

**EXHIBIT C**

***PRESCHOOL SERVICES  
MANUAL***

**Putnam County  
Department of Health**

**Preschool Special Education Program**

**Revised June 5, 2013**

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# Section 1 - OVERVIEW

The purpose of this manual is to clarify certain procedures which must be followed to assist providers in meeting the requirements of their contract with Putnam County Department of Health (PCDOH), and in maintaining compliance with New York State Laws and Regulations.

## A. Responsibility of the Provider

Providers must be thoroughly familiar with both the provisions of their contract and the guidelines for implementation of the contract provisions outlined in this manual. All preschool providers may be monitored by the state and/or county to assure adherence to the laws, regulations, and procedures.

- All preschool services shall be provided in accordance with state regulations, laws, and memoranda under Section 4410 of the New York State Education Law (available on their website [www.p12.nysed.gov/specialed/publications](http://www.p12.nysed.gov/specialed/publications))
- All preschool providers shall be familiar with and adhere to the regulations, laws, and memoranda, and their clinical practice guidelines as per the New York State Office of Professions (available on their) website <http://www.op.nysed.gov>
- All preschool providers shall be familiar with and adhere to the regulations, laws, and memoranda, as per NYS Medicaid in Education Preschool/School Supportive Health Services Program (SSHSP) (available on their website <http://www.oms.nysed.gov/medicaid/>)

## B. Responsibility of the County

In accordance with Section 4410(9) (c) of the New York State Education Law, it is the responsibility of the County to:

- contract with related service providers and 4410 agencies who are appropriately certified or licensed to provide services to preschoolers with disabilities
- maintain a list of appropriately certified or licensed professionals/agencies with which it contracts
- determine reasonable rates of reimbursement (subject to approval of the Commissioner of Education)
- pay the providers who deliver appropriately authorized services in accordance with their contract

## C. Responsibility of the School District

Services provided to preschool students with disabilities (ages 3 to 5) are authorized by the student's Individualized Education Plan (IEP) which is determined by the student's school district Committee on Preschool Special Education (CPSE).

- The IEP sets forth the start and end dates, frequency, duration, location and intensity of the appropriate service(s), current levels of performance, and measurable annual goals.
- The specific provider(s) is selected by the CPSE from the list of service providers maintained by the County.

#### **D. Responsibility of the Evaluator**

- Understands federal and state laws and regulations.
- Provides all preschool evaluations in accordance with state regulations, laws, and memoranda under Section 4410 of the New York State Education Law (available on their website [www.p12.nysed.gov/specialed/publications](http://www.p12.nysed.gov/specialed/publications))
- Maintains current knowledge base of criterion and norm-references tests and their reliability and validity with respect to preschool children.
- Evaluates preschool children suspected of having a disability when selected by the parent, including: with parent consent, and with the CPSE, reviews most recent evaluation report or other assessment or evaluation of a child in transition from the EIP to determine if there is a need for additional evaluations and identify which evaluation components may be needed.
- Contacts parent to arrange evaluation of child.
- With parental consent, conducts the individual evaluation of the preschool student.
- Prepares a report of the assessment and/or evaluation, with a summary portion on a form required by the Commissioner of the State Education Department.
- Describes evaluation results in language easily understood by parent.
- Forwards the evaluation reports to school district, preschool student's parent(s) and to the person designated by the municipality in which the preschool child resides.
- The Evaluator is always invited by Putnam County School District CPSE's; it is the professional responsibility of the evaluator to participate in the CPSE meeting to review the evaluation report and develop a recommendation to the board of education regarding the preschool student's eligibility and need for special education programs and services.
- Assists in the development of the IEP.
- Answers questions related to the evaluation process.
- Completes a reevaluation of one or more of the evaluation components upon request, following the initial CPSE meeting.

## Section 2 - DEFINITIONS

### A. Related Services

Related services must be provided by appropriately certified or licensed individuals pursuant to Part 80 of the Regulations of the Commissioner of Education. According to Part 200.1 (qq) of the Regulations of New York State Commissioner of Education:

*“Related services means developmental, corrective, and other supportive services as are required to assist a student with a disability and includes speech-language pathology, audiology services, interpreting services, psychological services, physical therapy, occupational therapy, counseling services, including rehabilitation counseling services, orientation and mobility services, medical services as defined in this section, parent counseling and training, school health services, school nurse services, school social work, assistive technology services, appropriate access to recreation, including therapeutic recreation, other developmental or corrective support services, and other appropriate support services and includes the early identification and assessment of disabling conditions in students.”*

