

## 2007 Annual Local Record Review Teleconference

### Talking Points

July 9, 2007

10-12 noon

#### A. Greetings:

- Welcome to our 7<sup>th</sup> teleconference call in a series of calls on the revised general supervision and monitoring system for Virginia. This call is our first using both a data and audio format.
- Mary Anne White, Part C Monitoring Consultant will present the information for today's topic. Also participating in today's call from the State Part C Office are: Bonnie Grifa, Kyla Patterson, Beth Tolley and Bev Crouse. To our knowledge, there are 26 local systems represented on today's call.

#### B. Housekeeping

- An evaluation form was emailed to you with the information for today's call. We request that you fill it out following the call so we can get your feedback. Please ensure that all participants listening with you receive a copy of the evaluation form.
- Also included in the information sent to you was a 2007 Local Annual Record Review Verification Form. As part of the Local Contract, you are required to complete this form and submit it when you submit your local record review information.
- **Due date: August 31, 2007** to your monitoring consultant.
- The sooner you can get this to us, the better. This allows us ample time to review the information submitted and get any clarifying data if needed and begin compiling the data for reports that will be presented to the VICC, General Supervision and Monitoring Advisory Committee as well as the Annual Performance Report.
- Remember: Indicator # 14 is a compliance indicator (100%) which looks at the timely submission of data. We are tracking the timeliness of submission of required/requested information.

#### C. Format of Call:

- We will start and end the call on time.
- All phones are currently in "listening" mode".
- We will have several brief question and answer sessions during the presentation to ensure understanding of the material. We will have a final question and answer period at the end of the presentation. At this time, I will contact the conference operator who will come on the line and instruct everyone who has questions on how to "dial" in to ask their question.
- Please limit your questions to no more than one per "dial in". If you have additional questions, you may re-query in. This will help us ensure that everyone who has questions will be heard during our allotted time.
- If, we do not get to all questions, we will ask that you e-mail your questions to us to be included in the Q&A that will be posted on the web site following this call.
- All questions will be answered in the order in which the conference operator receives them.
- If during the call, you are having difficulty viewing any of the materials, you may send me a note in the discussion area by clicking on my name and writing what your note is.

#### **D. 2007 Annual Local Record Review**

##### **1. Purpose for Record Review:**

- Virginia must submit to OSEP an updated status on the State Performance Plan indicators in February 2008 in the Annual Performance Plan (APR).
  - The APR is how OSEP is going to look at Virginia's performance on all compliance and performance indicators within the State Performance Plan and determine our overall performance as a state; great, medium or poorly with consequences for each performance level.
  - To provide this data, Virginia will use information that local systems enter into ITOTS, local annual record reviews, information from the GSEG pilots and 618 data.
  - The areas that will be addressed in the 2007 Local Record Review are Timely Initiation of Services and Transition. We are not collecting information on Multidisciplinary Team Assessment as we achieved a high level of compliance in this area last year. Those local systems who are out of compliance in the area of Multidisciplinary Team Assessment have Corrective Action/Service Enhancement Plans developed to assist them achieve compliance.
  - The information we obtain from the local record reviews will be reported in February 2008 in the Annual Performance Report.

##### **2. Accuracy of Data**

- Per the local contract,
  - Local systems must enter children as they enter or leave the system or at least by the last day of the month (6/30/07).
  - Data should be checked for needed updates and confirmed by July 10, 2007.
- It is imperative that the data we submit to OSEP is accurate and reflects Virginia's best efforts. Information submitted in the Annual Performance Report impacts Virginia's determination, the local system's determination and is available for public reporting.
- Please be sure that you have completed all the contractual obligations stated above prior to completing your local record review.

#### **E. Timely Initiation of Services:**

- This is a State Performance Plan Indicator whose compliance is 100%
- When initial data was submitted to OSEP from FFY 2004, VA was in compliance with "timely initiation of services" –72%
- Last year, the data submitted in the Annual Performance Report, Virginia's compliance was again 72%.
  - In the determination letter received from OSEP, it states that Virginia must review its improvement activities and revise them, if appropriate, to ensure they will enable the State to include data in the FFY 2006 APR, due February 1, 2008 that demonstrate compliance with the timely service provision requirements, including correction of any noncompliance findings identified in FFY 2005.

