Rating Scale: Satisfactory (S), Not Satisfactory (NS), or Not Applicable (NA)

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| --- | --- | --- | --- |
| **Contract Monitoring Date:** | **CIS State Team Liaison:** | **Total # of client files reviewed** | **CIS Coordinator:** |
|  |  |  |  |
|  | **Description** | **S** | **NS** | **N/A** |
| **CRR-01** | **File includes ‘Access to File’ form, with required information***Best practice to meet IDEA Part C/FERPA record of access (34 CFR* §303.406) *and Medicaid access requirements.* |  |  |  |
| **CRR-02** | **All CIS forms and case notes have appropriate signatures with credentials.**Signatures with credentials of each staff member appropriate to the service/activity the individual performed appear on all evaluation, assessment, notes, etc. within the record.*Services delivered by qualified staff is a Contract and Medicaid requirement.* |  |  |  |
| **CRR-03** | **Knowledge of community services**Evidence of connecting client with community services or resources, if applicable*CIS Contract**Attachment A: connecting clients with community services is central to the CIS system and service delivery (See Section A, B(b), D(VI))* (One Plan/case notes) |  |  |  |
| **CRR-04** | **All services are available year round**Evidence of services provided year round, if applicable*CIS Contract Attachment A specifies that services be available year round (Section D(I(7)) and D(V(5(d)))* (Case Notes) |  |  |  |
| **CRR-05** | **All services are provided within the CIS/EI/FAP Timelines\*** *(See CIS Contract Appendix 3)***:**1. Initial contact within 5 calendar days of referral (CIS-01 and Case notes or contact log)
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| 1. Evaluation occurs within 45 days of referral date (CIS-01 and Evaluation & case notes)
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| 1. Initial One Plan meeting within 45 days of referral (CIS-01 and One Plan meeting notes)
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| 1. Services to start within 30 days of date One Plan is signed by family (One Plan & case notes)
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| 1. 6 month periodic review from date of signed One Plan (One Plan & One Plan Review)
 |  |  |  |
| 1. Annual review from date of signed One Plan (One Plan & Annual Review)
 |  |  |  |
| 1. Transition planning (*Part C:* notification to LEA of children potentially eligible for Part B between 6 and 3 mos. prior to child’s 3rd birthday/ transition plan and conference completed at least 90 days prior) (Transition Plan, case notes & letters)

\*see Timelines guidance regarding how dates shift when new services are added |  |  |  |
| **CRR-06** | **All services are provided within a child/family’s natural environment, or justification documented for service not in a natural environment.** As identified by family, and documented in file.*CIS Contract Attachment A: Services in a natural environment to maximum extent possible* *(Section B(h), and VI(4))* (One Plan & case notes) |  |  |  |
| **CRR-07** | **Evidence of family-centered practices**Good summary report in the One Plan with family’s concerns/hopes/priorities and other documentation that clearly demonstrates the client/family’s voice is evident within documentation of case planning and service provisions.*CIS Contract Attachment A:**partnering with families or child care programs, and service providers in plan development and creating plan goals… which are meaningful to the family or child care program (Section D(VI)); Each job description includes knowledge of family-centered practices (Appendix 1.)* (One Plan & case notes) |  |  |  |
| **CRR-08** | **File includes essential individual/demographic/financial/insurance information:** participant name; Medicaid ID; service provider(s) name; dates of service(s); service(s) *CIS Contract Attachment A (Section F)* (One Plan cover page, CIS-02 Supplemental “Insurance”, etc…) |  |  |  |
| **CRR-09** | **File includes referral & intake information***CIS Contract**Attachment A: all CIS practitioners must access the CIS forms (Section D(I(3)); meet to review referrals and intakes (D(I(8(b))); and referral process is defined (D(III))* (CIS-01 & CIS-02) |  |  |  |

