

EARLY INTERVENTION

**Application Packet
July 2006**

INSTRUCTIONS

The Application Packet is comprised of five sections and an appendix.

Section One is introductory and includes the cover sheet, transmittal letter, and brief organizational overview.

Section Two provides a framework of agency philosophy that will underlie the program. In this section, the applicant is asked to (1) describe their understanding of the goals of Early Intervention (EI) and why they wish to be an EI provider, (2) describe their approach to family-centered care, (3) describe their approach of providing EI services in a natural environment, and (4) describe their approach to providing EI services that are community based and cultural competent in nature.

Section Three is a series of narratives in which the applicant is asked to share their understanding of how EI will work within the applicant agency. These narratives should show evidence of a careful review of the EI Certification Standards but should also show how EI will be integrated into the unique context of the applicant agency. Please respect the page limits shown in the instruction box for each narrative.

Section Four is Readiness and asks the applicant to layout the tasks and timeline for accepting EI clients.

Section Five is a set of Memoranda of Agreement. These Memoranda are designed to capture key agreements with Department of Human Services (DHS) about how the program will operate within the applicant agency. Read each of them carefully. Some require the applicant agency to fill in information before signing. The Memoranda cover the following topics: (1) Responsibility for Determining Medicaid Eligibility (2) Appropriate Referrals; (3) Ethical Conduct; (4) Collaboration with Community Services and Supports; (5) Client Rights; (6) Management Standards; and (7) Service Monitoring and Reporting.

Section Six lists the required attachments to the application.

The application packet is available as an electronic file and applicants are encouraged to secure this file from DHS and to use it as the framework for the application itself. If an applicant chooses not use the electronic file, the format and materials must be reproduced in the order that the Application Packet is laid out. Please also label each section of the proposal so that it corresponds with the Application Packet. The electronic file is available at: www.dhs.ri.gov/.

Please submit five (5) copies of the completed application to:

Brenda DuHamel
Part C Coordinator
Department of Human Services
Center for Child and Family Health
600 New London Avenue
Aimee Forand Building 038
Cranston, RI 02920

Section One: COVER SHEET FOR EARLY INTERVENTION (EI) CERTIFICATION APPLICATION

Name of Agency _____

Individual authorized to conduct business on behalf of agency:

Name: _____ **Title:** _____

Application Contact Person: _____

Street Address: _____

City: _____ **State:** _____ **Zip Code** _____

Telephone: _____ **FAX:** _____

Email Address: _____

Federal Employee Identification Number: _____

Medicaid Provider Number (if applicable): _____

Section One: ORGANIZATIONAL OVERVIEW

Background on Applicant: Describe your organization. Include:

- Organizational Mission Statement
- A brief description of services that are currently provided
- A list of licenses, current certifications, and accreditations
- An overview of the corporate structure, whether for profit or non-profit. If non-profit include a list of the Board of Directors and their affiliations (Organizational Chart)
- Organizational Chart

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Section Two: COMPONENTS OF EI **(Sections 1.3, 4.0, 5.0 and 6.0)**

Organizational Capacity: Summarize your agency's understanding of the components of the EI program, demonstrating your qualifications to become an EI provider. Include in this description, your agency's understanding of the importance of natural environment, family centered, community based and cultural competent in relation to each of the EI System components.

Provide written overview that addresses all aspects of the EI System.

EI components include:

- Public Awareness
- Comprehensive Child Find
- EI Personnel Requirements
- Evaluation and Assessment
- Individualized Family Service Plan
- Transition and
- Procedural Safeguards

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**Section Three: PUBLIC AWARENESS PROCEDURES
(Sections 4.1, 5.1 and 6.1)**

- **Public Awareness Activities:** Describe which methods your agency will employ to provide and document three (3) public awareness activities during a calendar year. Include in your description how these efforts will be coordinated with the Public Awareness committee and the activities to be carried out during the 1st year of certification.

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**Section Three: COMPREHENSIVE CHILD FIND PROCEDURES
(Sections 4.2, 5.2, and 6.2)**

- **Comprehensive Child Find Procedures:** Describe the process in which your agency will:
 1. Appoint a service coordinator upon receipt of a referral.
 2. Provide a written evaluation/assessment to the primary referral source whether or not the child referred was found eligible for EI within 45 days of the referral.
 3. Accept all appropriate referrals for children up to their third birthday.
 4. Policies outlining coordination of evaluations and program planning with potential community services available after the child's discharge from EI for children who are 34 months and older.
 5. Explain your agency's procedure for a referral to the Local Education Agency and other appropriate potential community services.
 6. Procedures to record required documentation in the child's record.
 7. Describe your agency's procedures pertaining to offering the options of a developmental and family screening through the Family Outreach Program (FOP) or referral to a CEDARR Family Center if presumed eligibility does not exist.
 8. Explain how you could partner with DHS in assuring broad outreach to state and community agencies, health insurers, health care providers and childcare providers, to inform them of the EI referral process for their clients.