A related service session shall consist of services provided by a therapist interacting with an individual student or group of students. The minimum duration of each session must be thirty (30) minutes; however, sessions of longer duration may be required by the student’s IEP

### B. SEIT – Special Education Itinerant Teacher

According to Part 200.16 (i)(3)(ii) of the Regulations of New York State Commissioner of Education,

*“Special education itinerant services as defined in Section 4410(1)(k) of Education Law are services provided by a certified special education teacher of an approved program on an itinerant basis at a site determined by the board including but not limited to an approved or licensed pre-kindergarten or Head Start program; the student's home; a hospital; a State facility; or a child care location as defined in section 4410 of the Education law. If the board determines that documented medical or special needs of the preschool student indicate that the student should not be transported to another site, the student shall be entitled to receive special education itinerant services in the preschool student's home. Such services shall be for the purpose of providing specialized individualized or group instruction and/or indirect services to preschool students with disabilities. Indirect services means consultation provided by a certified special education teacher to assist the child's teacher in adjusting the learning environment and/or modifying their instructional methods to meet the individual needs of a preschool student with a disability who attends an early childhood program. An early childhood program, for purposes of this paragraph, means a regular preschool program or day care program approved or licensed by a governmental agency which a child under the age of five attends.”*

According to 200.9 (f)(2)(ix),

*“Rates for the certified special education teacher providing special education itinerant services shall be published as half hour rates and billing by providers to municipalities must be done in half hour blocks of time. Billable time includes time spent providing direct and/or indirect special education itinerant services as defined in section 200.16(i)(3)(ii) of this Part in accordance with the student's individualized education program (IEP). The difference between the total numbers of hours employed in the special education itinerant teacher's standard work week minus the hours of direct and/or indirect special education itinerant service hours must be spent on **required functions**. Such functions include but are not limited to: coordination of service when both special education itinerant services and related services are provided to a student pursuant to section 4410(1)(j) of the Education*

*Law; preparation for and attendance at committee on preschool special education meetings; conferencing with the student's parents; classroom observation; and/or travel for the express purposes of such functions as stated above. For the purpose of this subparagraph, parent conferencing may include parent education for the purpose of enabling parents to perform appropriate follow-up activities at home. Billable time shall not be less than 66 percent or more than 72 percent of any special education itinerant teacher's total employment hours. Providers shall maintain adequate records to document direct and/or indirect service hours provided as well as time spent on all other activities related to each student served."*

The Regulations of the Commissioner of Education (Section 200.6(e)(1)(2)) has established a minimum of two 60-minute sessions per week.

## **Section 3 – EVALUATIONS**

### **A. Components of the Individual Evaluation**

1. Include information about functional areas related to cognitive, language/communication, adaptive, social/emotional and physical development in order to determine the child's individual needs.
2. Include a variety of assessment tools and strategies, including information provided by the parent and preschool/daycare provider to gather relevant functional, developmental and academic information about the child.
3. Include information related to enabling the child to participate in appropriate activities.
4. Initial Evaluations must include:
  - Psychological
  - Social history - In cases where medical factors may be contributing to the child's educational disability, detailed comprehensive medical documentation must be obtained with parental consent.
  - Physical examination and vaccination record
  - Observation of child's performance and behavior in a natural setting:
    - a) The current educational placement, if applicable, to document the student's academic performance and behavior in the areas of difficulty
    - b) or in places familiar to the child where he or she is comfortable and will have the opportunity to demonstrate typical behaviors (i.e. home)
  - Other appropriate assessments as determined by the CPSE Chairperson:
    - c) The approved evaluator may make a recommendation to the CPSE Chairperson as to additional assessments.
    - d) The CPSE Chairperson will determine the necessity and appropriateness of additional assessments to be conducted as part of an initial or reevaluation of a preschool child.

### **B. Evaluation Instruments**

1. For scores to be valid standardized tests must follow a specific protocol; otherwise, the results must be expressed descriptively. When scores from standardized tests are reported, they should be interpreted based on the statistical data that have been established in the standardization process. When standardized tools are used informally to gather information, their results should not be reported or interpreted based upon the standardized interpretation tables.
2. If an assessment is not conducted under standard conditions, a description of the extent to which it varied from standard conditions (e.g., the qualifications of the person administering the test, or the method of test administration) must be included in the evaluation report.
3. If a formal assessment tool (such as a standardized test) is not appropriate, the professional may gather information needed for the evaluation through the use of observation and interview.

