



Compliance Indicators

Administrative Review Training Topic 7



Agenda



Introduction

What are Compliance Indicators?

Reasons for Delay

Practice

Final tips & takeaways



Part C Funding

Part C Funding

Part C of the Individuals with Disabilities Education Act (IDEA) provides funding for early intervention services for infants and toddlers with disabilities in Alaska. To be eligible for Part C funding, children must meet certain criteria and be assessed by a local Early Intervention/Infant Learning Program (EI/ILP)

This is where our 3 criteria for eligibility come from-

1. A developmental delay of at least 50% in one or more areas of development
2. A disabling condition that has a high likelihood of causing a developmental delay of at least 50%
3. Atypical development that a multi-disciplinary team determines is likely to lead to a severe developmental delay)

Service providers also have requirements

1. Service providers who work at least 20 hours per week in an Infant Learning Program must complete the Part C Credential process
2. Service providers must maintain an active teaching certificate or professional license
3. Service providers must update their teaching certificate or professional license with the SEED Registry



Why Compliance Matters

We don't have to be 100% compliant on all the indicators, but if we are non-compliant, it's possible we could be put on a **corrective action plan**. If there is no improvement (or even continued non-compliance), then our funding can be negatively impacted.





Compliance Indicators

6 main indicators we must report to
the State

#1: 45-Day Timeline

We have 45 days from when the referral is received to enroll the child (if they are eligible).

Family reason(s) for delay are the only accepted reason to pend, or put on hold, the 45-day timeline. This means that if the reason for the delay is due to provider schedules or illness, we will be non-compliant.

Accepted reasons for delay include:

- Family cancels for any other reasons and/or asks to reschedule.
- Family no shows.
- Family scheduling difficulties, for example: is/will be out of town; your first available appt. is declined; has limited availability to schedule "I can only do appt's on Tues & Thurs".
- Cancellation due to weather (as of summer 2024)

#2: Timely Services

We are held to the start date listed on the IFSP as a **deadline** for that specific service to have started. The service does NOT have to start on the exact date.

Once a start date is set, we **cannot** change* the start date!

The start date is usually 1-2 months out from the date of the IFSP, however it can't be more than 3 months out.

*except in the case of clerical errors.

Accepted reasons for delay include:

- Cancellation by family (must be for that specific service)
- No Show (must be for that specific service)
- Cancellation due to weather (as of summer 2024)
- Family circumstances

#3: Child Outcomes

[More Information About Determining a Rating.pptx](#)

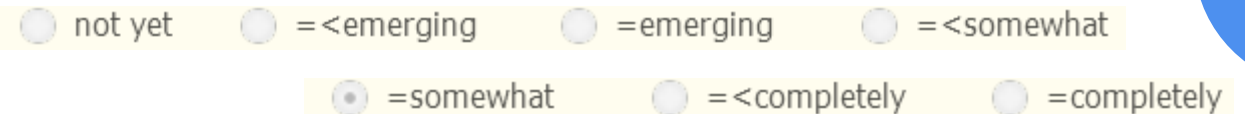
In 2014, OSEP (Office of Special Education Programs) instituted nationwide Child Outcome to track progress made during ILP enrollment. We are required to report baseline (initial) and exit* Child Outcomes. These 3 outcomes look at:

1. Positive social-emotional skills (including social relationships);
2. Acquisition and use of knowledge and skills (including early language/communication [and early literacy]); and
3. Use of appropriate behaviors to meet their needs.

*EXCEPT for children enrolled less than 6 months.

Required reporting:

- Child Outcomes must *always* include all 3 categories.
- Alaska reports using descriptor statements that are the “radio buttons” on our functional evaluation report. We do NOT include the written statement.



- Exit Outcomes **must** include if progress was made. The State defines progress as *any* new skills developed from the time of last rating in each category.

#4: Transition Plan

We are required to formally hold an IFSP to discuss the plan for continued services once the child turns 3 years old and will no longer be able to receive Part C services by the time the child is between **24-30 months old**. This is called the Transition Plan and is an IFSP meeting.

If a child is enrolled *after* age 30 months, the requirement is that the Transition Plan IFSP is combined with the Initial IFSP.

The exception is for children who are enrolled *after* 33 months old, we are not held responsible for their transition process from Part C services.

Accepted reasons for delay include:

- Cancellation by family (for specific IFSP appt type).
- Family scheduling preference
- Enrollment between ages 30 months and 32 months and 29 days old.

