Verification Requirements: Fiscal and Organizational Systems

Indicator: Fiscal and Organizational Systems

Indicator Type: Program Management

Item FO-1: Does the infant toddler or preschool Early Intervention program have a system in place to analyze fiscal data to ensure the effective and efficient fiscal management of the program, including long-term fiscal planning?

Infant Toddler and Preschool EI Criteria
There is evidence of the following: • Strategies to analyze encumbered funds and review overall utilization percentage to manage funds, • Strategies to analyze patterns and predictions for the utilization of funds, • Strategies for long-term fiscal planning, Strategies to ensure effective and efficient generation of Medicaid Funds. In the case of Infant Toddler, this also includes the ITF Waiver .

Regulatory Source

Infant Toddler	Preschool
IDEA 34 CFR §303.510, §303.511 Title 55 Pa. Code §4226.11-15 Title 55 Pa. Code §4600 Title 55 Pa. Code §4300	IDEA §611, Component 1 and § 619 OCDEL State Early Intervention FISCAL/CONTRACT GUIDELINES (Preschool EI) Specifically, Section 3.3 Funding Increase/Decreases School-Based Access Program Manual

Directions for Finding Evidence
1. Interview the program supervisor or program coordinator according to the ***Supervisor's Interview Protocol***. Business or fiscal managers should be included in the interview as needed. 2. Review other documents, if identified by the program supervisor, which provide evidence of the analysis of 3. fiscal data and long-term fiscal planning.

Standards for Performance Rating

Meets Requirements	Does Not Meet Requirements
• There is a process in place to manage local implementation. • The local program reviews data and process on an ongoing basis. • Process is updated as needed based on review of data. • The process ensures effective fiscal management of the program, or long-term fiscal planning. • The process ensures effective and efficient generation of Medicaid funds.	One or more of the conditions under Meets Requirements are not met.

Indicator: Fiscal and Organizational Systems

Indicator Type: Program Management

Item FO-2: Does the infant toddler or preschool Early Intervention program implement a process for monitoring their Early Intervention staff, contracted providers, and service coordinators, according to programmatic and fiscal requirements?

Infant Toddler EI Criteria	Preschool EI Criteria
There is evidence of the following: • All service coordination entities and contracted providers are monitored annually using the most current monitoring tools, • A plan of correction has been developed, and • Areas in need of improvement have been resolved within timelines established in the plan of correction.	There is evidence of the following: • All contracted providers are monitored annually using the most current monitoring tool, • A plan of correction has been developed, and • Areas in need of improvement have been resolved within timelines established in the plan of correction.

Regulatory Source

Infant Toddler	Preschool
Title 55 Pa. Code §4300 IDEA 34 CFR §303.120; §303.501; §303.700 Title 55 Pa. Code §4226	IDEA 34 CFR §300.600 FISCAL/CONTRACT GUIDELINES (Preschool EI) Specifically, Section 2.5

Directions for Finding Evidence
1. Prior to the Verification, review the ***Provider and Service Coordinator Monitoring Assurance*** (**Local Program Worksheet for Verification)** for information on local monitoring completed by the program. 2. Review documentation of the monitoring of 3 provider agencies and 2 individual providers. If the program does not contract with at least 3 provider agencies and 2 individual providers, review all providers: a. Program reports, b. Plans of correction, and c. Documentation of correction of noncompliance. 3. Review procedure manuals and contract/operating agreements.

Standards for Performance Rating – Monitoring Providers

Meets Requirements	Does Not Meet Requirements
100% of the providers were monitored.	99% or less of the providers were monitored.

Standards for Performance Rating – Monitoring Providers

Meets Requirements	Does Not Meet Requirements
95-100% of the providers found to have areas of noncompliance submitted on a timely plan of correction OR no instances of noncompliance were identified.	94% or less of the providers found to have areas of noncompliance submitted on a timely plan of correction.

Standards for Performance Rating – Monitoring Providers

Meets Requirements	Does Not Meet Requirements
95-100% of the providers found to have areas of noncompliance corrected, noncompliance within timelines OR no instances of noncompliance were identified.	94% or less of the providers found to have areas of noncompliance corrected, noncompliance within timelines.

