

The Child Record Review Checklist is a fillable document that covers all EI activities from referral to exit. It can be utilized as part of a complete record review or for targeted file review using only applicable sections. The “Notes” column can be used to identify potential questions, document observations, and generate ideas for administrative and reflective supervision.

This tool is designed to support different roles in the EI system.

For example:

Contract Managers can use the checklist to:

- Prepare for monitoring activities, such as baseline verification
- Ensure that a record is complete PRIOR to sending it to DODD for review
- Implement Quality Improvement/Quality Assurance activities

Supervisors may find it helpful with the following activities:

- To conduct a complete record review or focus on a specific area (e.g., first 45 days, Periodic IFSP review, Transition, etc.)
- To monitor compliance with state and federal requirements
- To ensure that a record is complete PRIOR to sending it to DODD for review
- During administrative supervision to ensure notes and forms match guidance
- During reflective supervision to encourage reflection and growth
- For peer-to-peer reviews
- As part of training new staff

Service Coordinators can use the document to:

- Check their skills or knowledge
- Ensure that they are completing each step in a given process
- Verify that their documentation meets all requirements
- Support mentoring of new staff

Service Providers can use the tool to:

- Confirm that they are meeting EI requirements
- Ensure that they are utilizing proper documentation

Additional resources and references are listed at the end of the checklist for further support.

This document covers all EI activities in a non-COVID world. If reviewing activities that took place during COVID please keep in mind the protocols put in place during that time.

Early Intervention Record Review Checklist

County: _____

EISC _____

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| Child's Name: _____ | Reviewer: _____ |
| EIDS #: _____ | Date Reviewed: _____ |
| First 45 Days Documentation and Initial EISC Activities: Documentation of date referral received. EISC verified with caregiver correct spelling of child's legal name, date of birth, and address. If child is in an out of home placement, EISC case notes show all the steps and activities taken to determine, consistent with DODD guidance, who can sign EI paperwork and participate in EI activities. Documentation reflects all attempts and contacts involved with scheduling an initial visit. If referral is after second birthday, refer to Transition Section and confirm completion of all activities. EISC documented all steps and activities taken during the first 45 days (including all NCRs). Program Overview: Documentation shows EISC provided parent with a copy of parent rights brochure; reviewed all of the rights, procedural safeguards, and dispute resolution options; and asked if there were any questions. Documentation shows EISC explained and parents understood what EI is and their parental rights. Documentation shows all activities clearly discussed and parents had an opportunity to ask questions. Documentation shows SOP introduced to parent by reviewing the brochure. Developmental screening (if applicable): Top of form EI-01 filled out completely. Parent signed and dated copy of EI-01 in file. If provided before the 11th day of notice being given (check top right box for date); did parents initial and date the waiver of timeline? Documentation includes date of the screening, that both ASQ and ASQ:SE were used, results of the screening, and who administered. Documentation shows that EISC went over results of screening with parent. | Notes: |

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| Child's Name: _____ | Reviewer: _____ |
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| <p>Documentation shows that regardless of results, the parent was offered an evaluation.</p> <p>Eligibility: If child is evaluated: Top of form EI-02 filled out completely. Boxes checked coincide with what child received (E/A). Parent checked correct box (es) to show understanding of what their child is receiving. Parent signed and dated copy of EI-02 in file. If provided before the 11th day after notice being given (check top right box for date); did parents initial and date the waiver of timeline? Evaluation team documented all steps and activities taken to complete evaluation. If child is ineligible, the evaluation team completed EI-09. If child is ineligible, documentation shows the EISC sent the family EI-09/EI-10 with Parent Rights brochure.</p> <p>If child has Diagnosed Condition: Signed and dated copy of EI-06 in file (at least back of form completed with signature and date). If diagnosis on the list: case notes document all EISC attempts to verify diagnosis, and date information received from physician.</p> <ul style="list-style-type: none"> • If the diagnosis is elevated blood lead level: a copy of the applicable contact page which indicates a referral from ODH for elevated blood lead levels is acceptable documentation. • If the diagnosis is neonatal abstinence syndrome (NAS): a copy of the applicable contact page which indicates a referral from ODH for NAS is acceptable documentation. <p>If diagnosis not on the list: case notes document when EI-12 sent to physician, all attempts to receive documentation from physician, and when received.</p> <p>Child Assessment: Top of form EI-02 filled out completely. Boxes checked coincide with what child received (E/A). Parent checked correct box (es) to show understanding of what their child is receiving. Parent signed and dated copy of EI-02 in file. If provided before the 11th day after notice being given (check top right box for date), parent initialed and dated the waiver of timeline. Assessment team documented all steps and activities taken to complete assessment.</p> | Notes: |

