Early Childhood Intervention (ECI)

System of General Supervision/Oversight – Summary

|  | **Onsite Monitoring** | **Desk Review Monitoring** | **Data Monitoring** | **Quality Assurance Reviews** | **Funding Application Reviews** | **Financial Report Desk Monitoring** | **Complaints Management** | **Determinations** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Procedural safeguards are provided to the family (i.e., family made aware of rights, written consents obtained and prior written notice provided) | X | X |  |  |  |  | X |  |
| Clinical review validates eligibility determination | X | X |  | X |  |  | X |  |
| Clinical review validates client needs assessment | X | X |  | X |  |  | X |  |
| Clinical review validates appropriateness of service planning | X | X |  | X |  |  | X |  |
| Clinical review validates appropriateness of service delivery | X | X |  | X |  |  | X |  |
| Evaluations, eligibility and assessments are done correctly | X | X |  | X |  |  | X |  |
| IFSP development is timely once child is referred and determined eligible (45-day) |  | X | X |  |  |  | X | X |
| IFSP reflects needs identified in the evaluation and assessment | X | X |  | X |  |  | X |  |
| IFSP is reviewed within required timeframes and as needed | X | X |  |  |  |  | X |  |
| IFSP contains a transition plan | X | X |  |  |  |  | X |  |
| IFSP team has required team members (including LPHA) | X | X |  | X |  |  | X |  |
| Service initiation is timely (28-day) |  | X | X |  |  |  | X | X |
| Services are provided by qualified personnel | X | X |  | X |  |  | X |  |
| Services are delivered according to the IFSP | X | X |  | X |  |  | X |  |
| Services are provided in the child’s natural environment | X | X |  |  |  |  | X | X |
| Staffing levels are appropriate to meet service delivery requirements and client needs | X | X |  | X | X |  | X |  |
| Transition planning is timely | X | X | X |  |  |  | X | X |
| Documentation supports billing for client services | X | X |  | X |  |  |  |  |
| Documentation supports billing for ECI expenses | X | X |  |  |  |  |  |  |
| Budgeted costs are allowable, allocable, reasonable and necessary per UGMS and cost principles | X | X |  |  | X |  |  |  |
| Contractor has the ability to provide the complete array of ECI services | X | X |  |  | X |  | X |  |
| Funding sources comprising State and Local Funds in the budget are at required levels | X | X |  |  | X |  |  |  |
| Reimbursements reconcile to costs | X | X |  |  |  | X |  |  |
| Financial data is reported accurately | X | X |  |  |  | X |  | X |
| Financial data is reported timely | X | X |  |  |  | X |  | X |
| Cost controls are maintained over program expenditures | X | X |  |  |  | X |  |  |
| Proper internal controls are implemented | X | X |  |  |  |  | X |  |
| Timely and appropriate action is taken to resolve budgetary discrepancies | X | X |  |  |  | X |  |  |
| Contractor is operating from current budget |  |  |  |  | X | X |  |  |
| Indirect charges do not exceed the approved rate |  |  |  |  |  | X |  |  |
| Rate of budget expenditure appears reasonable |  |  |  |  |  | X |  |  |
| Billing performance indicates that the contractor is collecting all of the revenue it is entitled to | X |  |  |  |  | X |  |  |
| DARS is payor of last resort | X | X |  |  |  | X |  |  |
| Inventory of equipment and controlled assets is reported correctly | X |  |  |  |  | X |  |  |
| Noncompliance and other issues are evaluated prior to recommending contract renewal | X | X |  |  | X | X |  |  |
| Complaints regarding violation of Part C or other federal/state regulations are resolved (formal and informal) per procedures | X | X |  |  |  |  | X | X |
| Client and service data is reported accurately (in TKIDS) | X | X |  |  |  |  |  |  |
| Client and service data are entered timely (in TKIDS) | X | X |  |  |  |  |  |  |
| Noncompliance identified is corrected timely | X | X |  |  |  | X | X | X |