#### **F. Transition**

- This is a State Performance Plan Indicator with three parts; each section target is 100% compliance:

- Transition steps and services
- Notification to LEA
- 90-day transition planning conference
- In FFY 2004, Virginia's percentage of compliance for transition steps and services was 84%. In FFY 2005, we achieved 86% compliance.
- For Notification to the LEA, in FFY 2004, Virginia achieved 81% compliance. In FFY2005, Virginia achieved 89% compliance.
- In FFY2004, the compliance for the 90-day transition planning conference was 51%. In FFY2005, OSEP calculated our percentage of compliance as 75%.
- In the determination letter received from OSEP, it states that Virginia must review its improvement activities and revise them, if appropriate, to ensure they will enable the State to include data in the FFY 2006 APR, due February 1, 2008 that demonstrate compliance with all three components of the transition requirements, including correction of any noncompliance findings identified in FFY 2005.

As you can see, the accuracy of data is very important. Virginia received its determination of "Need Assistance" in part to our continued non-compliance in Timely Initiation of Services and Transition. We need to demonstrate to OSEP that we are improving in these areas and are able to achieve compliance.

**Timely Initiation of Services:**

- You will need to have these two reports from ITOTS open on your computer and minimized to the bottom of your screen.
  - ITOTS reports "Children Open Time Range", and "Open Cases for Children with an IFSP"
  - ICDF forms or access to ITOTS in order to be able to search a child's eligibility criteria in the evaluation module.
- The "Record Review Form" consists of three sections: Section A. Record Selection Criteria Form, Section B. Record Review Form and Section C. Tabulation Sheet for Timely Initiation of Services. **ALL THREE OF THESE FORMS MUST** be submitted to the Part C office by the designated due date.

**Identification of Children With Initial/Annual IFSP's**

1. Determine the number of records your local system must review based on your **annualized child count** (12/2/2005 – 12/1/06) ← --- Formatted: Bullets and Numbering

<b>If you have this number of children in your annualized child count:</b>	<b><u>Then you must review this number of records</u></b>
0 - 200	10
201 - 800	20
Over 800	30

**Open ITOTS: Children Open Time Range Have Attachment A available to follow along**

2. Develop a list of children who have had an initial or annual IFSP developed on or after April 1, 2007 but no later than June 30, 2007 using the "Children Open Time Range" Report. Double Click on Excel Report. ← --- Formatted: Bullets and Numbering

- If you are not able to find the designated number of children to review within this time period, go back one month at a time until you reach the appropriate number.

- See Attachment A for “Steps in Determining the Annual IFSP Date” using this report.

3. The children identified in these reports will comprise your “pool” of children from which records will be selected.

4. Ensure that the “pool” of children are numbered sequentially (e.g., 1, 2, 3, etc).

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**Section A. Record Selection Criteria Form**

1. From your “pool” of children, you are required to select the records to be reviewed based on criteria that are representative of your local population.

**Purpose Of The Criteria Selection Form**

OSEP allows States to use sampling on selected monitoring indicators in the State Performance Plan/Annual Performance Report. When a state uses sampling, they are required to provide a description of the sampling methodology outlining how the design will yield valid and reliable estimates to OSEP. OSEP has indicated that when a State samples from early intervention systems, the sample must be representative of each of the early intervention systems, considering such variables as eligibility definition (diagnosed condition or developmental delay), age, race, and gender. (This information is taken from Part C State Performance Plan (SPP) and Annual Performance Report (APR) Instruction Sheet 5-4-07)

2. For local systems that must review **10 records**, the following selection criteria must be met:

# Of Records	Criteria*
1	Child age 0-1 year
1	Child age 1-2 years
2	Children ages 2-3 years
1	Child from each Race/Ethnicity category that is representative of the “pool” of children used for the record selection
2	Males
2	Females
2	Children found eligible for Part C services because of developmental delay and/or atypical development, <b>with no diagnosed condition</b>
2	Children found eligible for Part C <b>services based on a diagnosed condition; there also may be a</b> developmental delay and/or atypical development