Indicator: Fiscal and Organizational Systems

Indicator Type: Program Management

Item FO-3: Does the infant toddler or preschool Early Intervention program have systems in place to ensure data is accurate, valid, reliable, and entered timely?

Infant Toddler and Preschool EI Criteria
There is evidence that the Early Intervention program: • Has procedures in place for data collection, • Utilizes data to manage the program and improve program performance, • Ensures data is accurate, valid and reliable, • Ensures data is inputted in a timely manner, and • Ensures procedures are in place to analyze data and to identify data anomalies.

Regulatory Source

Infant Toddler	Preschool
IDEA 34 CFR §303.700-703, §303.720-724 Title 55 Pa. Code §4226.32	IDEA 34 CFR §300.600-602, §300.640-645 Title 22 Pa. Code §14.158

Directions for Finding Evidence
1. Prior to the Verification, review the ***Data Management*** (**Local Program Worksheet for Verification)** for information on the reports used by the program. 2. Interview the program supervisor and/or coordinator according to the ***Supervisor's Interview Protocol***.

Standards for Performance Rating

Meets Requirements	Does Not Meet Requirements
When above 5 criteria are met.	One or more of the above criteria are not met.

Indicator: Fiscal and Organizational Systems

Indicator Type: Compliance

Item FO-4: Does the infant toddler or preschool Early Intervention program ensure that all Early Intervention personnel, including contracted personnel, meet all necessary clearances and qualifications, including qualifications for MA and ITF Waiver?

Infant Toddler Criteria	Preschool Criteria
There is evidence that all Early Intervention personnel, including employees and contracted providers: • Meet state certification requirements or licensure as appropriate for their positions, • Meet the requirements for their positions as specified in the state Early Intervention regulations • Have the required child abuse and criminal history clearances as defined by current child protective services laws. • Any new criteria defined by the department through laws or regulations. There is evidence that the infant toddler Early Intervention program identified and remediated situations in which the EI personnel did not meet qualification standards.	There is evidence that all Early Intervention personnel, including employees and contracted providers: • Meet state certification requirements or licensure as appropriate for their positions, • Meet requirements for instructional paraprofessionals and personal care assistants, as appropriate for their position, • Have the required child abuse and criminal history clearances as defined by current child protective services laws. • Any new criteria defined by the department through laws or regulations. There is evidence that the preschool Early Intervention program identified and remediated situations in which the EI personnel did not meet qualification standards.

Regulatory Source

Infant Toddler	Preschool
IDEA 34 CFR §303.13; §303.31; §303.118-119 Title 55 Pa. Code §4226.5; §4226.31; §4226.53-54 EI Announcement: 09-#17	IDEA 34 CFR §300.156 Title 22 Pa. Code §14.105 EI Announcement: 09-#17

Directions for Finding Evidence

Infant Toddler:

1. Prior to the Verification, the chairperson will **review** the data submitted for Determination in September for information on **provider and service coordinator monitoring**.

2. Prior to the Verification, the chairperson will **review** the Provider Qualification and Training Hours final report posted in DocuShare. **If there are any personnel who do not meet necessary qualifications and/or clearances on the final report, their personnel file *must* be reviewed during verification to determine correction.**

3. Prior to the Verification, using the Provider Qualification and Training Hours final report in DocuShare, the chairperson will **randomly select** a sample of personnel (5% sample, minimum of 5, maximum of 20 staff) to include various providers and positions. The chairperson will verify qualifications available in the EI Provider Registry (clearances, license, and college degree) for the selected sample. **Documentation must show that all staff, employees, and contracted staff meet qualifications.**
    a. DHS FBI, PA State Police and Child Abuse clearances are uploaded in the EI Provider Registry.
    b. Licenses and college transcripts are uploaded in the EI Provider Registry.

Directions for Finding Evidence

4. Prior to the Verification, the chairperson will **interview** the local program supervisor asking them to describe their process for reviewing the qualifications of newly hired staff.

Any EI Personnel without current clearances in the Provider Registry MUST stop seeing all children on their caseload until obtained and the documentation is recorded in the Provider Registry.

Preschool:

1. Prior to the Verification, the chairperson will review the data submitted for Determination in September for information on **provider monitoring**. If the local preschool program only has employees working in the EI program and no contracted providers, they will have 0 on the worksheet.