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| Child's Name: _____ | Reviewer: _____ |
| EIDS #: _____ | Date Reviewed: _____ |
| <p>Family Directed Assessment Consent: Top of form EI-03 filled out completely including date FDA offered. Parent has indicated if they consent to participate in the FDA. Parent signed and dated copy of EI-03 in file. If provided before the 11th day after notice being given (check top right box for date), parents initialed and dated the waiver of timeline.</p> <p>IFSP Process: EISC documented all steps and activities taken to coordinate IFSP meeting. EISC completed EI-13 and provided to parent, service providers, E&A team, and anyone else that parent wishes to attend the meeting. Copy in file. Case note documents the parent and EISC were physically present at the IFSP meeting.</p> <p>IFSP (EI-04) First Page Header: Type of IFSP checked and date added. EIDS number listed.</p> <p>Section 1: Child and Family Information Every part of section 1 is completed. N/A noted when there is not another parent involved or the child does not have a nickname.</p> <p>Section 2: Service Coordinator Information EISC and Supervisor contact information (phone/email) documented. The EISC has documented due dates and mandated timelines.</p> <p>IFSP (EI-04) Section 3: Eligibility and Assessment</p> <p>Section 3A: Eligibility EISC completed initial eligibility section. If first box is checked, date is prior to IFSP and section 3B is complete. If second box is checked, diagnosis and date of confirmation are documented. If dx is on the list, documentation from a health professional is on file confirming the dx. If dx is not on the list, form EI-12 is complete and on file.</p> <p>Section 3B: Evaluation Summary This section is completed by the E&A team when eligibility is determined using a tool.</p> | Notes: |

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| <p>Child's Name: _____</p> <p>EIDS #: _____</p> | <p>Reviewer: _____</p> <p>Date Reviewed: _____</p> |
| <p>Notes:</p> <p>Section I clearly describes how the child is eligible for EI including the tool, dates and results in all developmental domains including hearing and vision, and whether a delay is present based on scores or ICO. Section II clearly describes the health, education, and history of the child. Section III clearly describes what the team observed during the evaluation. Section IV lists any information not captured in Sections I-III; "N/A" is noted when no additional information is listed.</p> <p>Section 3C: Family-Directed Assessment Summary If no information is listed here, refer to copy of EI-03; verify parents declined FDA. Date completed. Name of approved tool used _____ Name of person(s) completing tool _____ FDA clearly identifies: <input type="checkbox"/> Informal supports <input type="checkbox"/> Formal supports <input type="checkbox"/> What the family likes to do together <input type="checkbox"/> Routines and activities the family finds challenging <input type="checkbox"/> Routines and activity settings the family identified as needing the most support <input type="checkbox"/> Family's top priorities</p> <p>Section 3D: Other Information This section covers information parent shared that is not covered in Section 3C. This section is used for child history when an evaluation is not needed and Section 3B is not completed. Indicate N/A if no additional information is provided.</p> <p>Section 3E: Assessment Summary This section is clearly completed by the E&A team for each of the three areas:</p> <ul style="list-style-type: none"> • Developing Positive Social-Emotional Skills • Acquiring and Using Knowledge and Skills • Using Appropriate Action to Meet Needs <p>Child's strengths are summarized (clearly shows child's strengths across activities and settings, not skills learned from a tool). Child's needs are summarized (clearly documents the child's needs across routines, situations/activities; does not list next skills or next steps).</p> | |