### C. Bilingual Evaluations

1. The individual evaluation should be conducted in the *student's native language*, which means the language, or mode of communication normally used by the child in the home or learning environment.
2. Appropriately licensed/certified bilingual professionals should conduct the evaluation of culturally and linguistically diverse children.
3. If a licensed/certified bilingual evaluator is not available it may be necessary to rely on an interpreter working with English-speaking professionals who do not speak the child's language:
  - A paraprofessional or community interpreter with proficiency in the student's primary language may work under the supervision of a professional staff member.
  - Under no circumstances shall a member of the student's immediate or extended family be used for interpreting evaluations.
  - School psychologists, TSHHs, and school social workers must have the Bilingual Education Extension in the target language if they are conducting a bilingual evaluation without the use of an interpreter.
4. **Indicate on the top of the front page of each evaluation that it is a Bilingual Evaluation.**
5. NYSED websites you might find helpful regarding bilingual evaluations:

**[http://www.p12.nysed.gov/biling/docs/GuidelinesforCLDPreschoolStudents\\_March1997\\_1.pdf](http://www.p12.nysed.gov/biling/docs/GuidelinesforCLDPreschoolStudents_March1997_1.pdf) - Guidelines for Services for Culturally and Linguistically Diverse Preschool Students with Disabilities Ages 3-5, March 1997**

**<http://www.p12.nysed.gov/specialed/publications/policy/credfina.html> - Certification and Licensing of Bilingual Special Education Professionals, June 1997**

**<http://www.p12.nysed.gov/specialed/publications/policy/psych.html> - Psychologist/Interpreter Work Standards for Conducting Bilingual Evaluations**

### D. Evaluation Reports

1. The summary report must include:
  - The individually administered evaluation measures
  - The result of the observation of the child
  - The findings pertinent to all the domains
  - The strengths and needs of the child and the characteristics relating to the suspected disability
2. The summary report shall **not** include:
  - A recommendation as to the general type, frequency, location and duration of special education services and programs that should be provided
  - The manner in which the preschool student can be provided with instruction or related services in the least restrictive environment
  - Reference to any specific provider of special services or programs
3. The evaluator must provide the summary report to the parent in the native language of the parent or other mode of communication used by the parent unless it is not feasible to do so.



4. Review evaluations with the parents/family as soon as possible after the evaluations in the native language or communication mode of the family with adequate time to review and discuss the evaluation.
  - It should also be made very clear to the parents that the child's strengths and needs will be discussed at the CPSE meeting and the committee will make an appropriate decision regarding the need for services
5. The evaluator must provide the evaluation reports and summary report to the members of the CPSE, which includes the child's parents and the person designated by the municipality in which the preschool child resides, in a timely fashion:
  - to allow for a recommendation by the Committee to be made to the Board of Education within thirty school days of the receipt of parent consent to evaluate.
  - to allow for appropriate preparation for the meeting
  - The reports must have the evaluator's signature
  - CPT codes for the evaluation should be recorded on the report
6. The team's full evaluation report should be written clearly and concisely and in a language that avoids professional "jargon" or explains the report so that it can be better understood by parents and professionals from other disciplines.

#### **E) Standards of Good Practice**

1. A strength-based approach should be used during the evaluation process so that if programs and/or services are recommended, these areas of strength can support or bridge the gap between these strengths and the needs of the child.
2. Evaluators should actively seek parent and preschool/daycare provider concerns, observations, and relevant information regarding the developmental milestones, levels of performance, and individual needs of their child. These are critical components of the evaluation.
3. The approved evaluation agency should avoid using excessive assessment procedures when conducting the individual evaluation.
4. <http://www.p12.nysed.gov/specialed/publications/preschool/eval3-4old803.htm> - Evaluations of Three and Four-Year-Old children Suspected of Having Disabilities Pursuant to Section 4410 of the Education Law

#### **F) CPSE Meeting**

1. It is the professional responsibility of the evaluation unit to have a representative present at the CPSE meetings who can interpret the instructional implications of the evaluations.
2. When presenting the results of the evaluations
  - Paint a picture of the child, telling a story of the evaluation process
  - Include the child's strengths and needs and information related to enabling the child to participate in appropriate activities
  - Include the instructional implications of the results