2. Prior to the Verification, the chairperson will **review** the data submitted for Determination in September for information on the number of **staff qualification**. **If there are any personnel who do not meet necessary qualifications and/or clearances, their personnel file *must* be reviewed during verification to determine correction.**

3. Prior to the Verification, the local program supervisor will provide a list of all EI personnel (employed and contracted) with the following information at a minimum: staff names, role/position title, employment date.

4. From this list of all EI personnel, the chairperson will **randomly select** a sample of personnel (5% sample, minimum of 5, maximum of 20 staff) to include special instructors, paraprofessionals, speech language pathologists, physical therapists, occupational therapists. The chairperson will verify the qualification of the selected staff (clearances, license or certification or college transcript or diploma). **Documentation must show that all staff, employees, and contracted staff meet qualifications**.
    a. License can be found at BPOA - Pennsylvania Licensing System (pa.gov)
    b. PDE FBI, PA State Police and Child Abuse clearances will need to be provided by the local program for evidence.
    c. Certification, college transcripts, or diploma will need to be provided by the local program for evidence.

5. Prior to the Verification, the chairperson will **interview** the local program supervisor asking them to describe their process for reviewing the qualifications of newly hired staff.

Standards for Performance Rating

Meet Requirements	Does Not Meet Requirements
100 % of sample have appropriate qualifications and clearances.	Less than 100% of the sample has appropriate qualifications and clearances.

Indicator: Fiscal and Organizational Systems

Indicator Type: Compliance

Item FO-5: Does the infant toddler or preschool Early Intervention program ensure that all Early Intervention personnel, including contracted personnel, meet necessary pre-service and annual training requirements?

Infant Toddler Criteria	Preschool Criteria
There is evidence that all Early Intervention personnel, including employees and contracted providers who work directly with children and families meet the following training requirements: Pre-service training in the following topics: • Orientation to EI, including EI services, child development, and community resources, • EI regulations, • Duties and responsibilities of their position, • Family-centered approaches, • Interrelated social, emotional, health, developmental and educational needs of children, • Availability and use of local and state resources, • Services in natural environments, • Fiscal operations and funding sources, • Within 120 days of hire: fire safety, emergency evacuation, first aid, and child CPR, • Within 90 days of hire: Mandated Reporter 3-hour training. Twenty-four hours of annual training in the following topics: • Cultural competence, • Mediation, • Procedural safeguards, • Universal health procedures, • Coordination of transition services for infants and toddlers transitioning to preschool programs or other community programs, • Fire safety, and emergency evacuation and • When valid certificate expires, first aid or child CPR and mandated reporting.	There is evidence that all Early Intervention **instructional paraprofessionals and personal care assistants (PCA)** meet the following training requirements: • 20 hours of staff development activities related to their assignment each school year. PCAs must have current first aid and CPR documentation for SBAP billing.

Regulatory Source

Infant Toddler	Preschool
IDEA 34 CFR §303.13; §303.34; §303.118-119 Title 55 Pa. Code §4226.29-30, §4226.31 Child Protective Services Law (23 Pa.C.S. Chapter 63) Subchapter E, Section 6383	IDEA 34 CFR §300.18 Title 22 Pa. Code §14.105 School-Based Access Program Manual

Directions for Finding Evidence

Infant Toddler:

1. Prior to the Verification, the chairperson will **review** the data submitted for Determination in September for information on provider and service coordinator monitoring data.

2. Prior to the Verification, the chairperson will **review** the Provider Qualification and Training Hours final report in DocuShare from the EI Provider Registry.

3. Prior to the Verification, using the Provider Qualification and Training Hours final report in DocuShare, the chairperson will **randomly select** a sample of personnel (5% sample, minimum of 5, maximum of 20 staff) to include various providers and positions. The EI IT sample should include different types of Early Interventionists, different sizes of contracted provider agencies, service coordination, newly hired (within the past year) and existing staff. The chairperson will review the 24 hours of training specific to the topics to verify the content relates to early intervention services, child development, community resources or services for children with disabilities.

4. Prior to the Verification, the chairperson will **interview** the local program supervisor asking them to describe their process for reviewing the training requirements for all staff, including newly hired staff.

