, review and explain the complaint procedures
  - o If the child is "aging out" of Part C, the reason listed on the *Parental Prior Notice* form will be that the child is no longer age eligible for Part C.
  - o If the child is transitioning to early childhood special education services under Part B, the reason listed on the *Parental Prior Notice* form will be transition to early childhood special education services through the local school division.
  - o If the child is moving out of the area served by the local Infant & Toddler Connection system, then any referrals made must be documented in the service coordinator's contact notes.

- If the parent decides to withdraw from services, then the service coordinator documents the parent's decision in a contact note.
- Ensure that copies and explanations of procedural safeguard forms are provided in the family's native language or other mode of communication unless clearly not feasible to do so.
- Ensure that no IFSP services are delivered on or after the child's third birthday.
- Enter discharge information into ITOTS as children exit the local Infant & Toddler Connection system, by the last day of the month in which the child was discharged or within 10 calendar days of discharge whichever is longer.

#### ITOTS Data Entry – IFSP Implementation and Review [Link to ITOTS Manual]

The local system manager ensures the following information is entered into ITOTS:

- Discharge Date
- Status/Transition Destination
- Exit assessment and child progress data

#### Local Monitoring and Supervision Associated with IFSP Implementation and Review

The local system manager provides the supervision and monitoring necessary to ensure the following:

- Appropriate use and explanation of procedural safeguards forms
- Timely start of services
- Documentation of mitigating circumstances when services begin more than 30 days after the family signs the IFSP
- IFSP reviews and annual IFSP meetings are held in accordance with required time frames
- All IFSPs include transition planning
- Notification to the LEA occurs for all potentially eligible children (as long as the family does not disagree) and is documented
- The transition planning conference occurs within required time frames and with required participants.
- Documentation of mitigating circumstances when the transition conference does not occur within required time lines.
- Timely and accurate ITOTS data entry.

## Chapter 9: The Early Intervention Record

### The Early Intervention Record

#### Local Lead Agency Responsibilities:

- Maintain each child's early intervention record at the local lead agency or the local agency that houses the system's service coordinators. It is acceptable to have early intervention records located at satellite offices of the local lead agency or service coordinators' agency (e.g., if the local lead agency is the CSB and the CSB has offices in multiple cities or counties in the catchment area, then records may be kept at any of those CSB offices) as long as there is easy access to the records by local lead agency administrators for billing and supervision purposes.
- Make children's early intervention records available to the State Lead Agency upon request at the location designated by the State Lead Agency.
- Ensure that each child's one early intervention record includes the following:
  - Accurate demographic and referral information
  - Signed releases and consents
  - Other completed procedural safeguards forms
  - Completed Intake form
  - Screening and assessment reports
  - Medical reports
  - All other documentation collected during eligibility determination and IFSP development including reports from previous outside screenings, assessments, etc.
  - Completed Eligibility Determination form
  - All IFSPs developed – current and past, including documentation of periodic reviews
  - Child Indicator Summary Form
  - Service coordinator contact notes
  - Contact logs submitted by providers, including service coordinators
  - Copies of all correspondence (except that related to third party billing or family financial information) to and from the local Infant & Toddler Connection system or its providers with or on behalf of the family
  - Court orders related to service provision, custody issues, and/or parental rights
  - Record Access log
- Maintain a Financial file separate from the Early Intervention Record. All documentation related to family cost share and billing including, but not limited to, the following must be maintained in the Financial Record:
  - Family Cost Share Agreement form
  - Billing documentation for Medicaid and private insurance
  - All communication related to determination of family cost share or other financial matters

#### Provider (Including Service Coordinator) Responsibilities:

- Unless working in the agency where the early intervention record is housed, maintain a clinical/working file that must include, at a minimum, a copy of the IFSP, the individual provider clinical treatment plan if any, contact notes (except for service coordinators, whose notes must be maintained in the early intervention record), and any completed screening and/or assessment protocols if not housed in the early intervention record. Providers working in the agency where the early intervention record is housed maintain the items listed above in the early intervention record instead of in a separate clinical/working file.

- Make contact notes available to the State Lead Agency or local lead agency upon request.

### Contact Notes

The term “contact note” will be used in discussing below how Part C service provision, including service coordination, is to be documented. The term “contact note” is intended to be interchangeable with other commonly used terms such as “progress note,” “case note,” or “service coordination note.” Local Infant & Toddler Connection systems and Part C providers are not required to call their documentation contact notes.