For local system that must review **20 records**, the following selection criteria must be met:

# Of Records	Criteria*
2	Children age 0-1 year
2	Children age 1-2 years
4	Children age 2-3 years
2	Children from each Race/Ethnicity category that is representative of the “pool” of children used for the record selection
4	Males
2	Females
4	Children found eligible for Part C services because of developmental delay and/or atypical development, with no diagnosed condition
4	Children found eligible for Part C services based on a diagnosed condition, there also may be a

developmental delay or atypical development
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For local systems that must review **30 records**, the following selection criteria must be met:

# Of Records	Criteria*
3	Children age 0-1 year
3	Children age 1-2 years
6	Children age 2-3 years
3	Children from each Race/Ethnicity category that is representative of the "pool" of children used for the record selection
6	Males
6	Females
6	Children found eligible for Part C services because of developmental delay and/or atypical development, with no diagnosed condition
6	Children found eligible for Part C services based on a diagnosed condition; there also may be a developmental delay or atypical development

\*Please note that one record may meet multiple criteria (e.g., 0-1, black male with developmental delay).

#### Open Cases with IFSPs – Timely

- To determine the Race/Ethnicity for each child open this report
  - Enter 6/30/07 into the Report Date
  - Click on Excel Report
  - Highlight entire chart (except column headers)
  - Sort in Ascending order the ICDF Code. This will help you quickly match the children from your pool of records.
  - Click on [www.random.org](http://www.random.org)
    - Double click on Integer Generator
    - Pull up Random Number Selection Form
3. Go to [www.random.org](http://www.random.org) to generate a random number list for use in selecting records for review (refer to Appendix B for directions on how to use this website).
4. Select records to be reviewed and record necessary information in Section A. Record Review Selection Criteria form, as follows:
- Select half the total number of records to be reviewed using the random number list (e.g., if you need to review 10 records, select 5 using the random number list).
  - Enter the ITOTS numbers of these children in all the appropriate spaces of Section A. Record Selection Criteria Form. For example, if the first record you select based on the random number chart is that of a 13 month old, white female with a diagnosed condition, then you would put that child's ITOTS number on the row for age 1-2 years under the White, Female and Diagnosed Condition columns.
    - Please note that the "Open Cases for Children with an IFSP" report provides each child's ethnicity and gender.
    - To determine which children were found eligible due to a delay, atypical development and/or a diagnosed condition, you will need to check each child's IFSP or ICDF form or use the search function in ITOTS to locate the child and review the evaluation information for that child. This report is not yet available within ITOTS.
  - After entering the information for the records selected randomly (half your total number to be reviewed), review the "Record Selection Criteria Form" and the criteria listed in #2 above and determine whether or not you have met all criteria.

- o If you have met all criteria, then use the random numbers chart to select the remaining half of your total records to be reviewed and enter the ITOTS numbers in Section A as described above.
- o If you have not met all criteria, then you will hand select records from your pool in order to meet any remaining criteria. You will use your list, the “Open Cases for Children with an IFSP” report and other ITOTS information, as needed, to select the records needed to meet remaining criteria. After hand selecting the number of records necessary to meet the remaining criteria listed in #2, go back to the random numbers list to select the number of records needed to reach the total number required (for example, for a system that is required to review 20 records, you randomly selected 10, then you were able to meet the remaining criteria with 4 hand selected record, you would then need to randomly select 6 more records to have your total of 20 records.). Enter the children’s ITOTS numbers in Section A as described above.