Note for clarification: For new hires working in Infant Toddler, regardless of hire date, personnel are required to get pre-service required training before working with children and families. In addition, the annual 24-hour training requirements for new hires is based on the hire date, for example, start April 4, 2022, first 24 hours need to be completed by April 4, 2023. Annual training hours thereafter are moved to a fiscal year.

If personnel change to another EI employer, they do not need to complete pre-service training hours with the employer.

Preschool: ONLY instructional paraprofessionals and personal care assistants (PCA):

1. Prior to the Verification, the chairperson will **review** the data submitted for Determination in September for information on **paraprofessionals** and PCAs. If the local preschool program only has employees working in the EI program and no contracted providers, they will have 0 on the worksheet.

2. Prior to the Verification, the local program supervisor will provide a list of all EI personnel (employed and contracted) with the following information at a minimum: staff names, role/position title, employment date (see FO-4).

3. From the list of all EI personnel, the chairperson will **randomly select** a sample of **instructional paraprofessionals and personal care assistants (PCA)** (5% sample, minimum of 5, maximum of 20 staff). The chairperson will **verify** the 20 hours of staff development activities related to their assignment. PCAs must have current first aid and CPR documentation for SBAP billing.

4. Prior to the Verification, the chairperson will **interview** the local program supervisor asking them to describe their process for assuring all personnel have met training requirements for Act 48.

Standards for Performance Rating - Infant Toddler – Pre-Service Training

Meet Requirements	Does Not Meet Requirements
95-100% of staff meets training requirements.	94% or less of staff meets training requirements.

Standards for Performance Rating - Infant Toddler – Annual Training

Meet Requirements	Does Not Meet Requirements
95-100% of staff meets training requirements.	94% or less of staff meets training requirements.

Standards for Performance Rating – Preschool – Annual Training

Meet Requirements	Does Not Meet Requirements
95-100% of staff meets training requirements.	94% or less of staff meets training requirements.

Indicator: Fiscal and Organizational Systems

Indicator Type: Compliance

Item FO-6: Does the infant toddler and preschool Early Intervention program have procedures in place to ensure all instances of abuse, neglect and exploitation are reported and managed in accordance with Child Protective Services Law and Department policies?

Infant Toddler Criteria	Preschool EI Criteria

There is evidence of the following:
• All instances of abuse, neglect and exploitation within the past year are reported in accordance with PA Child Protective Services Law and Department policies.
• Procedures are in place that ensure:
  ○ All required clearances are obtained and maintained within timelines
  ○ A reporting process is in place for any suspected child abuse
  ○ Training requirements are implemented and maintained according to PA law and policies
• Procedures are in place related to Reportable Incidents.
	There is evidence of the following:
	• All instances of abuse, neglect and exploitation within the past year are reported in accordance with PA Child Protective Services Law and Department policies.
	• Procedures are in place that ensure:
	  ○ All required clearances are obtained and maintained within timelines
	  ○ A reporting process is in place for any suspected child abuse
	  ○ Training requirements are implemented and maintained according to PA law and policies
	• Procedures are in place related to the Educator Discipline Act.

Regulatory Source

Infant Toddler	Preschool
Title 23 Pa.C.S. §6301-6385 Title 55 Pa. Code §3270.32; 3280.32; 3290.32 EI Announcement: EI 23-03	Act 126 – Child Abuse Recognition and Reporting Act 114 of 2014 Act 168 of 2014

Directions for Finding Evidence
Prior to the Verification, use *the **Child Protective Service Procedure Checklist*** to determine what procedures are present or absent.

Standards for Performance Rating

Meet Requirements	Does Not Meet Requirements
95-100% of criteria from the Procedures Checklist are met.	94% or less of criteria from Procedures Checklist are met.

Indicator: Fiscal and Organizational Systems

Indicator Type: Compliance

Item FO-7: Did the infant toddler or preschool Early Intervention program correct all areas of non-compliance identified in the quality enhancement plan?

Infant Toddler and Preschool EI Criteria
There is evidence through validation reviews and documentation in the Quality Enhancement Plan of the following: • Correction of noncompliance findings must be corrected per the timelines specified in the quality enhancement plan, but not to exceed 365 days from the issuance of the verification report. Documentation in the QEP includes: • Activities targeted at correcting all identified noncompliance and timelines for the correction. • Correction of identified noncompliance, including the date when the noncompliance was corrected. • The infant toddler or preschool supervisor participates in validation activities with the BEIS Advisors on the correction of noncompliance within timelines.