Effective and complete contact notes are critical in order to address the following purposes of such documentation. Part C contact notes are:

- A chronological record of the child’s and family’s participation in the Part C system (including the supports and services provided to the child and family), the course of intervention, and the child’s developmental progress. Therefore, thorough contact notes:
  - Provide an objective basis to determine the appropriateness, effectiveness and necessity of intervention, and
  - Assist the IFSP team in assessment and service planning at IFSP reviews and annual IFSPs.
- A means for communication among service providers and with the family.
  - Not only do thorough contact notes facilitate communication among current service providers, but they also provide critical information to substitute providers who fill in when the usual provider is ill or on vacation and to new providers who begin services after an IFSP review or annual IFSP or when the former provider is no longer providing services to that child and family.
  - Under Part C parents have the right to review their child’s record.
- Billing documents.
  - Contact notes are used for billing purposes and must provide the information required by Medicaid and other third-party payors.
- Monitoring documents.
  - Contact notes are reviewed by local system managers, program managers, State Part C personnel, and Medicaid personnel to monitor compliance with federal and State requirements and to facilitate quality assurance and improvement. Contact notes that are complete and accurate will assist local systems in documenting compliance and improvements.
- Legal documents.
  - Contact notes are legal documents and may be used in the investigation of an administrative complaint or in a due process hearing under Part C, or in a court case such as a custody dispute. Thorough contact notes are essential in documenting compliance with Part C requirements, provision of supports and services in accordance with the IFSP, reasons for missed appointments, and other contacts and activities completed on behalf of the family.

General Rules for Contact Notes:

- Document all contacts made and all activities completed with or on behalf of the child and family. This includes, but is not limited to, phone calls (including “no answer” or a “voice message left”), face – to – face contacts, consultations between providers related to the child and family but not with the child and family, and written correspondence. If someone is looking at a child’s record and a contact or activity is

not written down, then the reviewer must assume that the contact or activity did not occur.

- If two or more distinct services were provided by two or more people at a single visit, then each provider completes a separate contact note documenting the service he/she provided (e.g., If the service coordinator and the occupational therapist make a joint visit to the family, then each provider must complete a contact note documenting the service that she provided during the visit).
- If there is communication related to a child who has been discharged from the local system, then such communication would require a contact note, which must be filed in the child's early intervention record.
- If someone other than the service coordinator or other service provider (e.g., a program supervisor or the central point of entry) gets a call from the family, then that contact must be documented in a contact note, which is then filed in the child's early intervention record.
- Use contact notes to provide essential information that is not contained in meeting record forms such as the IFSP.
  - The service coordinator must complete a contact note following the IFSP meeting to document any supports and services recommended by the team but not accepted by the family; instances where the family opted for a frequency, intensity, or method of service that was different than what was proposed by other team members; any other areas of disagreement among team members, including the resolution reached or, if the issue was not resolved, the plan for addressing the area of disagreement; and the rationale for planning a later start date for services, when applicable.
- Document the reasons for cancellation (whether cancelled by the provider or the family) any time a contact was scheduled and did not occur. The more specificity provided, the more helpful the contact note is for individuals monitoring and/or using contact notes for billing.
- Document that native language requirements have been met if the native language is other than English.
- Write legibly.
- Use the provider agency's rules regarding ink color for contact notes. Black ink is preferred since it works best for faxing and copying.
- Provide complete and accurate information about the contact or activity, ensuring that a third party could read the contact note and understand what occurred.
- Record events and observations in a factual, non-judgmental way and avoid subjective comments.
- Use positive statements.
- Use language understood by all team members, including the family. Avoid jargon and abbreviations or explain them in the note.
- Complete contact notes in a timely manner. Part C providers are required to comply with their own agency's rules regarding timelines for completion of contact notes. If their agency has no such rules, then the contact note must be completed no more than 3 working days from the time of the contact. The 3-working-day timeline applies only to having the note written and does not require that the contact note be placed into the child's early intervention record within that same period of time. Ideally, the contact note should be done immediately following the contact to ensure optimal recall of what occurred and so that the note is available for other team members who may need the information for their service provision to the family.

- Correct errors on handwritten contact notes by drawing a single line through the incorrect information, providing the date of the correction and the initials of the reviser, then adding the correct information. Correct errors in electronic documentation by following agency requirements or using strike-through and providing the date and initials of the reviser. White-out, or any other means of correction other than that described here, may never be used to change the contact note.