**Section B. Completing the Record Review Form**

1. The Record Review Form allows for inputting information for 10 records. If your local system is required to review more than 10 records, make copies of these pages as needed.
2. Insert the child’s ITOTS number, Date of Birth and Date of IFSP on the lines next to the requested information.
3. Calculate the 21-calendar day timeline. Enter this date into the appropriate space.
  - The date of parental signature on the IFSP is day 1 of the 21-calendar days (e.g. IFSP signed June 1, 2007. Entitled service must start no later than June 21, 2007.)
4. Ensure that **all** entitled early intervention services including Service Coordination, that are on the most recent IFSP (initial, or annual) are documented on this form.
  - If services are added after the IFSP date, they are NOT included in this record review.
  - Do not include services added at IFSP reviews for this record review.
  - The actual start date for each entitled service must be on or after the date the IFSP is signed.
  - For an annual IFSP, the start date for a service that is continuing from a previous IFSP is considered the date the service is first delivered after parent signed the annual IFSP
5. For each entitled early intervention service listed on the child’s IFSP, answer the question “Did services begin within 21-days?” by
  - Putting a 1 in the box if the service was provided within the 21-day time-period.
  - Putting a 0 in the box if the service was not provided within the 21-day time-period.
6. If a 0 was entered, the remainder of the question, “If no, please indicate the reason why:” must be addressed.
  - For each service that was not provided within the 21-calendar day timeframe, place the number 1 in the line next to the appropriate justification for which there is documentation to support the reason the service did not begin in a timely manner.
  - Please see Things to Remember Related to 21-Day Timeline (below) for explanation about the justifications.
7. Repeats Steps # 3-7 for all records to be reviewed.

**Section C. Tabulation Sheet for Timely Initiation of Services**

1. In the section entitled: “Calculations: Timely Initiation of Services By Child”, the question “Were all services listed on this child’s IFSP started within the 21-calendar day timeline?” must be answered.

- Place 1 if ALL entitled early intervention services were initiated within the 21-calendar day timeframe.
  - Place 0 if ANY entitled early intervention services were NOT initiated within the 21-calendar day timeframe.
    - If a 0 was entered, the remainder of the question, “If no, document which justifications were used in the services listed above” must be answered.
      - Place a 1 in the justification for which there was documentation to support the reason the service did not begin in a timely manner.
2. In the section entitled: In Compliance? - review the information from the “Calculations: Timely Initiation of Services By Child.” Determine if there are any justifications that have a 1 or “Yes” response where there is a (s) next to the justification. If so, place a 0 in the space, as this child is not in compliance with timely initiation of services

### **Things To Remember Related to 21-Day Timeline**

- The IFSP is not valid until the family signs the document. No services can begin until their signature is obtained.
- Service Coordination activities could occur on the date of parental signature on the IFSP; 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 the evaluation and/or IFSP meeting.

### **Justification For Why Services Began Beyond 21-Calendar Days**

#### **Family Scheduling Preference**

This category includes, but is not limited to, the following circumstances:

- Family vacation
- Family prefers to schedule the first visit later than 21 days after signing the IFSP
- Parents chose not to sign the ATP form yet
  - There must be documentation that attempts were made to complete the ATP process and obtain the parent’s signature on the financial agreement form, including the reason why the family did not sign the form. *Lack of a signed ATP form is NOT a family scheduling preference if the local system “forgot” to get the form signed at the annual IFSP, waited until just before the evaluation and/or development of the IFSP to approach family about completion of the ATP, etc.)*
- No Show for services
- Parents chose not to start services until insurance Issues were worked out
  - 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 or not 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.

#### **Provider Unavailability**

This category includes, but is not limited to, the following circumstances:

- Provider absence, including vacation, illness, attending training, etc. with no back-up available to provide the service
- No service provider available to provide the entitled service
- Delay in insurance authorization
  - Unless the family chooses to wait for insurance authorization to begin a service, then delaying the start of services due to insurance delays is a system reason. Part C funds must be used to avoid a delay in the start of services.
- No prescription for therapy services

- There must be documentation that the prescription for therapy services was sent to the physician within a reasonable time (2-4 calendar days) following the determination that a prescription for services was needed AND that there has been consistent follow-up to obtain the prescription

Team planned a later start date to meet child/family needs

To include:

- At an annual IFSP evaluation, when a service is continued from the previous IFSP at the same frequency and intensity.

No Reason Documented

Prior to selecting this justification, reviewers are expected to make every effort to drill down and determine the reason for the delay in timely start of services, even if that reason has not been clearly documented (or easily located) in the child's record. If the reason can be determined through this drill down, a contact note should be written documenting the current date, the reason for the delay in timely start of services and how that reason was determined. The justification on the record review form would reflect the justification determined through drill down.

