



February 6, 2008

State ID:

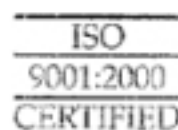
Dear

Enclosed is a report summarizing the early intervention monitoring review of _____ which was conducted on _____ 2008. This review was conducted pursuant to the New York State Department of Health's responsibilities to monitor municipalities and approved early intervention providers under Article 25, Section 2550 of the Public Health Law.

Your report may include any combination of Findings resulting from your monitoring review. Please refer to the bullets below for instructions regarding these findings and the actions you may need to take. Within your report, you may receive:

- A statement that you have met the standards for all indicators assessed. If you receive this statement, no submission is necessary, and no further action is required at this time. (See Additional Comments section.)
- Regulation Finding(s) which will require the submission of a Corrective Action Plan. (See appropriate Exhibit page – Exhibit **B** for Comprehensive review, Exhibit **A** for Focused review.)
- Needs Improvement Finding(s) which are for informational and quality improvement purposes only and require no further action (except for the indicators PP52, PP56, PP58). (See appropriate Exhibit page – Exhibit **C** for Comprehensive review, Exhibit **B** for Focused review.)
- Needs Improvement Finding(s) for PP52, PP56, and/or PP58 which will require an immediate written response. (See appropriate Exhibit page – Exhibit **C** for Comprehensive review, Exhibit **B** for Focused review.)
- Health and Safety deficiency(ies) which will require a written response. (See Additional Comments section for any findings for **PP54-1** through **PP54-30**.)

Please be advised, wherever you receive the statement "Requires immediate remediation" in your monitoring report, an immediate written response must be submitted to the New York State Department of Health as well as to any municipalities with whom you contract.





For further instructions to assist you in preparing your Corrective Action Plan and/or written response, if required, please refer to the attachment entitled "Provider Submission Requirements for A Corrective Action Plan (CAP) and/or Health and Safety Issue" enclosed with this letter.

You have, at this time, the opportunity to submit general written comments regarding the report and/or the monitoring process. If you choose to submit comments, they will become part of the monitoring report, which is considered a public document. Written comments must be submitted to IPRO within 45 calendar days from receipt of this letter.

All written submissions, as well as any comments, should be sent to the following address:

Chris Clarke
IPRO-Early Intervention
1979 Marcus Avenue
Lake Success, NY 11042-1002

You must also send a copy of your Corrective Action Plan and/or written response to any municipalities with whom you contract, at the same time that your submission is sent to IPRO.

If a Corrective Action Plan and/or written response is required, you will be notified of its acceptance and all the written material related to your monitoring review will be considered final. At that time, all written material including the monitoring report, Corrective Action Plan, written response(s), and/or related correspondence may be subject to the Freedom of Information Law.

Please note, the submission of a Corrective Action Plan and/or written response, does not preclude the New York State Department of Health from taking further enforcement action based on the deficiencies found during the monitoring review, as appropriate.

The courtesy and cooperation extended by you during the course of the review was most appreciated. If you have any additional questions regarding the monitoring process or report, I can be reached at (516) 326-7767, extension 287.

Sincerely,

Chris Clarke

Chris Clarke, Project Manager
IPRO, Early Intervention Program

Enc.

cc: municipalities in contract
NYSDOH BEI



Provider Monitoring Report

Agency Provider: _____ **State ID:** _____

Review Type: Focused

Applicable County Contracts: NYC

Approved to Deliver: Service Coordination
Evaluation: Core and Supplemental
Service Provision Including:
 Home and Community-based Individual Collateral Visits
 Family/Caregiver Support Groups

Facility-based EI: No

Areas Reviewed: Selected according to specific focus of monitoring review

of Children Currently Served: _____

Reported Languages: Spanish

Date(s) of Monitoring: January 2008

Monitoring Team: _____

Municipality Representative in Attendance: Not Applicable

Provider's Address: _____

Site Reviewed: _____

Approved Site(s): Not Applicable



Introduction

The New York State Department of Health is the lead agency for New York State's Early Intervention Program under the Individuals with Disabilities Education Act. The mission of the New York State Early Intervention Program is to identify and evaluate infants and toddlers whose healthy development is compromised, and to provide for appropriate intervention to improve child and family development.

As lead agency, the Department of Health is required under federal and state law and regulation (34 CFR 303.501; Public Health Law Section 2550 (b)) to monitor providers of early intervention services and municipalities responsible for local administration of the Early Intervention Program. The Department of Health has entered into a contract with IPRO to conduct on-site monitoring reviews of municipalities and providers of early intervention services, including providers of service coordination services, evaluators, and all other early intervention services.