Specific Content Requirements for Contact Notes:

**For all contact notes -**

- Child's first and last names – If there is more than one contact note on a page, it is acceptable to have the child's first and last name on each page of contact notes rather than on each note itself (the name must appear on both sides of the paper if both sides are used for contact notes).
- Type of service provided (physical therapy, developmental services, service coordination, etc.)
- Type of contact (phone, face-to-face, e-mail, etc.)
- Date of the note and date of service or contact, if the note is not written on the same date. If the contact described in the note occurred prior to the date of the note, then the date of the contact should be contained in the body of the note (e.g., "4/5/06 – On 4/4/06 service coordinator participated in Joe's IFSP meeting.").
- Provider signature (with at least first initial and last name), discipline and credentials of provider. The signature of the provider must be handwritten or electronic; no stamps allowed.

**For contact notes documenting a service session with the child and family, also include the following:**

- To whom the service was delivered
- Who was present
- Length of session (in minutes)
- Location/setting (e.g., home, day care, etc.) in which the service was provided
- Information from the family/caregiver about what has happened since the last visit. [The contact note should make clear that the information is from the family by using phrases like "as reported by (family member)," or "(Caregiver) reports...."]
- Specific interventions (treatment modalities) and methods used during the session, referencing all outcomes that were the focus of the intervention
- How the child, caregiver and others who were present participated in the session
- Progress made as related to IFSP outcomes
- Suggestions for follow-up during daily routines, including the following:
  - Support and instruction provided for the family, and
  - Any adjustments that are needed to intervention strategies and activities.

[[Link to Contact Note Checklist](#)]

Access to Records

The local lead agency may assume that the parent has the authority to inspect and review records relating to his or her child unless the agency has been advised that the parent does not have the authority under applicable Virginia law governing such matters as guardianship, separation, and divorce.

Local Lead Agency/Provider Responsibilities:

- Identify one individual to assume responsibility for ensuring the confidentiality of any personally identifiable information;
- Provide training or information on Part C confidentiality requirements (in accordance with FERPA) to all individuals collecting or using personally identifiable information;
- Provide parents, upon request, a list of the types and locations of records collected, maintained, or used for Part C by the local lead agency/provider.
- Establish a procedure for parents or a representative of the parent to inspect and review the child's record(s) collected, maintained or used for Part C;
- Keep a record using the *Access to Record* form of person(s), except parents and authorized employees, obtaining access to records collected, maintained or used by the local lead agency/provider, including the name of the person(s), date of access and purpose of access;
- Respond to a parent request to amend information considered to be inaccurate or misleading or which violates the privacy or other rights of the child or family by:
  - Amending the information in accordance with the request within a reasonable period of time of receipt of the request; or
  - Informing the parent of the local lead agency's refusal to make the requested amendments and advising the parent of the right to a hearing in accordance with Virginia Part C regulations [Link to regs].
- Not charge a fee for copies of records if the fee would effectively prevent the parents from exercising their right to inspect and review those records.
- Inform parents when personally identifiable information collected, maintained, or used is no longer needed to provide supports and services to the child and destroy the information at the request of the parents. Permanent records of the child's name, address, phone number, and time period in which they received supports and services may be maintained.

Service Coordinator Responsibilities:

- Explain during the intake visit the policies and procedures related to storage, disclosure to third parties, retention, and destruction of personally identifiable information, pointing out where this information is included in the *Notice of Child and Family Safeguards in the Infant and Toddler Connection of Virginia Part C Early Intervention System*. Remind parents of this information when reviewing the Notice of Child and Family Safeguards at other required points in the early intervention process.
- Discuss during the intake visit the family's rights and safeguards associated with inspecting and reviewing records and correcting information in the record that the family believes to be inaccurate, misleading or in violation of privacy or other rights. Remind parents of this information when reviewing the Notice of Child and Family Safeguards at other required points in the early intervention process.

## Chapter 10: Dispute Resolution

Every effort should be made to resolve family-provider disagreements using informal decision making. If informal decision making is unsuccessful, parents may choose, by filing a written request to the State Lead Agency, one of the following options:

- Administrative complaint;
- Mediation alone;
- Mediation and a due process hearing simultaneously; or
- A due process hearing alone.