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| <p>Child's Name: _____</p> <p>EIDS #: _____</p> | <p>Reviewer: _____</p> <p>Date Reviewed: _____</p> |
| <p>Child Outcome Summary Statement is selected (box checked is supported by documentation of strengths and needs). All E&A team members are listed, with disciplines and contact information. Evaluators/Assessor(s) represent two disciplines/ licenses. Date Child Assessment was completed is documented next to assessors' contact information.</p> <p>IFSP Section 4: Our Child and Family Outcomes</p> <p>The first outcome on the IFSP should start with "1"; outcome number stays the same until completed or discontinued; numbers are not reused. A box is checked indicating child or family focused outcome and if addressing transition; only one Child Outcome Summary is checked. Outcome meets the Six Step Criteria (see IFSP Guidance Document). Brief description of child's present levels of development relating to the outcome are documented, such as level of assistance needed and family knowledge related to the topic. Steps support how children learn and build on child and family interest, familiar activities, and routines. Strategies answer the question "Who is doing what to help the family achieve the outcome?" Updates to strategies are documented and reflected within case notes and joint action plan. Written clearly and detailed enough for another provider to understand and implement. Resources listed include formal and informal supports which can help with outcome achievement.</p> <p>Section 4: Service Grid</p> <p>All columns on the grid are complete for each service. Service type is listed in first column, not the provider. Projected start date is within 30 days (m/d/y); end date is no more than 180 days (m/d/y) and not past the child's third birthday. Projected start date is based on actual anticipated start date. If service is addressing outcomes at different frequencies and/or session length, a separate line on the grid is completed for each. Natural environment section is completed including steps as applicable or N/A is marked. Services "needed, but not yet coordinated" are documented, including steps as applicable or N/A is marked. TRS date is listed at the bottom of the page (30 days from the date of parent signature on the IFSP). Prior Written Notice (EI-11) is completed and provided, if applicable. If waived, parent has initialed and dated.</p> | |

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| <p>Child's Name: _____</p> <p>EIDS #: _____</p> | <p>Reviewer: _____</p> <p>Date Reviewed: _____</p> |
| <p>Section 5: Consent for EI Services</p> <p>Parent signed and dated. EISC signed and dated. E&A team documented participation at IFSP meeting, including name, role, method, & date. Any provider added to the IFSP signed & dated. EISC case notes reflect all attempts to obtain participant signatures for anyone not at IFSP meeting All signature dates match. All names, roles, and agencies are clearly written on the IFSP. Professional Referral Follow up Form (EI-14) is provided, if applicable. IFSP is provided to the parent and provider/s within 10 days.</p> <p>System of Payments (completed at initial referral and annually)</p> <p>Top of EI-15 is completed. One source of documentation is checked unless the family has chosen not to share their financial information by initialing and dating. EISC indicates if family is able or unable to pay. EISC signature and date indicated. Parent signed and dated. EI-15 is completed prior to IFSP being signed. Top of EI-05 is completed. Parent selected one box for each: private and public insurance. Parent signed and dated each section. If parent consented, insurance information is completed. EI-05 is completed prior to the IFSP being signed. IFSP reflects more than one funding source if services will exceed 55 units in the remainder of the IFSP year.</p> <p>If accessing POLR Funding: EI-16 Payment for EI Services is completed with parent signature. Case notes reflect EI-04, EI-05, and EI-16 were submitted to the EI Resource Coordinator at DODD.</p> <p>If family is able to pay: Case notes reflect EME conversation.</p> | <p>Notes:</p> |
| <p>TRS/Monitoring of Service Delivery</p> <p>Case notes document steps taken by EISC to seek out providers and funding sources for any needed EI services.</p> | |

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| <p>Case notes reflect EISC activities related to the coordination, facilitation, and monitoring of the delivery of EI services, including contacts, meetings, requests for provider documents, and follow-up activities to ensure that services are provided as written on the IFSP and in a timely manner. PWN (EI-11) is completed whenever any of the first seven columns of the service grid are changed (EI-04). Documentation reflects contacts around scheduling an IFSP review, including sending IFSP Meeting Notice (EI-13). For providers, case notes include:</p> <ul style="list-style-type: none"> Documentation of the EI services provided, including the date, length, duration, frequency, intensity, method of delivery, location, and all activities related to IFSP outcomes Provider name, discipline, and evidence the provider's licensure matches the service type Description of how information was provided to, or intervention occurred with, the family Any adjustments made to intervention strategies and activities Provider signature and date | <p>Notes:</p> |
| <p>Periodic IFSP Review</p> <p>EISC documented all steps and activities taken to coordinate IFSP meeting. EISC completed EI-13 and provided to parent, service providers, and anyone else that parent wishes to attend the meeting. Copy in file. Applicable sections of IFSP updated using new pages. Team addressed outcome progress on section 4.</p> <ul style="list-style-type: none"> If outcome is met - box checked and dated If continuing outcome and strategies- box checked and dated If continuing outcome but revising strategies and/or services - box checked and dated. Rewrite outcome on new page (keep same number). If revised outcome/strategies/services - box checked and dated. Develop new outcome (new number). <p>New grid page created at each review. Parent and EISC signed and dated. Parents and providers received a copy of any updated pages within 10 days. Periodic Reviews occur at least every 180 days. If applicable, Prior Written Notice (EI-11) completed and provided. If waived, parent has initialed and dated.</p> | |

