

Timely Initiation of Services Instructions

2009 Annual Local Record Review

Monitoring Period: 8/1/08-11/31/08

(To Be Reported In the Annual Performance Report in February 2010)

GENERAL INFORMATION

Compliance Measurement: 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. Virginia defines timely as 30 calendar days from the parent's signature on the IFSP.

Selection of Records: The State Part C Office will randomly select the children whose records are to be reviewed by following representative sample criteria (See Appendix A). The number of records selected will be based on the minimum required number of records for your local system (See chart below). The list of ITOTS numbers for the children selected by the State Part C Office will be sent to the Local System Manager via fax by January 15th, 2009. The number of records reviewed for Timely Initiation of Services will be based on the local system's annualized child count (12/2/2007 – 12/1/2008):

If you have this number of children in your annualized child count:	Then you must review this number* of records
0 - 200	14
201 - 800	22
Over 800	30

Monitoring Timeframe: IFSPs completed between August 1, 2008 and November 31, 2008

WHAT YOU NEED TO DO

Preparation:

- Use the most recent initial or annual IFSP for each child selected as well as 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).
- Make two copies of the documentation that supports your answers on the Record Review form for each child. Keep one copy on file at your location and submit the other copy to the State Part C Office to be used as part of the 2009 Data Verification procedures.

Forms:

- 1) **Timely Initiation of Services Excel Spreadsheet:** The record review must be completed on the computer using the Excel spreadsheet provided. The record review form has been set-up in Excel to automatically compute the necessary calculations.
- 2) **Annual Local Record Review Verification Form:** This form is part of our State data verification procedures to ensure that data entered by a local system on the required forms 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 to ensure that all questions have been answered, the information provided is correct and in accordance with the instructions. This form **MUST BE SIGNED** by the Local System Manager.

Due Date: March 1st, 2009

- **Email the Annual Local Record Review Excel Spreadsheet** to your Monitoring Consultant by the due date.
- **Fax the Annual Local Record Review Verification Form** to your Monitoring Consultant by the due date.
- **Fax or mail** the documentation that supports your answers on the Record Review form and the signature page of the IFSP documenting the parent's signature and date signed to your Monitoring Consultant by the due date.
- **PLEASE NOTE:** 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). Both the Record Review form & the signed Verification form need to be received by 3/1/09 to be considered timely submitted.

Completing the Excel Spreadsheet Record Review for *Timely Initiation of Services*

Child Tabs

- The form has been set up as an Excel spreadsheet with tabs at the bottom, one tab for each child.
- Each tab contains one record review form.
- Complete one tab per child based on the required number of records to be reviewed for your local system.

ITOTS ID:

- Type in the child's ITOTS ID number. This information **MUST** be entered in order for calculations to be automatically computed.

Date of Parent's Signature on IFSP:

- Please check to make sure the parent signed the IFSP before entering data onto the record review form for each record reviewed.
- Make a copy of the parent signature page of the IFSP. This page must be faxed or mailed to the State Part C Office with the rest of the documentation used to support your answers to the Record Review questions.
- Type in the date the parent signed the IFSP where indicated. This information **MUST** be entered in order for calculations to be automatically computed.

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 a service listed on the child's IFSP **OR** to select *No New Services*, when applicable.
- Continue this process using one line per service until all of the services listed on the child's IFSP are entered on the form OR *No New Services* is selected when appropriate.

Some Important Things To Know and Remember:

- New Service(s) Added at an IFSP Review to the Child's IFSP (After the Date of the IFSP) are **NOT** included in the record review.
- 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.
- 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.

Date Service Started Column

- Enter the actual start date for each service listed in the Services Column OR type in the date you complete the Record Review if the service has not yet started. Also, please make a notation at the bottom of the Record Review form stating "Service Has Not Yet Started".

Some Important Things To Know and Remember: 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.

Days till Service Started Column

- **Do not enter any data in this column** (The number will automatically be calculated based on the data previously entered and is highlighted in yellow when a service begins 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 this column will be blank. **Please do not type in one (1) if this occurs.**

Completing the Excel Spreadsheet Record Review for *Timely Initiation of Services*

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 first line in the “*Justification*” column and a drop down button will appear.
- Click on the drop down button to select the reason why the service did not begin within 30 days of the parent’s signature on the IFSP. (See Appendix B & C)
- Based on the data entered, 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 Things To Know and Remember:

- Please 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* 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. 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.
- The reason used in the “Justification Column” needs to be clearly documented in the child’s record.
- Please make a copy of the documentation used to answer this section of the record review in the event your local system is selected for data verification or another monitoring activity & for your own review of data accuracy. Please file the copied documentation with your record review forms.