### Service Coordinator Responsibilities:

- Ensure that when disagreement occurs on matters relating to identification, eligibility determination, or placement of the child or the provision of appropriate early intervention supports and services under Part C for the child and family, the parent of the child is informed, in writing and verbally, of the options for resolution. The *Notice of Child and Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System* and *Strengthening Partnerships: A Guide to Family Safeguards in the Infant & Toddler Connection of Virginia Part C Early Intervention System* provide written information about the options for dispute resolution. The Strengthening Partnerships document [Link] is an especially helpful tool for service coordinators to use in reviewing this information with families.
- Provide the family with a contact at the State Lead Agency who can:
  - Offer them technical assistance in framing their complaint, including language interpreters as requested and/or reducing oral complaints to writing; and
  - Inform them of individuals and organizations who provide free or low cost legal or lay assistance to persons who wish to lodge a complaint (such as parent training and information centers, protection and advocacy programs, and legal aid organizations).
- Ensure that during dispute resolution, unless the family and local lead agency agree otherwise, the child and family continue to receive the supports and services currently being provided.
- Ensure that if the family-provider disagreement involves initial eligibility to receive supports and services under Part C, the child and family will not receive supports and services under Part C until the eligibility question is resolved.
- Ensure that families understand their right to bring a civil action in Federal or State court if they are not satisfied by the hearing officer's decision in a due process hearing.

### Procedures for Mediation:

- Either party (the family or local lead agency) may request or decline the mediation conference. If the local lead agency declines the mediation, the parents shall be informed as soon as possible (within four days) of this decision and the right to pursue a hearing.
- The State Lead Agency appoints a trained mediator within five (5) days of receiving the request for mediation.
- The local lead agency appoints a representative to serve on their behalf during mediation.
- The mediation, including a written mediation agreement reflecting agreements reached by the parties to the dispute, is completed within 15 calendar days of the receipt by the State Lead Agency of notice that both parties have agreed to mediation. If resolution is not reached within 15 days, the State Lead Agency informs the parents in writing that they may request a due process hearing. Extensions of the 15-day timeline may be

granted for good cause. Examples of good cause include injury, illness, or natural disaster. If there is a simultaneous request for mediation and a due process hearing, the extension shall not result in a violation of the 30-day timeline for completion of the due process hearing.

- At any time during the mediation process, a request for a due process hearing may be initiated.
- The State Lead Agency bears the full cost of the mediation process.

Procedures for a Due Process Hearing:

- The State Lead Agency arranges for the appointment of an impartial hearing officer within five days following receipt of the request for a hearing.
- The due process hearing is carried out at a time and place that is reasonably convenient for the parents.
- Any family involved in a due process hearing has the right to:
  - Be accompanied and advised by counsel and by individuals with special knowledge or training with respect to early intervention supports and services for children eligible under Part C;
  - Present evidence and confront, cross-examine and compel the attendance of witnesses;
  - Prohibit the introduction of any evidence at the proceeding that has not been disclosed to the parent at least five days before the proceeding;
  - Obtain a written or electronic verbatim transcription of the proceeding; and
  - Obtain written findings of fact and decisions.
- Costs for resolution of parent/provider disagreements by due process hearing are equally shared by the local lead agency and the State Lead Agency. The costs shared include expenses of the hearing officer (i.e., time, travel, secretarial, postal and telephone expenses), expenses incurred by order of the hearing officer (i.e., independent educational evaluations, deposition or transcript), and expenses for making a record of a hearing (i.e., hearing tapes). The State Lead Agency is not responsible for expenses incurred for witnesses (except where hearing officers subpoena witnesses on their own initiative) or for attorney's fees.
- The hearing officer issues a written decision to all parties within 30 days of receipt by the State Lead Agency of the request for a due process hearing.

Procedures for an Administrative Complaint\*:

The State Lead Agency will complete the following steps within 60 days of receiving a written complaint.

- Send notification in writing to each complainant and the local lead agency against which the violation has been alleged, acknowledging receipt of a complaint with copies to other appropriate personnel and the family. The notification sent by the State Lead Agency includes:
  - A copy of the complaint;
  - A summary of issues to be addressed in resolving the complaint;
  - An offer of technical assistance in resolving the complaint;
  - A request for written response to the complaint within ten days of the date of the letter of notification. When possible, resolution is reached at the local level during this time.

If a reply from the local lead agency is not filed with the State Lead Agency within ten days, the State Lead Agency sends a second notice to the local lead agency and telephones the local lead agency.

- Review the complaint and the reply filed by the local lead agency.

