

2009 Annual Local Record Review Teleconference Talking Points

January 7th, 2009

1:00-2:30 p.m.

Greetings:

- My name is Bonnie Grifa and I would like to welcome you to our technical assistance call on the 2009 Annual Local Record Review.
- Mary Anne White and I will present the information for today's topic.

What Do You Need To Know About Today's Call?

- Included in the information previously emailed to you, based on the indicator or indicators you are required to do a Record Review on, is a copy of the Instructions and the Record Review Form for Timely Initiation of Services, a copy of the Record Review Form for Transition, a copy of Instructions for both Transition Steps & Services and Transition Conference and a copy of the 2009 Annual Local Record Review Verification Form.
 - Please have a printed copy of the Annual Local Record Review Verification Form in front of you; **AND**
 - Please have the Record Review Forms for each of the indicators open on your computer for use during the call. We will be referencing them as we talk you through the forms and process.
- We ask that you mute your phone at this time and keep it muted until the question and answer periods. We will have a question and answer period at the end of the presentation for each indicator. Today's call is not an operator assisted call as we have done in the past.
- If we do not get to all of the questions by 2:30 p.m. or you think of an additional question after the call ends, please e-mail your question to us so it can be included in the Q&A that will be posted on the website following this call.

Why Do We Have To Do Another Annual Local Record Review So Soon After Last Years?

- OSEP recently provided clarification as to their expectation that local systems be notified within 3-4 months of a monitoring activity of any noncompliance or failure to meet a State target. Prior to this clarification, there was no requirement as to when a local system had to be notified following a monitoring activity.
- Over the past three years of the APR cycle, we have notified local systems in one letter of their results on all of the monitoring indicators. For those systems needing to develop a CAP/SEP, this allowed them to do one plan with one compliance due date vs. multiple plans and due dates.
- Since the OSEP clarification, we have been working to streamline our monitoring processes to accommodate notification sooner but still allow for limiting the number of CAP/SEPs a local system would have to do.
- As of 2009, the Annual Local Record Review is scheduled between January 15th and March 1st each year and will be due to the State Part C Office on March 1st.
- In order to transition to the new record review timeframe, it means having to do another review less than a year from the previous review. As a result, for 2009 only, we will only require the local systems that did not achieve 100% compliance for Indicators #1, 8a and 8c in the 2008 Record Review to complete the 2009 Annual Local Record Review and only on the indicator(s) where there was noncompliance. In other words, if you only had noncompliance with Transition Conference, then you only do the Record Review for Transition Conference.
- In 2010, all local systems will be required to complete the Annual Local Record Review using the new timeframe of January 15th through March 1st unless ITOTS has been updated to include the data necessary to monitor Timely Services and Transition. We continue to work towards that end.

What is the APR Monitoring Cycle Covered By the 2009 Annual Local Record Review?

- The monitoring cycle for which the 2009 Annual Local Record Review will provide data on Timely Services and Transition is for the 2008 APR cycle which covers July 1st, 2008 through June 30th, 2009 and is reported in the APR due to OSEP by February 1st, 2010.

What data will be used for the Annual Local Record Review for Timely Services and Transition?

- For Timely Services, data between August 1st and November 31st, 2008 will be used.
- For Transition, data between July 1st and December 31st, 2008 will be used.

What is the Due Date for Submitting the Record Review Forms to the State Part C Office?

- The record review forms **MUST** be completed on the computer and emailed back to your Monitoring Consultant by 5 p.m. on **March 1st, 2009**.
- Please remember that the Annual Local Record Review is a Part C Contract deliverable and is therefore tracked for timely submission to the State Part C Office as part of Monitoring Indicator #14 (timely & accurate data).
Please now look at the “2009 Annual Local Record Review Verification Form”
- This form is part of Virginia’s data verification procedures to ensure that data entered by a local system on the Record Review forms for *Timely Initiation of Services* and/or *Transition* have been reviewed and verified for accuracy **prior to submitting the data to the State Part C Office**. Verified for accuracy” means that the record review forms have been reviewed by you to ensure that all questions have been answered, the information provided is correct and in accordance with the instructions.
- You only complete one (1) **Annual Local Record Review Verification Form** even if your local system is required to do a record review for more than 1 indicator.
- **PLEASE NOTE:** This form **MUST BE SIGNED** by the Local System Manager and is therefore, required to be **faxed or mailed** to your Monitoring Consultant. In order for your local system to be monitored as having timely submitted the Annual Local Record Review, the completed record review forms submitted via email and the signed 2009 “Annual Local Record Review Verification Form” submitted via fax must be received by 5 p.m. on March 1st.