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|  | **Description** | **S** | **NS** | **N/A** |
| **CRR-10** | **File includes all required signed consent/authorization, for initial services and any changed/added services or additional evaluations.***CIS Contract Attachment A: written consent to be obtained at intake (Section D(III(6)); for the initiation/change/continuation of services (D(V)); consent to bill insurance (D(VI(d(5)))); for transition (D(VII(2(b))))* (One Plan) |  |  |  |
| **CRR-11** | **File includes health & dental information, as appropriate***CIS Contract Attachment A; purpose of CIS is to increase access to health insurance, medical and dental homes (C(4)); maternal child health nursing and family support are responsible for increasing this access (Section D(V(a)) & D(V(b&c))*(CIS-02; One Plan Adult/Child Health Pages) |  |  |  |
| **CRR-12** | **File includes screening; evaluation(s)\*; and there is evidence of ongoing assessment, including dates and results, if applicable** *CIS Contract**Attachment A; CIS services provide comprehensive screening and assessment (Section B(b)); Contractor will ensure comprehensive initial evaluation and ongoing assessment (D(IV(1))); (see also (D(VI) all services)* |  |  |  |
| **CRR-13** | **File includes eligibility determination, when required***CIS Contract**Attachment A: primary service coordinator is responsible for coordinating what is needed for determining eligibility (Section D(V(5)))* (for EI: Eligibility Determination form/letter – see CIS Toolbox)  |  |  |  |
| **CRR-14** | **File contains One Plan, with outcomes, service grid, and record of on-going visit notes/documentation/updates on achieving outcomes***CIS Contract**Attachment A; Contractor will use the One Plan as the single service plan for all CIS services (Section D(V); & D(VI))* (One Plan & case notes) |  |  |  |
| **CRR-15** | **File includes dates and documentation of six month and annual plan reviews.***CIS Contract Attachment A: Integrated Services requires primary service coordinators to plan and facilitate six month and annual One Plan reviews (Section D(V(2)))*(Plan Review & case notes) |  |  |  |
| **CRR-16** | **File contains evidence of multi-disciplinary consultation and/or review team meetings**Evidence of these is recorded on assessments, One Plan team membership, and in meeting notes (plan review form)*CIS Contract Attachment A: systematic referral and intake process that leads to a multidisciplinary and consultative team review (Section B(b)); purpose of CIS emphasizes multidisciplinary screening and assessment (C(5) & D(IV))* |  |  |  |
| **CRR-17** | **File includes transition/exit planning, if applicable, and copies of notification to the LEA and State office for children potentially eligible for Part B special education services.***CIS Contract**Attachment A: provide support to families transitioning (Section B(c)) & D(V(2a & 4); transition planning (D(VI(C(2(d))) & VI(d(1(f)))) & VII)* (One Plan; Transition Plan & case notes) |  |  |  |
| **CRR-18** | **Client Visit Notes (aka. Progress Notes, Clinical Contact Notes, Home Visit Notes, etc…) are legible and signed and are in compliance with AHS and Medicaid requirements:** Relationship of activities to outcomes is clearly articulated. Any deletions/corrections are made without obliterating text (no white out; a single line through text with initials is acceptable) Notes include client narrative (activities done during the visit(s)), objective staff observations, summary of visit(s), plans for next steps.*CIS Contract**Attachment A: Section F(Data Collection and Reporting(2(g))* |  |  |  |
| **CRR-19** | **EI: copies of prior written notice of meetings in file***CIS Contract Attachment A: adhere to Part C Regulations (Section D(VI(d)))* |  |  |  |
| **CRR-20** | **EI: families received their parental rights***CIS Contract**Attachment A: (Section D(VI(d(1(b) & (i)))*  |  |  |  |
| **CRR-21** | **FAP: files include FAP or CIS supplemental documentation, if applicable** (Child Care Financial Assistance Family Support form (CIS-02-CCFSFAP), CSHN Supplemental Form (CIS-02-CSHNFAP), Insurance form, Birth to Five Prior Authorization form (*CIS-04)*, Prenatal/Postpartum Prior Authorization form (CIS-04 (Maternal)))*CIS Contract Attachment A: process enrollment in accordance with all Child Care Financial Assistance regulations, policies, documentation and timelines (Section D(VI(5(1(g))))*  |  |  |  |

**Notes:** *(for internal use only. Will inform Record Review Summary)*