The primary purpose of a focused on-site review completed by IPRO, as the Department's designee, is to ensure that initial or previously identified deficiencies have been corrected and the provider is in compliance with New York State Public Health Law (Title II of Article 25) and regulations (10 NYCRR) governing the Early Intervention Program.

Procedures for Early Intervention Focused Monitoring

IPRO monitoring teams comprised of individuals with expertise in early intervention and administration utilized customized protocols and review tools developed by the Department to complete your on-site focused monitoring review. The review tools included a set of indicators designed to determine the extent to which your policies, procedures, and practices adhered to Federal law, New York State Public Health Law and regulations.

IPRO teams examined previous monitoring reports, Corrective Action Plans (CAPs), and any municipal comments and/or information from the NYS Department of Health before conducting this review.

Federal Cluster Areas

Findings are organized in clusters associated with required components of the Early Intervention Program and consistent with clusters employed by the U.S. Department of Education, Office of Special Education Programs, to monitor state implementation of the Part C Early Intervention Program under Individuals with Disabilities Education Act (IDEA). The clusters are as follows: Public Awareness and Child Find, Family Centered Services, Service Delivery and Natural Environments, Transition, and Administration and Oversight.

Presentation of Findings

This report presents the findings of an on-site focused monitoring review. It delineates the areas of non-compliance with State law and regulations, as determined by the review tools.



The findings of the focused review are presented in the following manner:

- Exhibit A presents areas of initial or continued regulatory non-compliance that require immediate corrective action and immediate submission of a written Corrective Action Plan.
- Exhibit B presents areas found to be in need of improvement. Although submission of a Corrective Action Plan will not be required, the provider is expected to correct these areas, which may be reviewed during subsequent onsite monitoring visits. In addition, health and safety-related deficiencies in these areas may be reported to municipalities in contract with the provider for immediate remediation.

Details of review findings may also be included in the "Additional Comments" section that follows the report introduction.

If monitoring results for this focused review determine non-compliance with New York State regulations in one or more areas, as noted in Exhibit A, three copies of a Corrective Action Plan addressing each deficiency *must be submitted within forty-five (45) calendar days* of receipt of this report to the following individual:

Chris Clarke, Monitoring Project Manager
IPRO
1979 Marcus Avenue
Lake Success, New York 11042-1002

Corrective Action Required

When Exhibit A presents areas of regulatory non-compliance, there must be immediate corrective action and submission of a written Corrective Action Plan. The written Corrective Action Plan for this focused review must address any new or repeat deficiencies even if the action steps for a repeat deficiency were accepted in your previous Corrective Action Plan. A recommended sample Corrective Action Plan format is enclosed.

The Corrective Action Plan must include:

(1) Action steps, including:

- a. Steps the provider has already taken, or will take, to ensure the deficiency will not recur in the future.
- b. In-service training the provider (and employees/contractors) will attend, or training materials and resources the provider will acquire and use, in the area of the deficiency, to remedy the deficiency. THE ENCLOSED LIST OF "EARLY INTERVENTION STATEWIDE TRAINING" (ATTACHMENT A-3) PROVIDES INFORMATION ON TRAINING COURSES THAT COULD BE INCLUDED IN YOUR CAP.



For agencies, the in-service training must include:

- i. Training opportunities for current and future employees/contractors,
 - ii. Distribution of agency policies and procedures to current and future employees.
 - c. Supervision of the practices of employees.
 - d. Monitoring of the practices of contractors delivering services on behalf of the provider.
- (2) A timeline for each action step to correct each deficiency (terms such as "frequently," "periodically" or "ongoing" are not acceptable). The timeline to correct each deficiency must be as short a time as possible.
- (3) The person(s) responsible to carry out each action step. For agency providers, the individuals must be direct employees of the agency and have appropriate authority to carry out policy changes (titles must be identified).
- (4) A description of how each action step will be evaluated to see if it is successful.

Where monitoring results determined that compliance with New York State regulation was generally practiced, but improvement is suggested to ensure ongoing or complete compliance, or when monitoring results determined that a non-regulatory indicator was not practiced for all cases, "Areas Needing Improvement" are noted in Exhibit B. As stated earlier, a Corrective Action Plan is not required to be submitted for these areas, however, the areas may be monitored in the future and health and safety-related deficiencies in these areas may be reported to municipalities in contract with the provider for immediate remediation.



Additional Comments:

The provider has met the standard for all indicators assessed.