Now Mary Anne will review information with you related to Timely Initiation of Services

How Is Compliance For Timely Initiation of Services Measured?

- Timely initiation of services is a compliance indicator which means the law has set the target at 100%.
- Virginia now defines “timely” as 30 calendar days from the signature of the parent on the IFSP. The date the parent signs the IFSP counts as Day 1.
- The calculation is: *The number of infants & toddlers with an IFSP who received the services on their IFSP in a timely manner divided by the total number of infants & toddlers with an IFSP multiplied by 100.*
- There are system and non-system reasons why the 30-day timeline was not met that are required to be documented and reported to OSEP for the APR. Please refer to Appendices B & C in the instructions for an explanation of those reasons and be sure to reference these as you answer the question on the record review form related to the reason when applicable for why the 30-day timeline was not met. If you have a reason that does not seem to fit with one of the reasons listed on the form, please contact your Monitoring Consultant who will assist you in identifying which reason is most appropriate. The Local system is not considered to be out of compliance when the reason is due to one of the non-system reasons.

How Will the Records Be Selected For Each Local System For Timely Initiation of Services?

- You will **not** be required to select the records to be reviewed in your local system **or** to determine the representative sample. **We will do that part for you.**
- OSEP requires that the sample of records reviewed must be representative of each of the local early intervention systems. We will do this by selecting the children following the **representative sample criteria** summarized in Appendix A. If you look at Appendix A on page 4, you will see that children were selected using age, race/ethnicity and gender. Once the representative sample criteria are met for the number of records required for your local system, any additional records needed to meet the total number of records required for your system are then randomly selected.
- The number of records required to be reviewed is based on the annualized child count for your local system for December 2nd, 2007 through December 1st, 2008. Smaller systems are required to review 14 records, medium-sized systems 22 records and larger systems 30 records. There is a table on page 1 of the instructions which was used to determine the number of records for your local system.
- The names of the children selected and their ITOTS ID numbers will be sent to the Local System Manager via fax no later than January 15th.

What Will You Need In Order To Complete the Record Review for Timely Initiation of Services?

- The child's most recent initial or annual IFSP completed between August 1st and November 30th, 2008;
- Any supporting documentation in the child's record identifying the date a service began and the reason the 30-day timeline was missed (if applicable).
- A copy machine: We are asking as part of the 2009 Data Verification procedures, that you make two copies of the documentation you used to answer the questions. You will keep one copy on file at your location with your copy of the completed record review forms and you will fax or mail the other copy to your Monitoring Consultant.
- Before beginning each child's record review, you will need to review the selected IFSP to make sure the parent has signed it; AND
- You will need access to a computer with the Excel Record Review Form for this indicator.

Now go ahead and open the Excel spreadsheet for *Timely Initiation of Services* on your computer.
ALLOW TIME TO DO THIS

Please look at the “Child Tabs” at the bottom of the Excel spreadsheet:

- The Record Review form has been set up as an Excel spreadsheet with tabs at the bottom, one tab for each child and is the same form and format as last year's Record Review.
- Each tab will contain a record review form for each child.
- You need to complete one tab per child based on the required number of records to be reviewed for your local system. If your local system is required to complete 14 record reviews, use tabs 1-14; if required to do 22 record reviews, use tabs 1-22 and if required to do 30 record reviews, use tabs 1-30. We sent you the form that should be used by your local system.
- Go ahead and click on the “Child 1” tab.
- You will need to type in the child's ITOTS number and the date the parent signed the IFSP where indicated at the top of each individual child form. This information **MUST** be entered in order for calculations to be automatically computed and to be calculated correctly.

- **PLEASE NOTE (this is new this year):** As part of our data verification processes for 2009, we are asking that you copy the signature page of each child's IFSP and fax or mail this to your Monitoring Consultant with the rest of the documentation used to support your answers to the Record Review questions for Timely Services.

Now Look at the "Services" Column:

- Click on the first line in the Services column and you will see a drop down button appear.
- Click on the drop down button to select one of the services listed on the IFSP.
- The services are listed in alphabetical order.
- **PLEASE NOTE:** The very last service option on the drop down menu is "No new service". Please use this when no new services were added since the previous IFSP.
- You continue this process for each of the records you will be reviewing using one line per service until all of the services listed on the child's IFSP are entered on the form.

