Program Self-Assessment

This self-assessment tool is designed to support EIS and EIBI programs as they evaluate their programs compliance with federal, state, and operational requirements to support their delivery of high-quality part C services.

Please review all sections with appropriate staff including program and agency leadership. If you mark any area as “N/A” please indicate why it is not applicable to your program.

Clinical Oversight and Support Specialists will review any areas listed as need a policy or procedure or not in place, and work with your program to identify what steps can be taken to improve this practice. This may include providing technical assistance, supporting your program to meet timelines or deadlines, following up on progress and corrective actions.

**Program name:**

**Person completing:**

**1. Infrastructure/systems:** The foundation for the organization of your contracted agency and the elements of a support system for your program.

**A. Program Administration**

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| --- | --- | --- | --- |
|  | **Have policy, procedure or process** | **Need policy, procedure or process** | **N/A**  **Why?** |
| **Administrative oversight procedures:** Program has written procedures on administrative oversight of individual EI program including personnel policies (EIOS Section XII B. 1. a Pg. 58) (CFR 303.31) |  |  |  |
| **CAP process:** Program has a process to complete and submit a Corrective Action Plan (CAP) (Introduction, pg. 3) |  |  |  |
| **Referral process:** Program has a referral process to SSP Programs, including RCP, EIBI, Hearing and Vision (EIOS Section XII 3. k pg.59) |  |  |  |
| **Transportation policy:** Program has policies on file for coordination of transportation and processing of required forms and reports (EIOS Section XII B. 1. m pg. 58) |  |  |  |
| **Core team:** Program currently has a core team (EIOS Section XII D pg. 60) |  |  |  |
| **Staff credentials and licensures:** Program has a policy and process in place to ensure staff credentials and licensures are up to date (EIOS Section XII B. 2. Pg. 58-59) |  |  |  |
| **Personnel records:** Program has a policy regarding the maintenance of personnel records (EIOS Section XII B. 2. Pg. 58-59) |  |  |  |
| **Health and Safety Checklist:** Program has a current completed copy of the Health and Safety Checklist on file (EIOS Section XI pgs. 46-57) |  |  |  |
| **Records procedures:** Program has written procedures for the management and release of records (EIOS Section XII B. 3 pg. 59) |  |  |  |
| Notes on any of the above: | | | |

**B. Agency Oversight and Collaboration**

|  |  |  |  |
| --- | --- | --- | --- |
|  | **In place** | **Not in place** | **N/A**  **Why?** |
| **Agency communications with staff:** Processes are used when the program receives communications from DPH, Division of EI, including distribution within the program. (EIOS Section XII B. 1. h, i pg. 58) |  |  |  |
| **Agency support for CAP activities:** Agency staff support program staff in developing, monitoring and completing Corrective Action Plan activities (Introduction pg. 3) |  |  |  |
| Notes on any of the above: | | | |

**2. Policy/Procedures:** The processes used by your program that uphold state and federal policies, procedures and requirements including the steps taken for activities.

**A. Policies and Procedures**

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| --- | --- | --- | --- |
| Program has written policies and procedures for the following: | **Have policy, procedure or process** | **Need policy, procedure or process** | **N/A**  **Why?** |
| **Referral**  (EIOS Section VI. A pg.22) (CFR 303.303) |  |  |  |
| **Eligibility and Evaluation**  (EIOS Section XII B. 3. c,d pg. 59) (CFR 303.310) (CFR 303.321; 303.322) |  |  |  |
| **Consent**  (EIOS Section XIII C pg. 66) (CFR 303.420) |  |  |  |
| **IFSP Development**  (EIOS Section VII pgs. 26-30) (CFR 303.340, 303.342; 303.343; 303.344) |  |  |  |
| **EI Services**  (EIOS Section XII B.3. f pg.59) (CFR 303.13) |  |  |  |
| **Complaint Processes**  (EIOS Section XIII. pgs. 63-71) (CFR 303.441) |  |  |  |
| **Family Rights processes and required notices for families:** Program has written procedures on use of Family Rights including Prior Written Notice (PWN), consent and other required notices for families (EIOS Section XIII A-C pgs. 63-66) (CFR 303.421; 303.7; 303.420; 303.414) |  |  |  |
| **Language access for IFSP written procedures:** Program has written procedures on IFSP written in the family’s native or chosen language and translations available of the IFSP.  (EIOS Section VII D pg. 27) |  |  |  |
| **Service coordinators:** Program assigns service coordinators from the profession and/or having clinical experience most relevant to the child’s or family’s needs (EIOS Section VII, E. 9. pg. 28) (CFR 303.344) |  |  |  |
| **IFSP development and reviews:** Program has written procedures regarding IFSP development including all reviews (EIOS Section VII pgs. 26-30) (CFR 303.340; 303.342; 303.434; 303.344) |  |  |  |
| **Transition of children who are not potentially eligible:** Program has written procedures regarding transition of children who are **not** potentially eligible for special education services (EIOS Section IX A-C, G pgs. 35-37, 42-43) (CFR 303.209) |  |  |  |
| **Transition of children who are potentially eligible:** Program has written procedures for children who **are** potentially eligible for special education services (EIOS Section IX D-F, H pgs. 38-42, 43) (CFR 303.209) |  |  |  |
| **Grievance policy:** Program has an internal Grievance Policy including how and when it is distributed to families (EIOS Section XII G pgs. 61-62) |  |  |  |
| Notes on any of the above: | | | |

**3. Data:** The data that is used to manage all the records of children receiving services within your program. Information used to monitor and track state and federal requirements including specific processes used to analyze program practice on both short term and long-term basis.