#5: LEA Notification

Local Education Agency (LEA) notification automatically gets sent by admin when an enrolled child is **30 months old**.

Families can opt out of notification to ASD but must do so by age **30 months**.

This is why the ASD Opt Out form is so important!

If the family changes their mind *after* 30 months, we simply email ASD at ilp@asdk12.org to let them know the family no longer wishes to pursue services.

There is no reason for delay on notification.

This means that any child who is in the evaluation process between 30-32 months and 29 days is in the "*danger zone*!"

If you have a child who falls in the *danger zone*, be sure to **notify admin** once the IFSP has been held (even before the documentation is completed)!

#6: Transition Conference

We are required to formally hold an IFSP outlining the next steps for continued services with the family. Known as both the 90- Day Meeting and Transition Conference, this is an IFSP that usually includes ASD. We are still held accountable to complete this IFSP meeting by the time the child is **33 months old**, regardless of ASD involvement.

If a child is enrolled between 30- 32 months and 29 days, we are still required to complete the Transition Conference by 33 months old.

The exception is for children who are enrolled *after* 33 months old, we are not held responsible for their transition process from Part C services.

Accepted reasons for delay include:

- Cancellation by family (for specific IFSP appt type).
- Family scheduling preference.
- Family delay in completing ASD paperwork (must be well documented that we have done our best to facilitate completion in a reasonable time frame).

Coming Soon: Service Frequency

We are not currently held responsible for ensuring that the frequency set on the IFSP for each service is minimally being met, however this is forecasted to change soon. We're starting to track this now, so hopefully by the time it's a compliance indicator, we will have checks in place.

Accepted reasons for delay include:

- Cancellation by family (for specific IFSP appt type).
- Family scheduling preference.





Practice

Practice: 45 Day Timeline

Harry Potter was referred to PIC on February 1st. His 45 days is March 18th.

Harry's foster parents, the Dursley's have very limited availability, only Tuesdays or Thursdays from 3-4pm.

You're able to schedule the intake for February 14th at 3pm, however they do not show up.

Finally, after a lot of back and forth, Harry is evaluated, found eligible and you complete his initial IFSP on March 25th.

Harry shows up as non-compliant for meeting the 45-day timeline. After reviewing the chart, you find what acceptable reasons for delay?

- A. Difficulties communicating with foster family
- B. Family's scheduling limitations
- C. No Showed appointment for intake
- D. A & B
- E. B & C
- F. All of the above

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What date and reason for pend should you use for Harry's pend?

- A. February 5th -when you first spoke with the Dursleys and they informed you of their scheduling limitations
 - B. February 14th -when they No Showed the Intake appt
 - C. March 18th - the last day of 45 days because admin sent you a task.
 - D. March 25th -when the Initial IFSP finally occurred
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Practice: LEA Notification

Harry's 3rd birthday is July 31st, meaning he was 31 months and 25 days at the time of enrollment. Family did not opt out of ASD.

What action(s) do you need to do to ensure Harry's timely LEA Notification?

- A. Nothing, admin automatically sends it over unless the family signs an ASD Opt Out form.
 - B. Email admin@picak.org once the Initial IFSP is held with the family.
 - C. Sign off on the Initial IFSP the same day it takes place.
 - D. Wait to complete the Initial IFSP until the family signs the Post Eval/IFSP packet.
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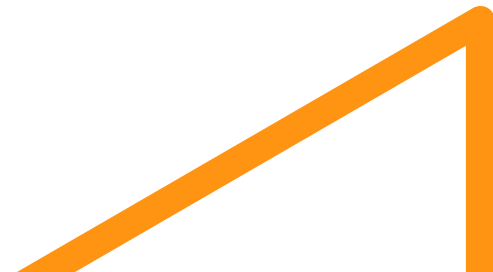


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What action(s) do you need to do to ensure Harry's timely LEA Notification?

- B. Email admin@picak.org once the Initial IFSP is held with the family.







Practice: Timely Services


The start date for Special Instruction was set for April 25th on his Initial IFSP.

Harry's first visit is scheduled to take place April 1st at his childcare, however you're out sick. You reschedule for the Tuesday, April 15th but a storm causes a power outage, and PIC calls a remote day. The Dursleys decline a tele-visit.

You're finally able to reschedule Harry's first SI visit for April 29th and complete the visit at childcare as planned.