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Section Three: Early Intervention Personnel (Sections 4.3, 5.3, and 6.3)

- **Early Intervention Personnel:** Submit detailed job descriptions for your agency's Clinical Supervisor, Service Coordinators, and all other qualified personnel. Each job description must address the following: (1) Reporting relationships, (2) Functional tasks and responsibilities, (3) Required skills, training, and experience and (4) Licensure or certification qualifications, when applicable.
- Describe the pattern of supervision, discipline, evaluation for EI staff and any important interactions/collaborations with other agencies.
- Explain the agency's understanding of the service coordinator's responsibilities at the time of intake and for providing ongoing services and supports information to families.
- Describe how the service coordinator's will meet the following required responsibilities:
 - Being the point of contact
 - Coordinator of all IFSP services, evaluations, and functional assessments
 - Facilitate the development, review & modification of the IFSP
 - Assist families in gaining access to all EI services, in a timely manner
 - Coordinate with medical & health care providers
 - Facilitate the development of appropriate transition plans
- Describe the process, procedures, or policies in which your agency will follow to document evidence of appropriate personnel on the Services Rendered Form and in the EI data system.

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Section Three: EVALUATION AND ASSESSMENT REQUIREMENTS (Sections 4.4, 5.4 and 6.4)

- **Evaluation and Assessment:** Explain how your agency will collaborate with other agencies to provide comprehensive multidisciplinary evaluations and assessment. Include in your narrative the procedures for the following:
 1. Obtaining the consent of the family.
 2. Explain the documentation policy for recording on information in child's record.
 3. Describe the procedure(s) to be used for evaluation and assessment by the agency's qualified multidisciplinary team members. Emphasis must be placed on assessing and describing the child's participation in family routines and everyday activities, and not merely his/her 'testing performance'.
 4. Explain your agency's understanding of the process when a child is determined eligible by informed clinical opinion, including the 6-month review requirements.

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**Section Three: IFSP DEVELOPMENT, REVIEW, AND EVALUATION
PROCEDURES
(Sections 4.5, 5.5, and 6.5)**

- **Service Plan Development, Review, and Evaluation Procedures:** Provide a narrative description of the development, review and evaluation of the IFSP service plan that summarizes your understanding of the steps to be followed and how these steps will be carried out in your agency. Include the specific techniques and tools that will be used to develop such a service plan in the family/child's natural environment.

Include in your narrative:

- Explain how the participants of the initial evaluation team will be chosen
- Protocol for obtaining the required written consent need for the assessment, evaluation and development of the IFSP.
- Protocols for the written notification provided to the family and all other participants of the IFSP by the service coordinator at least 7 days prior to date of all IFSP meetings.
- Protocols/techniques/tools used for the development of IFSP.
- Procedures for monitoring, review and modifying the IFSP.
- Procedures for the development of an interim IFSP when necessary to provide immediate EI services to the child and child's family.

**Page limit: 3
(not including
attachments)**

Section Three: TRANSITION PROCEDURES (Sections 4.6, 5.6, and 6.6)

- **Transition Procedures:** Explain how your agency will collaborate with other agencies and the child's family to prepare, develop, review and modify an Individual Transition Plan according to the child's age at transition, regardless of whether or not a child is eligible for preschool special education services.

Include in your narrative:

- Composition of the child's transition team
- Procedures for the required referral to CEDARR for all Medicaid eligible children as part of the transition plan.
- Policies for the required 7 day written notice prior to the transition meeting and required documentation in the child's record
- Parent's education and parent-to-parent support
- How the age of the child and the timing of the transition according to the school calendar will affect a transition plan timeline.
- Protocols/techniques/tools used for the development of Individual Transition Plan to meet the family participated goals
- Procedures to prepare the child for changes in service delivery, including steps to help the child adjust to participate in a new setting.
- Policies and procedures for the transferring of confidential information to the LEA and/or appropriate community services and supports-including evaluation, assessment, and IFSP information
- Procedures for preparing an Individualized Education Program (IEP) and provision of those services by 36 months, if the child is deemed eligible for special education.