If, after the drill down, there is insufficient information to document the reason for delay, then the efforts made should be documented in a contact note and placed in the child's record indicating the date of the review and that there is no documentation related to the delay in timely initiation of services. In this situation, the justification on the record review form would be "no reason documented."

Transition

- You will need to have two (2) ITOTS reports available to complete this task:
  1. "Children Transition" Report (will include all transition destinations, including those children with a transition destination of "other");
  2. "Open Cases For Children with an IFSP" Report; and some local systems will need
- The "Record Review Form" consists of Section A. Record Selection Criteria Form and Section B. Record Review Form. **Both** of these forms **MUST** be submitted to the Part C office by the designated due date.

Identification of Children For The Transition Record Reviews

1. Records will be reviewed only for those children who have exited or will exit the Part C system between April 1, 2007 and September 30, 2007.

**Note:** Children considered to be exiting the Part C system for this review, **are those children** leaving the Part C system to enter the local public school or a new community setting such as daycare, Head start, private therapy, etc. Children **not** included for this review are those children who are deceased, will receive no further service of any kind after leaving early intervention (e.g. at home with family, continuing daycare, etc), are moving out of Virginia, or are moving out of the local system and into another local Part C system in Virginia.

2. Develop a list of children who have exited or will exit the Part C system between April 1, 2007 and September 30, 2007 and who meet the criteria in the note above.
3. See Appendix C for information about how to gather information from the two (2) ITOTS reports
4. The children identified in the two (2) ITOTS Reports represent the "pool" of children from which records will be selected.

5. Number the children in the “pool” sequentially (e.g. 1, 2, 3, etc.).

6. Determine the number of records your local system must review based on the number of children identified in Step #4 in your “pool” of children from which records will be selected.

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<b>If you have this number of children in your “pool” of children from which records will be selected</b>	<b><u>Then you must review this number of records</u></b>
0 - 20	10
21 - 100	15
101 - 300	20

**Section A. Record Selection Criteria Form**

5. From your “pool” of children, you are required to select the records to be reviewed based on criteria that are representative of your local population.

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**Purpose Of The Criteria Selection Form**

OSEP allows States to use sampling on selected monitoring indicators in the State Performance Plan/Annual Performance Report. When a state uses sampling, they are required to provide a description of the sampling methodology outlining how the design will yield valid and reliable estimates to OSEP. OSEP has indicated that when a State samples from early intervention systems, the sample must be representative of each of the early intervention systems, considering such variables as eligibility definition (diagnosed condition or developmental delay), age, race, and gender. (This information is taken from Part C State Performance Plan (SPP) and Annual Performance Report (APR) Instruction Sheet 5-4-07)

6. For local systems that must review 10 records, the following selection criteria must be met:

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<b># Of Records</b>	<b>Criteria</b>
2	Children of each Gender
1	Child of each race/ethnicity represented in your “pool” of children

For local systems that must review 15 records, the following selection criteria must be met:

<b># Of Records</b>	<b>Criteria</b>
3	Children of each Gender
2	Children of each race/ethnicity represented in your “pool” of children

For local systems that must review 20 records, the following selection criteria must be met:

<b># Of Records</b>	<b>Criteria</b>
4	Children of each Gender
2	Children of each race/ethnicity represented in your “pool” of children

**Open Cases with IFSPs – Transition**

- To determine the Race/Ethnicity for each child open this report

- Enter 9/30/07 into the Report Date
- Click on Excel Report
- Highlight entire chart (except column headers)
- Sort in Ascending order the ICDF Code. This will help you quickly match the children from your pool of records.

7. Go to [www.random.org](http://www.random.org) to generate a random number list for use in selecting records for review (refer to Appendix B for directions on how to use this website).