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| <p>Child's Name: _____</p> <p>EIDS #: _____</p> | <p>Reviewer: _____</p> <p>Date Reviewed: _____</p> |
| <p>System of Payments:</p> <ul style="list-style-type: none"> • EI-05 is reviewed if a POLR provider is being used. • IFSP reflects more than one funding source if services will exceed 55 units in the remainder of the IFSP year. • Case notes reflect tracking of units. <p>If accessing POLR Funding:</p> <ul style="list-style-type: none"> • EI-16 Payment for EI Services completed with parent signature. • Case notes reflect EI-04, EI-05, and EI-16 were submitted to the EI Resource Coordinator at DODD <p>If family is able to pay:</p> <ul style="list-style-type: none"> • Case notes reflect EME conversation. | <p>Notes:</p> |
| <p>Annual IFSP Review</p> <p>Eligibility (Select One)</p> <ul style="list-style-type: none"> • Child eligible until age 3; no additional documentation needed. • "Eligible until age three" is checked • Eligibility due to ICO; new evaluation completed. • Eligibility due to diagnosed condition not on the list; received new EI-12. <p>Redetermination (if box 2 or 3 above checked)</p> <ul style="list-style-type: none"> • A copy of new EI-02 is on file with parent signature and date. • Boxes checked coincide with what child received (E/A). • If evaluation is completed, information is documented on 3B of the IFSP. • Evaluation (if applicable) was completed prior to the due date. • New EI-12 received (if applicable) and documented. • N/A - Redeterminations of eligibility and child and family assessments that are due within 90 days of a child's third birthday do not need to be completed unless the team determines that completing them would provide information necessary for program planning. <p>Annual Child and Family Assessments:</p> <ul style="list-style-type: none"> • Copy of new EI-02 with parent signature and date. • Boxes checked coincide with what child received (E/A). • Copy of new EI-03 with parent signature and date. • Assessments occurred not more than 90 calendar days before the annual IFSP due date. • Annual and periodic reviews of IFSPs that are due within 90 days of a child's third birthday must be completed no later than the end dates of the services on the IFSP. | |

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| <p>Child's Name: _____</p> <p>EIDS #: _____</p> | <p>Reviewer: _____</p> <p>Date Reviewed: _____</p> |
| <p>IFSP:</p> <p>EISC documented all steps and activities taken to coordinate IFSP meeting. EISC completed EI-13 and provided to parent, service providers, and anyone else that parent wishes to attend the meeting. Copy in file. Case note documents the parent and EISC are physically present at the IFSP meeting.</p> <p>A new IFSP form was started.</p> <p>Team addressed outcome progress on section 4.</p> <p style="padding-left: 20px;">If outcome is met - box checked and dated</p> <p style="padding-left: 20px;">If continuing outcome and strategies - box checked and dated</p> <p style="padding-left: 20px;">If continuing outcome but revising strategies and/or services - box checked and dated. Rewrite outcome on new page (keep same number).</p> <p style="padding-left: 20px;">If revised outcome/strategies/services - box checked and dated. Develop new outcome (new number).</p> <p>New grid page created at each review.</p> <p>Parent and EISC signed and dated.</p> <p>Any providers added to the IFSP signed and dated.</p> <p>Parents and provider/s received a copy of IFSP within 10 days.</p> <p>If applicable, Prior Written Notice (EI-11) completed and provided. If waived, parent has initialed and dated.</p> <p>Box checked to indicate whether or not a child has shown progress for each of the three areas of COS.</p> <p>System of Payments:</p> <p>System of Payments forms EI-05 and EI-15 are completed at IFSP meeting. IFSP reflects more than one funding source if services will exceed 55 units in the remainder of the IFSP year.</p> <p>Case notes reflect tracking of units.</p> <p>If accessing POLR funding:</p> <p style="padding-left: 20px;">EI-16 Payment for EI Services must be completed with parent signature. Case notes reflect EI-04, EI-05, and EI-16 were submitted to the EI Resource Coordinator at DODD.</p> <p style="padding-left: 20px;">Documentation shows EISC provided parent with a copy of parent rights brochure, reviewed, and asked if there were any questions.</p> <p>If family is able to pay:</p> <p style="padding-left: 20px;">Case notes reflect EME conversation.</p> | <p>Notes:</p> |