**Page limit: 3
(not including
assessment tools)**

Section Three: PROCEDURAL SAFEGUARDS PROCEDURES
Family Rights and Responsibilities
(Sections 4.7, 5.7-5.7.3, 5.7.14, 5.7.15 and 6.7)

▪ **Procedural Safeguards Procedures- Family Rights and Responsibilities:**

Describe the process, procedures, or policies in which your agency will:

1. Assure and document that all families at intake receive a copy of the *Family Rights and Responsibilities* booklet.
2. Assure the parent(s) of eligible children are afforded the opportunity to inspect and review records related to evaluation, assessment, eligibility determination, development and implementation of IFSPs, individual complaints dealing with the child, and any other area involving records about the child and family.
3. Assure that written notices written in their native language will be given to the parent(s) of the child at least (7) days prior to evaluation, assessments, IFSP meetings and reviews, and transition meetings. If the parent is deaf or blind, or has no written language, the notice must be in the language or mode of communication normally used by the parent.
4. Obtaining parental consent before conducting the initial evaluation and assessment or initiating the provision of EI services. If consent is not given by the parent, the EI provider's responsibilities to make reasonable efforts to ensure the parent is fully aware and understands of the nature of the evaluation, assessment and/or services that would be available unless consent is given.
5. Assure that parents of an eligible child may determine whether they, their child or other family members will accept or decline any EI services under Part C in accordance with State law.
6. Assure that the appointed surrogate parent(s) may represent a child in all matters related to their EI evaluation, assessment, development and implementation of services as described in section 5.7.15.

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Section Three: PROCEDURAL SAFEGUARDS PROCEDURES
Confidentiality and Notice
(Sections 4.7, 5.7.4 – 5.7.5, and 6.7)

- **Procedural Safeguards Procedures – Confidentiality and Notice.** Describe the process, procedures, or policies in which your agency will:
 1. Ensure the protection of any personal identifiable information collected, used, or maintained, including right of parents or guardians to written notice of, and written consent to the exchange of this information is consistent with federal and state law.
 2. Ensure proper notice to parents and families in the native language or other mode of communication of the family of the eligible child, regarding the protection of any personal identifiable information collected, used, or maintained, including right of parents or guardians to written notice of, and written consent to the exchange of this information is consistent with federal and state law.
 3. Describe all rights of parents and children regarding this type of information, including the rights ensured by the Family Education Rights and Privacy Act (FERPA).
 4. If any major identification, location, or evaluation activity should occur, the notice must be published or announced in newspapers or other media, or both, with circulation adequate to notify parents and families throughout the state of the activity.

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Section Three: PROCEDURAL SAFEGUARDS PROCEDURES
Access and Location of Information
(Sections 4.7, 5.7.6 –5.7.12, and 6.7)

- **Procedural Safeguards Procedures – Access and Location of Information:**
Describe the process, procedures, or policies in which your agency will:
1. Permits parents to request and inspect all records related to their child in the timeframe described in section 5.7.6.
 2. Ensure parents or their designated representative may also request copies of records containing information if failure to provide that information would effectively prevent the parent from the right to inspect and review records. A fee may be charge if the fees do not prevent parents from exercising their right to inspect or review records. Providers may not charge for searching and/or retrieving such records.
 3. Ensure parents or their representatives have the right to a response to reasonable requests for explanations and interpretations of records.
 4. Demonstrate that all participating agencies which maintain confidential or personally identifiable information on children and their families keep a record of parties obtaining access to those records collected, maintained or used (except access by parents and authorized employees of the provider), including: (a) the name of the party requesting access; (b) the date of access; and (c) the purpose for which the party is authorized to use the records.
 5. Ensure that if EI record includes information on more than one child, the parents of those children have the right to inspect and review only the information relating to their child or to be informed of that specific information.
 6. Provide parents on request a list of the types and locations of EI records collected, maintained or used by certified providers, specialty providers and any other participating agency.
 7. Ensure parental consent before the disclosure of any personally identifiable information is disclosed to any individual not employed by the provider, or to any other provider, or for any other purpose than to comply with this application.
 8. Ensure that EI providers will maintain permanent record information without time limitation. Other information must be destroyed if the parent so request. The provider must inform the parent when personally identifiable information is no longer needed to provide services to the child.

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Section Three: PROCEDURAL SAFEGUARDS PROCEDURES
Safeguard Violation
(Sections 4.7, 5.7.13, and 6.7)

- **Safeguard Violation Procedures:** Explain the agency's understanding of the procedure for any individual or organization, including an individual organization from another state to file a complaint that any public agency or private service provider is violating a requirement of Part C of IDEA by filing a written complaint with DHS.