Some Important Things To Know and Remember About This Indicator:

- New Service(s) Added to the Child's IFSP After the Date of the IFSP are **NOT** included in the record review which means that Service(s) Added at an IFSP Review are **NOT** included in the record review (REPEAT).
- If the IFSP used for the record review is an Annual IFSP, only review the new service(s) added at the Annual IFSP. Do **NOT** include existing services that continue from the previous IFSP. (REPEAT)
- The Start Date for Each Entitled Service must be on or after the date the IFSP is signed by the parent. If the start date for a service is before the date of the IFSP, you will get an error message and you will not be able to proceed until the start date is corrected.

Now Look at the "Date Service Started" Column

- You will enter the actual start date for each service listed in the Services Column.
- If the service has not started as of the date you are completing the record review, type in the date you completed the record review in the "Date Services Started" column and make a notation at the bottom of the column for that child stating "Service not yet started".

Some Important Additional Things To Know and Remember About This Indicator:

- Service Coordination activities can count as having started on the IFSP date.
- Other entitled supports and services can count as having started on the IFSP date if the service provider delivers an entitled service after the IFSP meeting that is separate from the IFSP meeting and documents this in the child's record.

Now Look at the "Days till Service Started" Column

- **Do not enter any data in this column.** This number is automatically calculated based on the data previously entered and is highlighted in yellow when a service began after the 30th day.
- **PLEASE NOTE:** When a service begins on the same date as the IFSP, the computer calculates this as a 0 and the column will be blank. **Please do not type in one (1) if this occurs.**

Now Look at the "Justification" Column

- If a service is listed as having started after the 30th day in the "Days till Service Started" Column, then click on the line next to the "Days till Service Started" column for that service in the "Justification" column and a drop down button will appear with a list of reason options.
- Please refer to Appendix B for an explanation of each of the Family/Non-System Reasons and to Appendix C for an explanation of each of the System Reasons.

- Click on the drop down button to select the appropriate reason why the service did not begin within 30 days of the parent's signature on the IFSP.
- Based on the data entered in this column, the number one (1) will automatically appear next to the reason for any service that did not start within the 30-day timeline. The number (1) is used to assign a numeric value to each reason so the reasons can be summed as part of the automatic calculations.

Some Important Additional Things To Know and Remember About This Indicator:

- Again, refer to Appendix B: *Family/Non-System Reasons Why Services Began Beyond 30-Calendar Days* & Appendix C: *System Reasons Why Services Began Beyond 30-Calendar Days* in the instructions for an explanation of each reason listed in the drop down menu.
- If you do not enter a reason when a service started after the 30th day, your system's record review will be sent back to you to include this information. **PLEASE NOTE:** For monitoring purposes for Indicator #14 (timely and accurate data), your Annual Local Record Review submission will be considered not accurate and not submitted on time if this occurs.
- The reason used in the "Justification Column" needs to be clearly documented in the child's record. Remember to make 2 copies of the documentation of the reason, one to keep and one to submit with your record review to your Monitoring Consultant.

Now look at the lower right hand corner of the Child's form:

- You should see a summary of the data entered for this Child's "Timely Initiation of Services".

Now click on the "Summary Sheet" tab at the very right of the Excel spreadsheet.

- **Do not enter any data on this page;**
- A summary of all of the records reviewed for your local system will automatically be provided here calculating:
 - The total number of records reviewed.
 - The total number of children in your local system whose services started after 30 days for system reasons;
 - The total number of children in your local system whose services started after 30-days due to family/non-system reasons.
 - The local system's percentage of compliance for timely initiation of services. This percentage is your local system's preliminary status for Indicator #1 for the July 1st, 2008 through June 30th, 2009 APR/Monitoring cycle and will be reported to OSEP in the APR, to the public and used in making your local system's determination in 2010.
 - **PLEASE NOTE:** The information calculated on the "***Summary Sheet***" is accurately reflected only after all of the required records are reviewed and entered in the Excel spreadsheet.
 - The State Part C Office will verify that the automatic results calculated correctly so please consider the results on the Summary as preliminary results. We will notify you of your official results after we have verified that all questions have been answered and the results calculated correctly.

This concludes the "*Timely Initiation of Services*" section of today's call.

Please unmute your line if you have a question related to the record review forms and process for Timely Services.

This is Bonnie and I will now review information with you related to *Transition Steps and Services AND Transition Conference*.