**A. Fiscal Management**

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| --- | --- | --- | --- |
|  | **In place** | **Not in place** | **N/A**  **Why?** |
| **Billing practices (Charge claims):** Program has policies on billing practices within the program and agency on claim submission when requesting full or partial payment by DPH (charge claims) as payor of last resort (DPH EI Reimbursement Manual 827, pg. 6) |  |  |  |
| **Billing practices (Encounter claims):** Program has policies on billing practices within the program and agency on claim details on EI services paid in full or partially by insurers (encounter claims) (DPH EI Reimbursement Manual 827, pg. 6) |  |  |  |
| **Billing practices (Denied and rejected claims):** Program has policies on billing practices within the program and agency on identifying and resolving denied and rejected claims (DPH EI Reimbursement Manual 827, pg. 6) |  |  |  |
| **Submission of claim information:** Program and agency use appropriate methods for submission of and response to claim information, ex. 837, 825 etc.) (DPH EI Reimbursement Manual 827, pg. 6) |  |  |  |
| **Submission of support documentation:** Program and agency have a process in place to meet all deadlines for the submission of support documentation (DPH EI Reimbursement Manual 827, pg. 26) |  |  |  |
| **Process for meeting clinical, billing and reporting needs:** Program has a process for documentation of all services to meet clinical, billing and reporting needs (DPH EI Reimbursement Manual 827, pg. 7) |  |  |  |
| **Validity and integrity of billing:** Program has a plan on file to ensure the validity and integrity of billing to public insurance, private insurance, and DPH (EIOS Section XII B. 1. d pg. 58) |  |  |  |
| **Process for parental refusal of access to insurance:** Program has a process in place to use when a family refuses to have insurance accessed including documentation of parental refusal of access to insurance is on file (DPH EI Reimbursement Manual 827, pg. 7) |  |  |  |
| **Process for documentation of uninsured status:** Program has a process in place to use when documenting uninsured status (DPH EI Reimbursement Manual 827, pg. 7) |  |  |  |
| **Process for verifying insurance eligibility:** Program has a process in place to verify insurance eligibility on a regular basis (DPH EI Reimbursement Manual 827, pg. 11) |  |  |  |
| Notes on any of the above: | | | |

**B. Data**

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| --- | --- | --- | --- |
|  | **In place** | **Not in place** | **N/A**  **Why?** |
| **Timely submission:** Program inputs all required elements into the EICS in a timely manner (EIOS Section XII E pgs. 60-61) |  |  |  |
| **Data accuracy:** Program has a process to ensure data accuracy for all information collected including data input into the EICS (DPH EI Reimbursement Manual 827, pg. 7) (CFR 303.124) |  |  |  |
| **Corrections of errors:** Program has a process used for correction of error reports when received from Division of EI (CFR 303.124) |  |  |  |
| Notes on any of the above: | | | |

**4. Professional Development/Supervision:** The orientation, training or professional development of staff at your program. The structure of supervision within your program to support all staff.

**A. Training and Professional Development**

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| --- | --- | --- | --- |
|  | **In place** | **Not in place** | **N/A**  **Why?** |
| **Orientation trainings:** Program supports new EI Specialists to participate in the Division of EI required orientation trainings (EIOS Section XII B. 3. f pg. 59) (CFR 303.118) |  |  |  |
| **Required trainings:** Program supports supervisors to participate in Division of EI required trainings (EIOS Section XII B. 3. f pg.59) |  |  |  |
| **Information sharing with staff:** Program makes federal and Division of EI information available to staff when received (EIOS Section XII B. 1. i pg. 58) |  |  |  |
| **CPR certification:** Program ensures all direct care staff have current certification in CPR that specifically addresses infants and toddlers and pediatric first aid (EIOS Section XI D. 1-2 pgs. 49-50) |  |  |  |
| **Audits for CORI compliance requirements:** Program conducts periodic audits to ensure compliance with CORI requirements, in accordance with any guidelines established by DPH (EIOS Section XI D 4 b,c pg. 50) |  |  |  |
| Notes on any of the above: | | | |

**5. Provider Practices:** Activities and services provided on a day-to-day basis to support children and families within the program. These services must reflect federal and state requirements, the Massachusetts Mission and Key Principles and research informed practice.

**A. Quality Services Working with Families**

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| --- | --- | --- | --- |
|  | **Have available** | **Do not have available** | **N/A**  **Why?** |
| **Parent handbook:** Program has a parent handbook or information that is given to all families (EIOS Section X. 2., 4. pg. 44) |  |  |  |
| **Parent contact for EIPLP:** Program has a current parent contact whose information has been given to the EI Parent Leadership Project (EIPLP) (EIOS Section X 7. Pg. 44) |  |  |  |
| **Family Rights:** Family Rights are distributed at initial contact, initial eligibility evaluation and all IFSP meetings and reviews (EIOS Section XIII 2. pgs. 64-65) |  |  |  |
| **Family Directed Assessment:** Family Directed Assessment/Checklist/Interview is utilized and completed as part of the IFSP process (EIOS Section VI C. 3. Pg. 24) (CFR 303.321) |  |  |  |
| **Parent liaison for family engagement:** Program has a current parent liaison or staff person designated to facilitate involvement of families (EIOS Section X. 1. pg. 45) |  |  |  |
| Notes on any of the above: | | | |