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| **REFERENCES TO ASSIST IN MONITORING PREPARATION** |
| In your early intervention practice, you will have referred to the NYS Early Intervention regulations, memoranda documents, and your NYS Early Intervention Provider Agreement. Your thorough review of all requirements in these resources will assist you in preparing for your monitoring review. **Instructions and required forms for early intervention monitoring, including optional self-assessment**: [https://NYEIP.kepro.com/provider](https://NYEIP.kepro.com/providers)s. **NY State DOH Early Intervention Program**: <https://www.health.ny.gov/community/infants_children/early_intervention/>* **Regulations**: <https://www.health.ny.gov/community/infants_children/early_intervention/regulations.htm>
* **Guidance/Memoranda Documents**: <https://www.health.ny.gov/community/infants_children/early_intervention/memoranda.htm>
* **Health and Safety Standards**: [http://www.health.ny.gov/community/infants\_children/early\_intervention/service\_providers/health\_and\_safety\_standards.htm](http://www.health.state.ny.us/community/infants_children/early_intervention/service_providers/health_and_safety_standards.htm)
* **Training**: [http://www.health.ny.gov/community/infants\_children/early\_intervention/training.htm](http://www.health.state.ny.us/community/infants_children/early_intervention/training.htm)

**Confidentiality**:* **Federal law-Family Educational Rights and Privacy Act (FERPA)** <http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html>
* **Confidentiality and consent form – HIV/AIDS**: <http://www.health.ny.gov/forms/instructions/doh-2557_instructions.pdf>; <http://www.health.ny.gov/forms/doh-2557.pdf>
* **Confidentiality Attachment** – Components to Include/Describe in Written Policy and/or Procedure for Maintaining Early Intervention Records (sent by Kepro in confirmation packet).

**Caring for Children with Life Threatening Allergies**:[http://www.health.ny.gov/professionals/protocols\_and\_guidelines/docs/caring\_for\_students\_with\_life\_threatening\_allergies.pdf](http://www.health.state.ny.us/professionals/protocols_and_guidelines/docs/caring_for_students_with_life_threatening_allergies.pdf)**Child Abuse/Neglect/Maltreatment**: <http://ocfs.ny.gov/main/cps/>**Toy/Product Recalls**: <https://www.cpsc.gov/Recalls/>  |

| **SEND PRIOR TO MONITORING** |
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| **Policies and Procedures:** As soon as possible, no later than 2 weeks prior to review: E-mail to Kepro all written policies and procedures as outlined on page 3 of this checklist, including those on Confidentiality.  | **Date Sent:** |
| **Liability Insurance:** As soon as possible, no later than 2 weeks prior to review: E-mail to Kepro a copy of the current agency liability insurance coverage. | **Date Sent:** |
| **CHILD RECORDS** |
| * + *Prepare for each child on the list.*
 | **Yes** | **No** |
| **Child records content**:Please provide access to client records, including hardcopies and/or navigating your Electronic Health Record (EHR) platform, from the date the child was referred to the agency to the current date or date of discharge. Ensure child records and child lists are handled in a manner that protects personally identifiable information. Please include all records, including consent forms, medical information, evaluations, progress notes, session notes, and prescriptions/orders for service. | **[ ]**  | **[ ]**  |
| **PERSONNEL RECORDS** |
| Annual health assessment: Documentation is present. | **[ ]**  | **[ ]**  |
| Training: Documentation of service provider, service coordinator, and evaluator training per the Provider Agreement.  | **[ ]**  | **[ ]**  |

| **DOCUMENTS TO BE MADE AVAILABLE** |
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|   | Yes | No |
| Parental consent form to use unencrypted email, if applicable.  | **[ ]**  | **[ ]**  |
| Document used for child record access (access log).  | **[ ]**  | **[ ]**  |
| **Document provided to parents** describing the process they must follow to inspect and review their child records. | **[ ]**  | **[ ]**  |
| Document used for parental consent for release of information.  | **[ ]**  | **[ ]**  |
| Behavior management plans that have been developed for any child within the past year, regardless if the child's file is reviewed.  | **[ ]**  | **[ ]**  |
| Document that informs parents of sick day policy and procedures. | **[ ]**  | **[ ]**  |
| Incident reporting: Documentation, including incident reports, of all health and safety related incidents or injuries that occurred while children were receiving services. | **[ ]**  | **[ ]**  |
| Fire inspection: Most recent fire inspection by local government authority or current Day Care License; within 1 year, if facility-based. | **[ ]**  | **[ ]**  |
| Evacuation drill records, if facility-based. | **[ ]**  | **[ ]**  |
| Allergy plans for children who have or have had a plan in the past 2 years, if facility-based. | **[ ]**  | **[ ]**  |
| Child emergency consents and parental contact information: If using a community site and parent is not present. | **[ ]**  | **[ ]**  |

| **WRITTEN POLICIES** |
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| *Submit all written policies at least 2 weeks prior to your review. The Confidentiality Attachment sent with your confirmation packet, and the Health and Safety Standards located on the DOH website will assist you to ensure your policies are complete.* | Yes | No |
| Procedure to ensure records containing personally identifiable information are maintained in secure locations and disposed of properly [PI-42B]. | **[ ]**  | **[ ]**  |
| Procedure to ensure records containing personally identifiable information are maintained securely and disposed of properly when stored off-site, if applicable [PI-42C]. | **[ ]**  | **[ ]**  |
| Procedure to ensure information on computers is protected and if removable storage devices are used how they are secured [PI-42E]. | **[ ]**  | **[ ]**  |
| Procedure for use of email [PI-42F]. | **[ ]**  | **[ ]**  |
| Procedure to ensure confidentiality of faxed information containing personally identifiable information is maintained [PI-42G]. | **[ ]**  | **[ ]**  |
| Procedure to ensure confidentiality is maintained when lists contain record of access for multiple children [PI-42I]. | **[ ]**  | **[ ]**  |
| Procedure for parental notification of process to review their child's record [PI-42J]. | **[ ]**  | **[ ]**  |
| Procedure for ensuring parental access to their child's record [PI-42K]. | **[ ]**  | **[ ]**  |
| Procedure to amend a child's record [PI-42M]. | **[ ]**  | **[ ]**  |
| Procedure to obtain consent to release information [PI-42O]. | **[ ]**  | **[ ]**  |
| Procedure to protect records containing sensitive information and HIV related information [PI-42Q]. | **[ ]**  | **[ ]**  |
| Procedure to report suspected child abuse and maltreatment [PI-47].  | **[ ]**  | **[ ]**  |
| Procedure to address behavior injurious to the child or others and use of corporal punishment and aversive interventions [PI-50].  | **[ ]**  | **[ ]**  |
| Procedure to address child and provider illness and emergencies [PI-52]. | **[ ]**  | **[ ]**  |
| Procedure to address unsafe conditions encountered in the home environment [PI-81].  | **[ ]**  | **[ ]**  |