PLEASE NOTE: There are separate instructions for Transition Steps and Services and Transition Conference.

How Is Compliance For Transition Steps and Services & Transition Conference Measured?

- Transition is a compliance indicator which means the law has set the target at 100%.
 1. IFSPs with Transition Steps and Services is calculated as: The # of children exiting Part C who have an IFSP with transition steps and services divided by the # of children exiting Part C X 100.
- AND**
- 2. Transition Conference is calculated as: The # of children exiting Part C and potentially eligible for Part B where the transition conference occurred divided by the # of children exiting Part C who were potentially eligible for Part B x 100.
- **PLEASE NOTE:** There are system and non-system reasons why the transition conference timeline was not met that are required to be documented and reported to OSEP for the APR. Please refer to Appendix B of the instructions for an explanation of those reasons. The Local system is not considered to be out of compliance when the reason is due to a non-system reason.

How Will the Records Be Selected For Each Local System For Transition Steps and Services and Transition Conference?

- As with *Timely Initiation of Services*, you will **not** be required to select the records to be reviewed in your local system **or** to determine the representative sample. We will do that part for you.
- Just as with *Timely Initiation of Services*, OSEP requires that the sample of records reviewed be representative of each of the local early intervention systems. We will do this by selecting the children following the representative sample criteria summarized in Appendix A. If you look at Appendix A in the instructions, you will see that children were selected using age, race/ethnicity and gender. Once the representative sample criteria are met for the number of records required for your local system, any additional records needed to meet the total number of records required for your system are then randomly selected.
- The number of records selected is based on the total number of children transitioning from your local system:

If you have 0 - 20 children exiting Part C	Then you must review 10 records
If you have 21 - 100 children exiting Part C	Then you must review 15 records
If you have 101 – 300 children exiting Part C	Then you must review 20 records

- The names of the children selected and their ITOTS ID numbers will be sent to the Local System Manager via fax no later than January 15th.

What Will You Need In Order To Complete the Record Review For Transition?

- You will be reviewing transition information for children who transitioned between July 1st and December 31st, 2008 and were not previously reviewed in the 2008 Annual Local Record Review due last August;
- You will need any documentation in the child's record related to transition steps and services and/or transition conference as applicable including the transition section of the child's current IFSP and any relevant contact/progress notes;
- You will need access to a copy machine: We are asking as part of the 2009 Data Verification procedures, that you make two copies of the documentation used to answer the questions. You will keep one copy on file at your location with your copy of the completed Transition Record Review form and you will fax or mail the other copy to your Monitoring Consultant.
- You will need access to a computer with the Excel Spreadsheet for this indicator.

Now go ahead and open the Record Review Form for *Transition* on your computer.

- As with Timely Services, the Record Review form has been set up as an Excel spreadsheet however, in this case, there is ***not*** a tab for each child. Instead, there is one form which includes a column for each child. The form and format are the same as the 2008 Record Review.
- You need to complete one column for each child based on the required number of records to be reviewed for your local system.
- Enter the child's ITOTS ID number. **PLEASE NOTE:** The child's ITOTS ID number **MUST** be entered in order for calculations to be automatically computed.
- If you look at the bottom of the page in the right hand corner, you will see an arrow pointing to the right. If you click once on this arrow, it will move the form so the next Column will appear next to the questions. (In this case Column two (2)). If you continue to click this right arrow button, the form will continue to move to the right, column by column, one column for each click. To move the column back so Column 2 appears again, click on the arrow pointing to the left on the bottom of the page in the left hand corner until you get back to Column 2.

If you are required to complete the Transition Steps and Services Record Review, listen carefully now:

- **You only have to answer question #2 for each child (REPEAT);**
- Click on the white space in Column 1 next to the 2nd question: Does the IFSP include planned steps and services? You will see a drop down button appear.
- Click on the drop down button to select either Yes or No.
- Follow this process until you have answered question #2 for all of the children selected for Steps and Services.

Something Important to Know and Remember About Transition Steps and Services:

For compliance with this indicator, documentation in the transition section of the IFSP and/or in contact/progress notes needs to reflect completion of the appropriate transition steps and services related to that child's transition destination.