What is the acceptable reason for delay for Harry's missed SI start date? How would you document this?

- A. The April 1st cancellation by provider shows the reason for delay, no further documentation is needed.
 - B. The April 15th cancellation by weather shows the reason for delay, no further documentation is needed.
 - C. A communication log note is needed, summarizing the timeline of events.
 - D. We will be non-compliant, you just wait for a task from admin.
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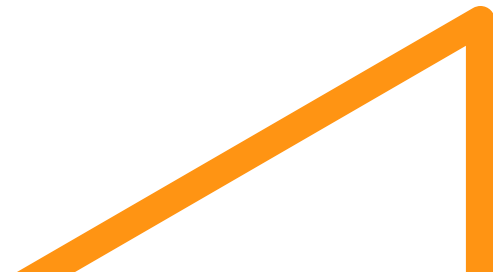


Practice: Transition Plan

Harry's 3rd birthday is July 31st, meaning he was 31 months and 25 days at the time of enrollment.

What is the requirement for Transition Plan since he's past the 30-month mark at time of enrollment?

- A. We are not held responsible for his Transition Plan IFSP since he was not enrolled in Part C services at the time it was due.
- B. We are still held responsible for his Transition Plan IFSP, however it can be done whenever is easiest for PIC.
- C. We are still held responsible for his Transition Plan IFSP, it needs to be done in combination with his Initial IFSP.
- D. We are still held responsible for his Transition Plan IFSP, it needs to be completed by the time he's 33 months old.





Practice: Transition Plan

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- C. We are still held responsible for his Transition Plan IFSP, it needs to be done in combination with his Initial IFSP.



Practice: Transition Conference

While struggling to get services started for Harry, you are also struggling to get the Dursleys to complete the ASD packet for Harry to schedule his Transition Conference. You've sent them the Panda Doc twice, sent a hard copy in the post, and they have yet to complete it. At his April 29th visit, you're finally able to get Mrs. Dursley to complete the paperwork! You schedule with ASD for the following Tuesday May 6th.

What is the acceptable reason for delay of Harry's Transition Conference and how should it be documented?


- A. Harry is considered a late referral, so we are exempt from the timeline for Transition Conference. Check the "Late Referral" box in the Transition Plan tab of the TC IFSP once it takes place.
- B. Family cancellation of IFSP- add in an appointment for April 29th since they completed the ASD paperwork that day. Once the TC IFSP takes place check the "Conference Delayed" box and add in the April 29th cancellation by family reason.
- C. Family scheduling preference- the Dursleys standing availability is only Tuesday and Thursdays from 3-4pm. No documentation needed since the previous reason for pend noted their preferences. Once the TC IFSP takes place check the "Conference Delayed" box and add in "Family scheduling preferences for only Tuesdays and Thursday at 3pm."
- D. Family delay in completing ASD paperwork- a communication log note for each time you sent the ASD Panda Doc, date of mailed hard copy, and noting in your daily note for April 29th. Once the TC IFSP takes place check the "Conference Delayed" box and add in "Family difficulties completing ASD packet on [dates]. Finally completed on April 29th and scheduled at soonest availability."



Practice: Transition Conference

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- 




Practice: Child Outcomes

Harry has turned 3 and successfully transitioned to ASD!

He enrolled in PIC starting March 25th and his 3rd birthday is July 31st.

What documentation is needed to exit Harry from PIC?

- A. Discharge summary with exit reason and placement only. No need to include exit Outcomes since he was not enrolled for at least 6 months.
 - B. Discharge summary with exit reason, placement, and outcomes noting if progress had been made.
 - C. Discharge summary with exit reason and placement. Progress note with exit IDAs and exit Outcomes, noting if progress has been made.
 - D. Discharge summary with exit reason and placement. Progress note with exit IDAs and exit Outcomes, NO need to note if progress has been made, since he was not enrolled more than 6 months.
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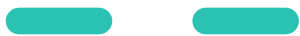
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Final Tips & Takeaways

- Reasons for delay must be family based.
- Start dates can't be changed *after* the fact.
- Transition Plans are due by 30 months old.
- Transition Conferences are due by 33 months old.
- Enrollment between ages 30 months-32 months and 29 days old is the *danger zone* for LEA Notification, Transition Plan, and Transition Conference compliance.
- Child Outcomes are required for every child exiting after enrollment, except for those enrolled *less than 6 months*.