- If no further investigation or action is necessary, the State Lead Agency notifies both parties, in writing, stating the resolution.
- If the reply does not resolve the complaint, the State Lead Agency reviews all documentation presented and conducts an independent onsite investigation, if necessary.
- Resolve the complaint based upon the facts and applicable law and notify the parties, in writing, of the decision, including findings of fact and conclusions and the reasons for the State Lead Agency's final decision.
- Address, if it finds a failure to provide appropriate supports and services, the following:
  - How to remediate the denial of those supports and service, including, as appropriate, the awarding of monetary reimbursement or other corrective action appropriate to the needs of the child and the child's family;
  - Appropriate future provision of supports and services for all infants and toddlers with disabilities and their families.

An extension of the 60 calendar day time limit may occur if exceptional circumstances exist with respect to a particular complaint. Both parties to the complaint are notified in writing by the State Lead Agency whenever exceptional circumstances (e.g., illness, death) exist and the extended time limit is specified.

- If a written complaint is received that is also the subject of a due process hearing, or contains multiple issues, of which one or more are part of that hearing, the State Lead Agency must set aside any part of the complaint that is being addressed in the due process hearing until the conclusion of the hearing. However, any issue in the complaint that is not a part of the due process action will be resolved within the 60-calendar-day timeline using the complaint procedures described above. If an issue is raised in a complaint that has previously been decided in a due process hearing involving the same parties, the hearing decision is binding; and the State Lead Agency informs the complainant to that effect.

## GLOSSARY

Assessment - Reviewing available pertinent records that relate to the child's current health status and medical history and conducting personal observation and other procedures in order to identify the child's unique strengths and needs, including an identification of the child's level of functioning in each of the following developmental areas: cognitive development; physical development, including vision and hearing; communication development; social or emotional development; and adaptive development based on objective criteria, which must include informed clinical opinion

Assistive technology device - Any item, piece of equipment or product system, whether acquired commercially off the shelf, modified, or customized, that is used to increase, maintain, or improve functional capabilities of children with disabilities. The term does not include a medical device that is surgically implanted, including cochlear implants, or the optimization (e.g., mapping), maintenance or replacement of that device

Assistive technology services - Any service that directly assists a child with a disability in the selection, acquisition, or use of an assistive technology device. Assistive technology services include:

- The assessment of the needs of a child with a disability, including a functional assessment of the child in the child's customary environment;
- Purchasing, leasing or otherwise providing for the acquisition of assistive technology devices by children with disabilities;
- Selecting, designing, fitting, customizing, adapting, applying, maintaining, repairing or replacing assistive technology devices;
- Coordinating and using other therapies, interventions, supports or services with assistive technology devices, such as those associated with existing education and rehabilitation plans and programs;
- Training or technical assistance for a child with disabilities, that child's family, other caregivers or service providers on the use of assistive technology determined to be appropriate; and
- Collaboration with the family and other early intervention service providers identified on an infant or toddler's IFSP.

Audiology –

- Identification of children with auditory impairment, using at risk criteria and appropriate audiological screening techniques;
- Determination of the range, nature, and degree of hearing loss and communication functions, by use of audiological assessment procedures;
- Referral for medical and other services necessary for the habilitation or rehabilitation of children with auditory impairment;
- Provision of services including auditory training, aural rehabilitation, sign language and cued language services, speech reading and listening device orientation and training, and other training to increase the functional communication skills of an infant or toddler with a significant hearing loss;
- Provision of services for the prevention of hearing loss;
- Determination of the child's need for individual amplification, including selecting, fitting, and dispensing appropriate listening and vibrotactile devices, and evaluating the effectiveness of those devices;
- Family training, education and support provided to assist the family of an infant or toddler with a significant hearing loss in understanding his or her functional

developmental needs related to the hearing loss and to enhance his or her development;  
and

- Collaboration with the family, service coordinator and other early intervention service providers identified on an infant's or toddler's IFSP.

Child find – A comprehensive and coordinated system to locate, identify, refer and determine eligibility for all infant and toddlers with disabilities in Virginia who are eligible for services under Part C.

Consent – Means that

- The parent has been fully informed of all information relevant to the activity for which consent is sought, in the parent's native language or other mode of communication;
- The parent understands and agrees in writing to the carrying out of the activity for which consent is sought, and the consent describes that activity and lists the records (if any) that will be released and to whom; and
- The parent understands that the granting of consent is voluntary on the part of the parent and may be revoked at any time.

Contact log – Monthly summary documenting dates and amount of delivered services.

Contact note - The term used to describe how Part C service provision, including service coordination, is to be documented. The term "contact note" is intended to be interchangeable with other commonly used terms such as "progress note," "case note," or "service coordination note."