Summary of Each Child’s Timely Initiation of Services:

- A summary for each child will automatically be provided in the lower right hand corner of each child’s form calculating:
Services:
 - The total # of services out of the 30-day timeline for a system reason;
 - The total # of services out of the 30-day timeline for a family (non-system) reason;

Child: You will see either a (1) if the child meets the 30-day timeline or a (0) if the child has a service that does not meet the 30-day timeline next to the following:

- The total children out of the 30-day timeline for a system reason;
- The total # of children out of the 30-day timeline for a family (non-system) reason.

Summary Sheet Tab: Select the last tab on the Excel Spreadsheet entitled *Summary Sheet*.

- **Do not enter any data on this page**
- Calculations will be automatically computed based on the information entered on each individual child’s record review form.
- A summary for all 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 status for Indicator #1 for the July 1st, 2008 through June 30th, 2009 APR/Monitoring cycle and will be reported 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.

Record Review for Timely Initiation of Services

APPENDIX A

Representative Sample Record Selection Criteria for Timely Initiation of Services

(This will be done by the State Part C Office for Your Local System)

For local systems required to review **14 records**, the following sample record selection criteria was used:

# Of Records	Criteria*
2	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

For local systems required to review **22 records**, the following record selection criteria must be met:

# Of Records	Criteria*
2	Children age 0-1 year
2	Children age 1-2 years
2	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

For local systems required to review **30 records**, the following record selection criteria must be met:

# Of Records	Criteria*
3	Children age 0-1 year
3	Children age 1-2 years
3	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
3	Males
3	Females

Once the representative sample criteria were 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 were randomly selected.

Record Review for Timely Initiation of Services

APPENDIX B

Family/Non-System Reasons Why Services Began Beyond 30-Calendar Days (Local system is not considered to be out of compliance)

Child/Family Illness: There must be documentation that either the child or the parent was ill preventing the service from being provided.

Family Scheduling Preference: This category includes, but is not limited to, documentation of the following circumstances:

- **Family vacation**
- **Family prefers to schedule the first visit later** than 30 days after signing the IFSP
- **Parents chose not to sign the Financial Agreement form yet:**
 - There must be documentation that attempts were made to complete the financial 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 financial agreement 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** documentation 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.

Team Planned a Later Start Date to Meet Child/Family Needs:

- Defined as: The IFSP team determined the service start date to be a date after the 30-day timeline for a specific reason. This is used for the convenience of the family (i.e. Going on vacation for several weeks and family will not be back prior to the 30-day timeline; Child is having surgery and will be hospitalized for a period of time, etc.)
- This mitigating circumstance is **NOT** to be used for system reasons for a delay in meeting the 30-day timeline (e.g. Provider shortage; can't get an audiological evaluation appointment until after the 30-day timeline ends etc.)

Temporarily Lost Contact: There must be documentation in the child's record of multiple attempts made to locate the family.

Natural Disaster/Severe Weather:

- This includes natural or man-made disasters and severe weather situations. Severe weather situations may include, but are not limited to the following: **hurricanes, blizzards, severe ice storms, tornadoes, and flooding.**
- Use this reason **only** if the severe weather condition effected the provider's ability to keep the appointment with this specific family at the specific time it was scheduled (i.e. The snow was heavy enough that, although the main roads were clear, it was unsafe to travel the heavily snow-covered, hilly, tertiary road leading to the child's house for their 4:00 IFSP meeting on Wednesday).
- If the provider fails to keep an appointment for an evaluation and/or IFSP meeting because the agency has a policy to close when the public school system closes (but the provider could have safely reached the family's home at the time of their appointment), then use the reason for exceeding the 30-day timeline as *Provider Unavailability*.
- If the family calls to cancel the appointment due to disaster/severe weather, then the use the reason for exceeding the 30-day timeline as *Family Scheduling Preference*.

Record Review for Timely Initiation of Services

APPENDIX C

System Reasons Why Services Began Beyond 30-Calendar Days

(Local system is considered to be out of compliance)

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

- **Provider absence:** Includes vacation, illness, attending training, etc.
- **No 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 prior to the 30-day timeline expiring.

Foster/Surrogate Parent Issue:

- If there are situations that delay the start of services beyond the 30-day timeline due to the inability of the local system to identify a parent, locate the parent, issues with the child being a ward of the State or in assigning a surrogate parent, then use of the "Foster/Surrogate Parent Issue" is used to document the reason services began beyond the 30-day timeline. There must be documentation in the child's record to describe the specific situation and the efforts made by the local system to resolve the situation in a timely manner.

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 must 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 this 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."