Regulatory Source

Infant Toddler	Preschool
IDEA 34 CFR §303.120 and §303.700	IDEA 34 CFR §300.600

Directions for Finding Evidence
Prior to the Verification, review the most recently validated ***Quality Enhancement Plan*** for the following: • Documentation of activities targeted at correcting all identified noncompliance and timelines for correction of noncompliance and • Documentation of validation of correction of noncompliance and the date corrected.

Standards for Performance Rating

Meet Requirements	Does Not Meet Requirements
All areas of noncompliance were corrected according to timelines OR noncompliance was not identified.	Noncompliance was NOT corrected OR noncompliance was corrected beyond 365 days.

Indicator: Fiscal and Organizational Systems

Indicator Type: Compliance

Item FO-8: Does the infant toddler or preschool Early Intervention program have procedures in place to ensure the appropriate use of funds that meet federal, state and local requirements?

Infant Toddler Criteria	Preschool EI Criteria

Procedures include the following:
• Monitoring local contracted providers for timely billing,
• Distribution of funds to contracted providers,
• Maximizing the use of funds through:
  ○ strategies for enrolling infants and toddlers in MA
  ○ strategies for identification of infants and toddlers eligible for the ITF waiver
• Documentation of discussions with families about the system of payment and available sources of funding,
• Implementing the ITF Waiver, including the qualifications for the QP, per announcement EI 08-10, Eligibility for the Infants, Toddlers and Families Medicaid Waiver
• Obtaining parental consent to bill MA,
• Obtaining medical necessity,
• Analyzing service coordination direct and indirect time.
	Procedures include the following:
	• Monitoring local contracted providers for timely billing,
	• Distribution of funds to contracted providers,
	• Maximizing the use of funds through
	  ○ strategies for enrolling preschool-age children in MA
	  ○ SBAP reimbursement funds are used to support core EI program services only
	• Providing written notice and obtaining parental consent to bill MA.
	• Obtaining medical necessity.
	• Ensuring staff positions which are not eligible to bill Medical Access are budgeted to Federal Grants.
	• Teachers/therapists do not exceed state caseload regulations.

Regulatory Source

Infant Toddler	Preschool
IDEA 34 CFR §303.510; §303.520 Title 55 Pa. Code §4226.11; §4226.13-15 Title 55 Pa. Code §4300 Title 55 Pa. Code §4600 Medical Assistance 837 Handbook	IDEA §611, Component 1 IDEA §619 Title 22 Pa. Code §14.155(d) FISCAL/CONTRACT GUIDELINES (Preschool EI) Specifically, Section 2.3 Contracted Services and Section 2.5 The Contract Document #15 and Section 3.6 Medical Access and Section 3.7 Medical Access (MA) Draw Down Requests School-Based Access Program Manual

Directions for Finding Evidence
Prior to the Verification, use the ***Fiscal Procedure Checklist*** to determine what criteria are present or absent.

Standards for Performance Rating

Meet Requirements	Does Not Meet Requirements
95-100% of criteria from the Fiscal Procedure Checklist are met.	94% or below of criteria from the Fiscal Procedure Checklist are met.

Indicator: Fiscal and Organizational Systems

Indicator Type: Compliance

Item FO-9: Does the infant toddler or preschool Early Intervention program have a system for fiscal controls that ensure accountability for the use of federal, state, and local funds?

Infant Toddler Criteria	Preschool EI Criteria
There is evidence of the following: • Contracts contain **work statements/provisions** that meet applicable standards for Early Intervention services, including enrollment and the completion of the Early Intervention billing process. • Vision and hearing service rates are county negotiated, OCDEL approved, and billed accordingly. If these rates are higher than the special instruction rate, the program should have a copy of the approval from OCDEL. • Documentation of training expenditures indicates that funds were used for appropriate training activities • Income and expenditure (I&E) report for previous fiscal year were submitted by due date.	There is evidence of the following: • Contracts for all private providers contain all applicable requirements • The Preschool EI program has entered into a current Agreement to Participate for the School Based Access Program. • Preschool EI funds are not used to pay for children in their extra year of Early Intervention, Act 30 status. • Only allowable costs are expended per fiscal guidelines • All budget expenditure reports for previous fiscal year were submitted by due date.