Developmental services –

- Screening, assessment and intervention services to address the functional developmental needs of an infant or toddler with a disability with an emphasis on a variety of developmental areas including, but not limited to, cognitive processes, communication, motor, behavior and social interaction;
- Collaboration with the family, service coordinator and other early intervention service providers identified on an infant's or toddler's IFSP;
- Consultation to design or adapt learning environments, activities and materials to enhance learning opportunities for an infant or toddler with a disability;
- Family training, education and support provided to assist the family of an infant or toddler with a disability in understanding his or her functional developmental needs and to enhance his or her development

Discipline - A specific occupational category that may provide early intervention supports and services to eligible children under Part C of the Individuals with Disabilities Education Act and their families

Early intervention services – developmental supports and services that

- Are designed to meet the developmental needs of an infant or toddler with a disability and the needs of the family related to enhancing the child's development, as identified by the Individualized Family Service Plan team, in any one or more of the following areas:
  - Physical development;
  - Cognitive development;
  - Communication development;
  - Social or emotional development;

- Adaptive development.
- Are selected in collaboration with the parents
- Include –
  - Assistive technology devices and assistive technology services;
  - Developmental services;
  - Family training, counseling and home visits;
  - Health services;
  - Medical services, only for diagnostic or assessment purposes;
  - Nursing services;
  - Nutrition services;
  - Occupational therapy;
  - Physical therapy;
  - Psychological services;
  - Service coordination services;
  - Social work services;
  - Speech-language pathology and audiology services, including sign language and cued language services;
  - Vision services; and
  - Transportation and related costs.
- Are provided –
  - Under public supervision;
  - By qualified practitioners;
  - In natural environments, including home and community based settings in which children without disabilities participate, to the maximum extent appropriate;
  - In conformity with an Individualized Family Service Plan (IFSP); and
  - In accordance with the family cost share practices specified in [State regulations].

Eligibility determination - The process by which a multidisciplinary team reviews medical reports, developmental screening results, parent report, observation summaries, and assessment summaries, if available, to determine whether or not a child meets the Infant & Toddler Connection of Virginia eligibility criteria (children from birth to age three who have a 25 percent developmental delay in one or more areas of development, atypical development, or a diagnosed physical or mental condition that has a high probability of resulting in a developmental delay)

Family - Defined according to each family's definition of itself

Family assessment - The ongoing procedures used by appropriate qualified practitioners throughout the period of a child's eligibility for early intervention supports and services to identify the family's resources, priorities and concerns relative to enhancing the development of the child

Family training, counseling and home visits - Services provided, as appropriate, by social workers, psychologists, and other qualified practitioners to assist the family of a child eligible for early intervention supports and services in understanding the special needs of the child and enhancing the child's development

Health services - Services necessary to enable a child to benefit from the other early intervention supports and services during the time that the child is receiving the other early intervention supports and services. The term includes:

- Consultation by health care professionals with family members or other service providers who are identified on an infant's or toddler's IFSP concerning the special health care needs of the infant or toddler that will impact or need to be addressed during the provision of other early intervention services;
- Collaboration with the family and other early intervention service providers identified on an infant's or toddler's IFSP;
- Family training, education and support provided to assist the family of an infant or toddler with a disability in understanding his or her special health care needs; and
- Provision of such services as clean intermittent catheterization, tracheostomy care, tube feeding, the changing of dressings or colostomy collection bags, and other health services when necessary in order for the infant or toddler to participate in other early intervention services

The term does not include:

- Services that are surgical in nature (such as cleft palate surgery, surgery for club foot, or the shunting of hydrocephalus); purely medical in nature (such as hospitalization for management of congenital heart ailments, or the prescribing of medicine or drugs for any purpose); or related to the implementation, optimization (e.g., mapping), maintenance, or replacement of a medical device that is surgically implanted, including cochlear implants;
- Devices (such as heart monitors, respirators and oxygen, and gastrointestinal feeding tubes and pumps) necessary to control or treat a medical condition; or
- Medical-health services (such as immunizations and regular "well-baby" care) that are routinely recommended for all children

Individualized Family Service Plan (IFSP) - A written plan for providing early intervention supports and services to eligible children and families that:

- Is developed jointly by the family and appropriate qualified practitioners providing early intervention supports and services;
- Is based on the multidisciplinary assessment for services planning; and
- Includes results or outcomes and supports and services necessary to enhance the development of the child and the capacity of the family to meet the special needs of the child.

Infant & Toddler Online Tracking System (ITOTS) – The secure online data system for the Infant & Toddler Connection of Virginia

Informed clinical opinion - The outcome of using information gathered through eligibility determination and/or assessment for service planning methods combined with professional expertise and experience to determine the child's developmental status and eligibility under Part C.