Include in your narrative:

- Process for handling a written complaint
- Timeframe for handling such a complaint
- Assurance that the written procedures for handling an EI complaint will be followed as stated in the *Family Rights and Responsibilities Booklet*
- Department of Human Services' role in the complaint procedures with timelines for handling a request for mediation, due process hearing and the resolution of a procedural safeguard violation.

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**Section Three: CERTIFICATION PERFORMANCE STANDARDS
ENFORCEMENT
(Section 6.0)**

Certification Performance Standards Enforcement: Provide a description your agency's understanding of the internal self-review process, as well as monitoring and on-site reviews by DHS to ensure that all policies and procedures are being followed.

Provide description of your agency's understanding of the sanction system for failure to comply with the IDEA Part C requirements identified during the during the monitoring process and the potential for the withholding of IDEA Part C funds if determined appropriate by DHS.

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**Section Three: THE MANAGEMENT OF EI SERVICES and STAFF
COMPETENCY
(Sections 3.2-3.4)**

Management of EI Services: Describe how your agency plans to ensure that families have access to the 16 services required by IDEA, when such services are identified within the context of the IFSP. Providers may use staff employed by the agency, individuals contracted directly by the agency, other providers contracted by the EI provider, interagency contracts, and by referrals to and coordination with appropriate community providers. DHS strongly encourages contracts with providers who are able to provide services in a variety of natural environments in order to meet the requirements of IDEA 2004.

The 16 required services required by IDEA includes:

- Assistive technology device and Assistive technology service
- Audiology
- Family training, counseling and home visits
- Health services
- Medical services only for diagnostic or evaluation purposes
- Nursing services
- Nutrition services
- Occupational therapy
- Psychological therapy
- Service coordination services and Service Coordination
- Social work services
- Special instruction
- Speech-language pathology
- Transportation and related cost
- Vision services

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Section Four: READINESS

Projected timeline for accepting referrals: Provide a list of areas the applicant has not yet implemented, e.g. (1) of the materials required in the appendices to this packet which still need to be developed; (2) of the potential EI staff which need to be hired. Provide a time line for implementation of all tasks listed.

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Task	Date	Expected completion

**Section Five: MEMORANDUM OF AGREEMENT I
(Section 3.1)**

Provider Responsibility for Determining Medicaid Eligibility: Review this memorandum of agreement and have it signed by an officer or authorized agent of your agency.

To: The Rhode Island Department of Human Services

From:

In submitting this application to become a certified provider of Early Intervention (EI), _____, the applicant agency, certifies that we are aware a recipient's eligibility to receive Medicaid may change at any time. It is the responsibility of the provider to verify Medicaid eligibility. This can be accomplished by contacting the Recipient Eligibility Verification System (REVS) at 784-8100. We realize that loss of Medicaid coverage will result in non-payment of claims.

All certified providers must take the appropriate steps to secure third party payment for all services delivered through the EI. Payment/billing procedures should be included in contracts and MOAs, as appropriate. In all cases, it must be clear that DHS is the payer of last resort. The EI system payment is in accordance with the legislation, H8669, which was passed by the General Assembly effective July 1, 2004. This indicates that every individual or group hospital or medical expense insurance policy or contract providing coverage for dependent children, delivered or renewed in the State of Rhode Island on or after the effective date of the act, shall include coverage of EI services, which coverage shall take effect no later than January 1, 2005.

The EI system will not assume the responsibility of payment for any service, with the exception of intake and evaluation, delivered to a child until the child is determined to be eligible for EI, appropriate goals have been developed, and the services has been determined to be necessary to the obtainment of goals within the IFSP and the interim IFSP.

Signature of officer or authorized agent

Date

**Section Five: MEMORANDUM OF AGREEMENT II
(Section 4.2)**

Acceptance of Appropriate Referrals: Review the content of this Memorandum of Agreement. Have it signed by an officer or authorized agent of your agency.

To: The Rhode Island Department of Human Services

From:

In submitting this application to become a certified provider of Early Intervention (EI) _____, the applicant agency, agrees to accept all appropriate referrals children under the age of three and to provide services on a timely basis as defined in Section 4.3.2 of the Certification Standards. We understand that we may decline to submit a Individualized Family Service Plan for a particular child only when we determine that:

- The child does not meet the eligibility criteria for the Early Intervention Program.
- The family has declined parental consent for EI participation.