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| <p>Child's Name: _____</p> <p>EIDS #: _____</p> | <p>Reviewer: _____</p> <p>Date Reviewed: _____</p> |
| <p>Transition When referral is after child's second birthday: Case note documents EISC had conversation during initial visit regarding transition. Header of EI-07 filled out completely. Top section of EI-07 completed to show that parent made a choice whether or not to share their information with LEA and choice is accurately reflected in EIDS. Parent has signed and dated top part of EI-07.</p> <p>For children 24 months of age or older Top section of EI-07 is completed. Parent has checked that they do or do not consent to share information with the LEA on the top section of EI-07 and choice is accurately reflected in EIDS. Parent name, signature, and date are complete for LEA notification.</p> <p>For all children within 90 days of their third birthday On the bottom section of EI-07, parent has checked that they do or do not consent schedule a TPC meeting. Parent name, signature, and date are complete for TPC consent. EI-06 completed for all agencies/LEA that the parent wants to share information with as part of TPC/transition process. Section 4 of the IFSP has a transition outcome with "outcome addresses transition" checked. The transition outcome meets the Six Step Criteria and describes what the family would like to happen to support transition. The Strategies section describes the steps needed to meet the transition outcome. Section 5 of the IFSP documents that the transition outcome and steps were developed during the required time period (no more than 9 months, and not fewer than 90 days, before the child's third birthday).</p> <p>For children within 90 days of their third birthday for whom the parent has signed consent for a TPC EISC documented all steps and activities taken to coordinate TPC at an IFSP meeting. EISC completed EI-13 and provided to parent, service providers, LEA (if applicable), and anyone else that parent wishes to attend the meeting. Copy in file. Top of the IFSP (EI-04) has date of TPC and "TPC" written next to the date.</p> | <p>Notes:</p> |

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| <p>Section 5 of the IFSP documents that the TPC was held during the required time period (no more than 9 months, and not fewer than 90 days, before the child's third birthday).</p> | <p>Notes:</p> |
| <p>Exit</p> <p>On section 3E of the IFSP, box is checked to indicate if the child has shown any new skills or behaviors for each of the three COS areas. Documentation shows the EISC sent the family form EI-10 with Parent Rights (unless exiting at age three or child deceased).</p> | |
| <p>Transfers</p> <p>Sending County</p> <ul style="list-style-type: none"> Maintained original record. Provided paper/electronic copy to the new county within 10 calendar days from record request of the new county. EISC updated all information in EIDS prior to transfer, including System of Payment units used documented in case notes. Referral made to Central Intake. <p>Receiving County</p> <ul style="list-style-type: none"> Requested record from previous county. Checked EIDS for redetermination dates. Within 45 days of transfer ensured completion of: <ul style="list-style-type: none"> A review of existing eligibility/assessment information Update of assessment as necessary IFSP review Checked EIDS for SOP units used. | |
| <p>Noncompliance Reasons (NCRs)</p> <p>For any late timeline, case notes are needed to support exceptional family circumstances.</p> <ul style="list-style-type: none"> Case note supports reason for delay (unable to reach family, no show, family requested later date, child was ill, etc.) Delays due to staff or system reasons are not acceptable (provider cancellation, lack of slots, etc.) If delay was due to an emergency situation, a dated document with details of event (weather emergency, closure, etc.) is on file. Documentation shows that exceptional circumstances occurred prior to the timeline ending. Documentation shows that program attempted to schedule the activity within the timeline and, if family was unavailable, staff attempted to schedule as soon as possible after the delay. Date of case note is documented. | |

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County: _____

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| Child's Name: _____ | Reviewer: _____ |
| EIDS #: _____ | Date Reviewed: _____ |
| Case note includes signature or initials of individual who had contact with the family regarding the delay. | Notes: |
| EIDS Data Entry EISC entered all activities completed into EIDS within 30 days of activity occurring. | |

RESOURCES

EI Rules and Regulations - <https://ohioearlyintervention.org/federal-and-state-regulations>

EI Forms - <https://ohioearlyintervention.org/forms>

IFSP Guidance Document - <https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/IFSPGuidanceDocument07012019.pdf>

Verification Standards - <https://ohioearlyintervention.org/monitoring>

PWN Guidance - <https://ims.ocali.io/storage/ocali-ims-sites/ocali-ims-oei/documents/Prior%20Written%20Notice-011720.pdf>

Transition Timeline Checklist - <https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/Transition-Timeline-Checklist-7-10-2020.pdf>

Noncompliance Reasons (NCRs) - <https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/EINCRExamples.pdf>

Data Entry Guide - https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/EI-Data-Entry-Guide_updated-June-2020.pdf