Local lead agency - Entity that, under contract with the State Lead Agency, administers local Part C funds and fulfills the requirements of the Contract for Continuing Participation in Part C Early Intervention for Infants and Toddlers with Disabilities and Their Families

Medical services - Services provided by a licensed physician for diagnostic or eligibility determination purposes to determine a child's developmental status and need for early intervention supports and services

Multidisciplinary - The involvement of two or more disciplines in the provision of integrated and coordinated supports and services, including eligibility determination and assessment for service planning activities and development of the IFSP

Native language - The language or mode of communication normally used by the parents of the child or, in all direct contact with a child (including assessment of the child), the language or mode of communication normally used by the child in the home or learning environment

Natural environment(s) - Settings that are natural or normal for the child's age peers who have no disability

Nutrition services –

- Assessment of the nutritional and feeding status of an infant or toddler with a disability related to his or her development;
- Collaboration with the family, service coordinator and other early intervention service providers identified on an infant's or toddler's IFSP;
- Development, implementation and monitoring of appropriate plans to address the nutritional needs of children eligible for early intervention supports and services, based on the findings of individual assessments;
- Referral to community resources to carry out nutritional goals and referrals for community services, health or other professional services, as appropriate; and
- Family training, education and support provided to assist the family of an infant or toddler with a disability in understanding his or her needs related to nutrition and feeding and to enhance his or her development

Occupational therapy - Services to address the functional needs of a child related to adaptive development, adaptive behavior and play, and sensory, motor, and postural development. These services are designed to improve the child's functional ability to perform tasks in home, school, and community settings, and include:

- Screening, assessment and intervention services to address the functional developmental needs of an infant or toddler with a disability with an emphasis on self-help skills, fine and gross motor development, mobility, sensory integration, behavior, play and oral-motor functioning
- Adaptation of the environment, and selection, design, and fabrication of assistive and orthotic devices to facilitate development and promote the acquisition of functional skills;
- Prevention or minimization of the impact of initial or future impairment, delay in development, or loss of functional ability;
- Collaboration with the family, service coordinator and other early intervention service providers identified on an infant's or toddler's IFSP;
- Family training, education and support provided to assist the family of an infant or toddler with a disability in understanding his or her functional developmental needs and to enhance his or her development

OSEP child indicators – The measures of child progress on which states must annually report to the Office of Special Education Programs (OSEP). The indicators are the percentage of infants and toddlers with IFSPs who demonstrate improved:

- Positive social-emotional skills (including positive social relationships)
- Acquisition and use of knowledge and skills (including early language/communication); and
- Use of appropriate behaviors to meet their needs.

Parent –

- A biological or adoptive parent of a child;
- A foster parent, unless contractual obligations with a State or local entity prohibit a foster parent from acting as a parent;
- A guardian generally authorized to act as the child’s parent, or authorized to make early intervention, educational, health or developmental decisions for the child (but not the State if the child is a ward of the State);
- An individual acting in the place of a biological or adoptive parent (including a grandparent, stepparent or other relative) with whom the child lives, or an individual who is legally responsible for the child’s welfare); or
- A surrogate parent.

If a judicial decree or order identifies a specific person or persons listed above to act as the “parent” of a child or to make educational decisions on behalf of a child, then such person or persons shall be determined to be the “parent.” Otherwise, the biological or adoptive parent, when attempting to act as the parent and when more than one party is qualified under the definition of “parent,” must be presumed to be the parent unless the biological or adoptive parent does not have legal authority to make educational decisions for the child. The term “parent” does not include any local or state agency, or their agents, including the Department of Social Services and their local departments, if the child is in the custody of said agency.

Part B – The part of the Individuals with Disabilities Education Act that governs special education and related services for children and youth with disabilities

Part C – The part of the Individuals with Disabilities Education Act that governs early intervention services for infants and toddlers with disabilities and their families

Personally identifiable information –

- The name of the child, the child's parent, or other family member;
- The address of the child;
- A personal identifier, such as the child's or parent's social security number; or
- A list of personal characteristics or other information that would make the child's or parent's identity easily traceable

Physical therapy - services to address the promotion of sensorimotor function through enhancement of musculoskeletal status, neurobehavioral organization, perceptual and motor development, cardiopulmonary status, and effective environmental adaptation. These services include:

- Screening, assessment and intervention services to address the functional developmental needs of an infant or toddler with a disability with an emphasis on mobility, positioning, fine and gross motor development, and both strength and endurance, including the identification of specific motor disorders;
- Adaptation of the environment, and selection, design, and fabrication of assistive and orthotic devices to facilitate development and promote the acquisition of functional skills;
- Collaboration with the family, service coordinator and other early intervention service providers identified on an infant’s or toddler’s IFSP; and
- Family training, education and support provided to assist the family of an infant or toddler with a disability in understanding his or her functional developmental needs and to enhance his or her development.