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8. Select records to be reviewed and record necessary information in Section A. Record Review Selection Criteria form, as follows:

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- Select half the total number of records to be reviewed using the random number list (e.g., if you need to review 10 records, select 5 using the random number list).
- Enter the ITOTS numbers of these children in all the appropriate spaces of Section A. Record Selection Criteria Form. For example, if the first record you select based on the random number chart is that of a white female, then you would put that child's ITOTS number on the row under the White, Female columns; the number would be listed twice on the Record Selection Criteria Form.
  - Please note that the "Open Cases for Children with an IFSP" report provides each child's ethnicity and gender.
- After entering the information for the records selected randomly (half your total number to be reviewed), review the "Record Selection Criteria Form" and the criteria listed in #2 above and determine whether or not you have met all criteria.
  - If you have met all criteria, then use the random numbers chart generated in #3 above to select the remaining half of your total records to be reviewed and enter the ITOTS numbers in Section A as described above.
  - If you have not met all criteria, then you will hand select records from your pool in order to meet any remaining criteria. You will use your list, the "Children Transition" report and other ITOTS information, as needed, to select the records needed to meet remaining criteria. After hand selecting the number of records necessary to meet the remaining criteria listed in #2, go back to the random numbers list to randomly select the number of records still needed to reach the total number you are required to review (e.g., if you are required to review 20 records, you randomly selected 10, then needed to hand select 4 to meet the remaining criteria, and you will now randomly select the last 6 records). Enter the children's ITOTS numbers in Section A as described above.

### **C. Completing the Record Review Form**

8. The Record Review Form allows for inputting information for 10 records. If your local system is required to review more than 10 records, make copies of these pages as needed.

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9. Insert the child's ITOTS number, Date of Birth and Date of IFSP on the lines next to the requested information.

10. Responses to the questions asked related to Transition are either 1= Yes or 0=No.

### **Things To Remember Related to Transition**

#### **Potentially eligible for Part B**

- A child may be potentially eligible for Part B even if their family chooses not to pursue transition to Part B.
- "May potentially be eligible" is defined as sending the names, address, telephone number and birth date for all children being served by Part C to the school division

when they reach the age of eligibility for preschool services. However, if the parent indicates in writing (there is a place to do so on page 7 of the IFSP) that they do not want the information transmitted, then it may not be sent. In addition, there is no requirement to send the names and contact information for those children who transition out of Part C prior to age three and no longer meet the Part C eligibility criteria.

Information related to the 90-day transition planning conference:

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- With the family's approval, an individual transition planning conference between the family and the LEA is held at least 90 days before the child's third birthday or, the date on which the child is eligible for ECSE under Part B of IDEA. Child's eligibility under Part B means either (a) the start of the school year in which the child turns two by September 30<sup>th</sup> or (b) the child's 3<sup>rd</sup> birthday depending when the parent(s) choose to transition.
- Each local educational agency will participate in transition planning conferences arranged by the designated local Part C service coordinator (*Regulations Governing Special Education Programs for Children with Disabilities in Virginia*).
- At the discretion of all persons involved (including parents and representatives from Parts C and B services), this conference may be held up to nine months before the child's third birthday.
- Parent approval for the transition conference may be evidenced by a signed Parental Prior Notice form, parent attendance at the conference, or other documentation of consent.

Reason why the transition conference was not held within required timeframes:

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- "Family scheduling preference" includes those families who choose to postpone or delay the transition process to Part B.
- "No reason documented" - Prior to selecting this justification, reviewers are expected to make every effort to drill down and determine the reason, even if that reason has not been documented in the child's record.
  - If the reason can be determined through drill down, a contact note should be written documenting the current date, the reason the conference was not held within required timeframes, and how that reason was determined. The justification on the record review form would reflect the justification determined through drill down.
  - If, after drill down, there is insufficient information to document the reason for delay, then the efforts made should be documented in a contact note and placed in the child's record indicating the date of the review and that there is no documentation related to why the transition planning conference was not held within required timeframes. In this situation, the justification on the record review form would be "no reason documented."

**G. To Summarize:**

- The annual local record review information is due to your monitoring consultant NO LATER than August 31, 2007.
  - For timely initiation of services, you must submit, the Record Review Criteria Form, The Record Review Form and the Calculation Page.
  - For Transition, you must submit the Record Review criteria Form, and the Record review form.
- Along with the record review information, you must send the 2007 Annual Local Record Review Verification form.
- The data submitted in this record review will be submitted in the Annual Performance Report due to OSEP in February 2008 and will be used in the local public reporting.

- Please complete the evaluation form sent to you in an earlier e-mail. We hope you found the information from today's call helpful.
- Thank you for participating today. We will now contact the Operator to open the line for questions.