We agree to document fully any referral that is not accepted.

Signature of officer or authorized agent

Date

Section Five: MEMORANDUM OF AGREEMENT III

Ethical Conduct: Review the content of this Memorandum of Agreement. Fill in the organization's name and have it signed by an officer or authorized agent of your agency.

To: The Rhode Island Department of Human Services

From:

In submitting this application to become a certified provider of Early Intervention (EI), _____, the applicant agency, will:

Publicly post a clear statement that captures the Principles of Ethical Care and Professional Conduct in a location that is accessible to both staff and parents. Said statement will include, but not be limited to, the following:

- Written description of EI Services provided
- Grievance procedures
- Discipline policies

Signature of officer or authorized agent

Date

**Section Five: MEMORANDUM OF AGREEMENT IV
(Section 3.4)**

Collaboration with Community Services and Supports: Review the content of this Memorandum of Agreement. Fill in the organization's name and have it signed by an officer or authorized agent of your agency.

To: The Rhode Island Department of Human Services

From:

In submitting this application to become a certified provider of Early Intervention (EI), _____, the applicant agency, recognizes that we must have a constructive relationship with various community services and support providers. EI is one link in such a network. Other links include: Family Outreach Programs/VNA; primary care physicians; Women, Infants and Children (WIC); Department of Human Services Programs; Head Start/Early Start Programs; Local Education Agencies (LEAs); and child care providers. We recognize that this relationship has the following components:

1. The agency recognizes that we must be able to demonstrate receiving and/or making referrals to appropriate community services and supports.
2. Those children who are evaluated but found ineligible for EI services will be referred to appropriate programs that will benefit the child, given family consent.
3. If a child is placed in a community setting in order to meet an IFSP goal, then the means by which EI will provide support to that setting must be delineated in a general MOA that is developed between the Agency and the community setting.
4. EI providers must participate in activities to build public awareness about the Early Intervention system and to build relationships with community agencies.

We have contacted each of the CEDARR Family Centers and have developed letters of agreement with each that are attached to this application. We recognize that this relationship has the following components:

1. It is the responsibility of the CEDARR Family Center to assess the needs of the child and the family during the Family Care Plan process.
2. Prior to contacting our agency, the CEDARR Family Center will determine the interest and preparedness of the family in receiving EI services.
3. The CEDARR Family Center may provide the family with contact information for more than one EI provider.
4. It is the responsibility of our agency to provide an orientation to the parent and child so that they may make an informed choice.
5. In all cases, the family will make the choice of an agency as an EI provider.
6. We will document our collaboration with the CEDARR Family Centers.

Signature of officer or authorized agent

Date

Section Five: MEMORANDUM OF AGREEMENT V
(Section 5.7.13)

Client Rights: Review the content of this Memorandum of Agreement. Fill in the organization's name and have it signed by an officer or authorized agent of your agency.

To: The Rhode Island Department of Human Services

From:

In submitting this application to become a certified provider of Early Intervention (EI), _____, the applicant agency, certifies that all of the materials concerning the EI Complaint and Hearing Process have been reviewed and that these materials are fully understood by agency personnel involved in the EI program. In addition, the applicant agency agrees to create specific materials that inform parents of these rights and to capture in policy, procedures, and documentation all of the appropriate steps in this process.

Signature of officer or authorized agent

Date

**Section Five: MEMORANDUM OF AGREEMENT VI
(Sections 7.0 –7.7)**

Management Standards: Review this memorandum of agreement and have it signed by an officer or authorized agent of your agency

To: The Rhode Island Department of Human Services

From:

In submitting this application to become a certified provider of Early Intervention, _____, the applicant agency, certifies that we have reviewed the list of management standards found in Section 7.0 – 7.7. We agree to comply with these requirements and understand that these requirements may be revised periodically.

Signature of officer or authorized agent

Date

Section Six: REQUIRED APPLICATION ATTACHMENTS

Attach the below listed items (in addition to those requested in Sections 1 – 5) to the final application packet:

- Copies of certificates, licenses, or registrations, along with resumes or vitae for all EI staff.
- Copies of agency accreditation provided by national accrediting bodies
- Letters of agreement with CEDARR Family Centers
- MOAs for any contractual community support agencies for any EI services.
- Most recent audited financial statement for the corporate entity
- Copy of intake forms/ or intake packet
- Parental Consent Forms
- Standardized forms used for client case record
- Incident Reporting forms and log
- Complaints and resolution forms and processes