Practitioner - An individual who is qualified to provide supports and services

Provider (Service provider) – A practitioner selected to deliver early intervention supports and services

Psychological services –

- Administering psychological and developmental tests, and other assessment procedures;
- Interpreting assessment results;
- Obtaining, integrating, and interpreting information about child behavior, and child and family conditions related to learning, mental health, and development;
- Planning and managing a program of psychological services, including psychological counseling for children and parent(s), family counseling, consultation on child development, parent training, and education programs;
- Collaborating with the family, service coordinator and other early intervention service providers identified on an infant's or toddler's IFSP;
- Family training, education and support provided to assist the family of an infant or toddler with a disability in understanding his or her needs related to development, cognition, behavior or social-emotional functioning and to enhance his or her development

Screening - Procedures used to identify infants and toddlers suspected of having a disability and to be in need of early intervention services, at the earliest possible age

Service coordination - The activities carried out by a service coordinator to assist and enable a child eligible for early intervention supports and services and the child's family to receive the rights, procedural safeguards, and supports and services that are authorized to be provided under Virginia's early intervention program

Single point of entry - The single entity in each local Part C system where families and primary referral sources make initial contact with the local Part C system

Social work services -

- Home visits to evaluate a child's living conditions and patterns of parent-child interaction;
- Social or emotional developmental screening and assessment of the child within the family context;
- Individual and family-group counseling with parent(s) and other family members, and appropriate social skill-building activities with the child and parent(s);
- Intervention to address those problems in a child's and family's living situation (home, community, and any other location where early intervention supports and services are provided) that affect the child's maximum utilization of early intervention supports and services;
- Identification, mobilization, and coordination of community resources and services to enable the child and family to receive maximum benefit from early intervention supports and services;
- Collaboration with the family, service coordinator and other early intervention service providers identified on an infant's or toddler's IFSP; and
- Family training, education and support provided to assist the family of an infant or toddler with a disability in understanding his or her functional developmental needs and to enhance his or her development.

Speech-language pathology –

- Screening, assessment and intervention services to address the functional, developmental needs of an infant or toddler with a disability with an emphasis on communication skills, language and speech development, sign language and cued language services and oral motor functioning, including the identification of specific communication disorders
- Referral for medical or other professional services necessary for the habilitation or rehabilitation of children with communicative or oropharyngeal disorders and delays in development of communication skills
- Collaboration with the family, service coordinator and other early intervention service providers identified on an infant's or toddler's IFSP; and
- Family training, education and support provided to assist the family of an infant or toddler with a disability in understanding his or her functional development needs and to enhance his or her development.

Surrogate parent - A person appointed to provide children who are wards of the state, whose parent(s) cannot be identified and/or whose whereabouts are unknown, with the protection of their rights

Transition - The entry or exit of children and families to and from early intervention supports and services

Transportation and related costs - Include the cost of travel (e.g., mileage, or travel by taxi, common carrier, or other means) and other costs (e.g., tolls and parking expenses) that are necessary to enable a child eligible for early intervention supports and services and the child's family to receive early intervention supports and services

Vision services –

- Assessment and intervention services to address the functional developmental needs of an infant or toddler with a significant vision impairment with an emphasis on sensory development, communication skills development, orientation and mobility skill development and adaptive skills training;
- Consultation to adapt the environment to promote development, access and participation of an infant or toddler with a significant vision impairment;
- Referral for medical or other professional services necessary for the habilitation or rehabilitation of visual functioning disorders, or both
- Collaboration with the family, service coordinator and other early intervention service providers identified on an infant's or toddler's IFSP; and
- Family training, education and support provided to assist the family of an infant or toddler with a disability in understanding his or her functional development needs related to the vision impairment and to enhance his or her development

Visit – A face-to-face encounter with the child and/or family for the purpose of providing early intervention supports and services.

Ward of the state – A child who, as determined by Virginia, is a foster child or is in the custody of a public child welfare agency. The term does not include a foster child who has a foster parent who meets the definition of "parent."