If you are required to complete the Transition Conference Record Review, listen carefully now:

- **You only have to answer questions #1,5,6 and 7 (as applicable) for each child (REPEAT);**
- Click on the white space in Column 1 next to the first question: “Is this child potentially eligible for Part B services”? You should see a drop down button appear. Click on the drop down button to select either Yes or No.
- Now click on the white space in Column 1 next to question #5: “Did parent approve the 90-day transition planning meeting”? Click on the drop down button to select either Yes or No.
- Now click on the white space in Column 1 next to question #6: Was transition planning meeting held within the timeline”? Click on the drop down button to select either Yes or No.
- If the answer to question #6 is No, proceed to question #7: “If not, why not”? Click on the drop down button to select the appropriate reason. Be sure the reason selected appears on the form correctly. Please refer to Appendix B in the instructions for an explanation of each of the reason options in the drop down box.
- Follow this process until you have answered questions #1, 5, 6 and 7 (as applicable) for ALL of the children selected for the Transition Conference Record Review.

Some Important Things To Know and Remember About Answering the Transition Conference Questions:

- If the answer is **NO** to Question #1, “Is this Child Potentially Eligible for Part B Services, then only answer question #1 for that child unless you are required to also complete the Record Review for Transition Steps and Services;
- If the answer is **NO** to Question #5, “Did Parent Approve Transition Planning Meeting” then skip Questions #6 & #7;
- “**Potentially eligible for Part B**” is defined as either the start of the school year in which the child turns two by September 30th or the child’s 3rd birthday depending on when the parent(s) choose to transition. A child may be **potentially eligible for Part B** even if their family chooses not to pursue transition to Part B;
- Please keep in mind the following:
 - With the family’s approval, an individual transition planning conference between the family and the LEA is held at least 90 days and up to nine months before the child’s third birthday, **OR** the date on which the child is eligible under Part B of IDEA.
 - Documentation of parent approval for the transition conference is the parent’s signature on the **Parent Approval for Transition Planning Conference Form** **OR** the parent’s signature in the designated place on the transition page of the revised statewide IFSP form **OR** documentation in the child’s record that the parent was present at the Transition Planning Conference.
- If you are required to do a Record Review for both Transition Steps and Services **AND** Transition Conference, you use one Transition Record Review Form and answer all of the questions except #3 & #4 which pertain to Notification to the LEA and are not part of the 2009 Annual Local Record Review. Only answer #1, 2, 5, 6, and 7 as applicable.

SUMMARY OF RESULTS:

- Once you have answered transition questions 1, 5, 6 and 7 (as applicable) for **ALL** of the children, you are ready to review the **Summary** information calculating your system's compliance with Transition Steps & Services and/or Transition Conference.
- This **Summary** will automatically be provided in the section below the questions.
- **Do not enter any data in this section.** The computer will calculate this information based on the data you entered for each child.
- **PLEASE NOTE:** The information provided in the **Summary** will only be accurate **AFTER all of the children's data is entered** as the calculations are based on the total number of records your local system is required to review. Each child's ITOTS ID **MUST** be entered in order for calculations to be automatically computed & accurate.
- The percentage listed in the **Summary** is your local system's preliminary status for Indicator #8a and/or #8c for the July 1st, 2008 through June 30th, 2009 APR/Monitoring cycle and will be reported to OSEP in the APR, to the public and used in making your local system's determination in 2010.
- The State Part C Office will verify that the automatic results calculated correctly so please consider the results on the Summary as preliminary results.

This concludes the Transition section of today's call. Please unmute your line if you have a question related to the Record Review forms or process for Transition.

To Summarize Some Important Points in Today's Call

- The due date for all forms, supporting documentation and the signed verification form is by 5 p.m. on March 1st;
- Everything is submitted to your system's assigned Monitoring Consultant;
- There are a potential of two record review forms that are to be **completed on the computer and emailed back** to your Monitoring Consultant no later than **March 1st** depending on which indicators your system is required to do a record review on. They are:
 - The **Record Review Form for Timely Initiation of Services**; AND/OR
 - The **Record Review Form for Transition** (which includes both Steps and Services and Transition Conference, as applicable);
- Remember you are required this year to copy and mail or fax us the documentation used to support the answers to the questions including a copy of the parent's signature on the IFSP if required to do the record review for Timely Services;
- Fax the signed **Annual Local Record Review Verification Form**;
- The data reflected in this record review will be used in the Annual Performance Report due to OSEP in February 2010 and will be used to make Virginia's and each local system's 2010 **Determination** and will be used for public reporting in 2010;
- Please contact your Monitoring Consultant if you have any questions or issues related to the record review forms or process.
- Thank you for participating on today's call.