Regulatory Source

Infant Toddler	Preschool
IDEA 34 CFR §303.510; §303.520 Title 55 Pa. Code §4226.11; §4226.13-15 Title 55 Pa. Code §4300 and §4600 Medical Assistance 837 Handbook EI Announcement: EI 26-06	IDEA §611, Component 1 IDEA §619 FISCAL/CONTRACT GUIDELINES (Preschool EI) Specifically, Section 2.5 The Contract Document #15 and 1.4 Budgets and 1.7 Training Requirement and Section II Reimbursable Costs and 3.7 Medical Access (note) School- Based Access Program Manual

Directions for Finding Evidence

Infant Toddler	Preschool
Review the following: • program and provider work statement/provisions in contracts, • provider rate and budget submission packets for vision and hearing services, • training documentation for a minimum of 2 years, and • income and expenditure reports reflect appropriate use of funds. (Final fiscal year-end report).	Review the following: • contracts for private providers, • local program budget worksheets are in agreement with allocation amount, • contracts for service provision – current and previous. • a copy of the program's internal budget to compare with the allocation. • timeliness of the FER (Final Expenditure Report) report filed in Docushare. • FER reports reflect appropriate use of funds. (Final fiscal year-end report).

Standards for Performance Rating

Meet Requirements	Does Not Meet Requirements

Indicator: Fiscal and Organizational Systems

Indicator Type: Compliance

Item FO-10: Does the infant toddler or preschool Early Intervention program submit claims that accurately reflect the delivery of Early Intervention services?

Infant Toddler Criteria	Preschool Criteria
There is evidence of the following: • Session notes match the billing claim, and • Error reporting/resolution using claims submission data.	There is evidence of the following: 1. Detailed contract invoices that include names of children served, specific services, hours of service and rate costs per hour match billing claim (contract invoices are checked by IEP).

Regulatory Source

Infant Toddler	Preschool
IDEA 34 CFR §303.510; §303.520 Title 55 Pa. Code §4226.11; §4226.13-15 Title 55 Pa. Code §4300 Title 55 Pa. Code §4600	IDEA §611, Component 1 IDEA §619 FISCAL/CONTRACT GUIDELINES (Preschool EI) Specifically, Section 2.3 Contracted Services

Directions for Finding Evidence

Infant Toddler	Preschool
1. The local program and the Verification chairperson will select the contracted providers and number of child records whose billing information will be reviewed. A reasonable sample will be selected to ensure appropriate billing. 2. Contracted providers and child records will be selected from the standard child record list (as appropriate) and shall include children who: a. Are currently active in Early Intervention. b. Received services during a designated three-month time period that is determined by the local program and the verification chairperson. 3. During the Verification, the local program will have available all county payment files, and service delivery documentation for services provided for the selected child records. 4. During the Verification, an Early Intervention Services Claims Review Form will be completed, matching the session note information with the corresponding payment file. Any inaccuracies between the payment file and the session note and services documented on the plan will be noted. **Do not need to review service coordination notes or billing for FO-10 purposes.**	1. The local program and the Verification chairperson will select the contracted providers and number of child records whose billing information will be reviewed. A reasonable sample will be selected to ensure appropriate billing. 2. Contracted providers and child records will be selected from the standard child record list (as appropriate) and shall include children who: a. Are currently active in Early Intervention. b. Received services during a designated three-month time period that is determined by the local program and the verification chairperson. 3. During the Verification, the local program will have available all billing information, and service delivery documentation for services provided for the selected child records. 4. During the Verification, an Early Intervention Services Claims Review Form will be completed, matching the session note information with the corresponding contract invoices. Any inaccuracies between the contract invoices and the session note and services documented on the plan will be noted. 5. If the preschool program does not contract with any providers, full points awarded.

Infant Toddler	Preschool
	If preschool EI program does not contract with any providers, this item meets requirements. Do not need to review SBAP claims.

Standards for Performance Rating

Meet Requirements	Does Not Meet Requirements
95-100% of submitted claims accurately reflect the delivery of Early Intervention services	94% or below of submitted claims accurately reflect the delivery of Early Intervention services