### **G) Parental Consent to Bill Medicaid**

1. A consent to bill Medicaid is necessary for the County to access Medicaid funding; the signed consent must be sent to Putnam County.  
For initial evaluations the CPSE Chair is often able to obtain the consent to bill Medicaid, however this is not always possible or successful.
1. Evaluators should seek parental consent to bill Medicaid **for the initial evaluation** if one has not been obtained (form attached).
  - This applies to all families. Even if the child is not on Medicaid the parent signature indicates consent should the child become Medicaid eligible
  - If the parent chooses not to consent, indicate this on the form
  - One form applies to all evaluations
2. Evaluators must ensure that:
  - Parents are fully informed regarding the purpose of the consent
  - The original Parental Consent to Bill Medicaid form must be sent to the county with the initial evaluation packet

### **H) Prescription/Written Order/Referral**

- 1) Physical Therapy, Occupational Therapy and Audiological Evaluations
  - Requires a signed and dated written order from a physician, a physician assistant or a nurse practitioner who is acting within the scope of his or her practice under NYS law.
- 2) Speech Therapy Evaluation
  - Requires a signed and dated written order from a physician, a physician assistant, a nurse practitioner **or** a signed and dated written referral from a speech-language pathologist.
- 3) Psychological Evaluation
  - Requires a referral from an appropriate school official (i.e. CPSE Chairperson) or a signed and dated written order from a physician, a physician assistant or a nurse practitioner who is acting within the scope of his or her practice under NYS law
- 4) ***The Prescription ~ Referral for Preschool Evaluations ~ Services Form*** (attached) guides the referring professional to include pertinent information needed by the County to access Medicaid funding and is, therefore, the preferred form
- 5) The original prescription/written order must be maintained by the evaluator in the student's primary file and be available upon request
- 6) A copy of any prescription/written order or referral must be sent to Putnam County
- 7) In the event that a prescription/written order or referral cannot be obtained, (since this is a requirement for Municipal Medicaid billing only), Evaluators are required to evaluate the child anyway.

# Section 4 - PROVISION OF SERVICES

**~ All Preschool Services are determined by the child's District Committee on Special Education (CPSE)**

**~ It is the provider's responsibility to help families understand that decisions are made at the CPSE Meeting by the Committee**

## **A. The IEP**

1. Service providers may not begin services until they have received a copy of the student's IEP. The CPSE Chairperson will provide a paper or electronic copy of the IEP to all providers who are responsible for the implementation of the IEP.
2. Services must be provided in accordance with the student's IEP. Service providers should carefully review the student's IEP since payment will be made only for services provided in accordance with the student's IEP. Particular attention should be paid to:
  - Start and end dates of services
  - The location of services
  - Frequency and duration of services (e.g. 2 times a week for 30 minutes).
  - Ratio (individual or group session)
  - IEP goals
  - Present levels of performance and individual needs
3. Service providers are responsible for addressing the goals identified on the IEP, and to contact the CPSE Chairperson if there is a need to change the goals and/or current levels of performance.
4. **All changes/modifications to the IEP can only be made by the CPSE**
  - Contact the CPSE Chairperson if provider feels there is an appropriate reason for a change
  - CPSE will determine if a change to the IEP is appropriate
  - A provider does not have the authority to change the frequency, duration, and/or location of services because it better meets the therapist's schedule
  - The frequency, duration, and location are decided at the CPSE meeting based on the individual needs of the child
5. **It is the responsibility of the provider to immediately notify the CPSE if they can no longer provide the service.**
6. **It is the responsibility of the provider to immediately notify the CPSE if the child has achieved all the IEP goals prior to the Annual Review.**

## **B. Designation of Service Provider**

1. For a preschool student with a disability who is found eligible for services under Section 4410 of the Education Law, it is the responsibility of the CPSE to designate the specific service provider(s) for that student.
2. If a preschool student will be receiving two or more related services, it is also the CPSE responsibility to designate one of the student's related service providers as a Coordinator of Services. If the student receives one or more related services in conjunction with Special Education Itinerant Teacher (SEIT) services, then the SEIT by definition is the Coordinator of Services.

### C. Prescription/Written Order/Referral

If Medicaid requirements or the professional standards of the related service provider require a physician's or other health care professional's written order or referral prior to the delivery of service, it is the responsibility of the related service provider to obtain and adhere to such order as it pertains to the delivery of the related service.

- The order/referral must be maintained by the provider in the student's primary file and be **renewed every IEP Period or whenever there is a change in services**
- Putnam County requires a copy of the order/referral
- If a provider is unable to obtain the necessary order/referral, the CPSE Chairperson must be notified.

### D. Scheduling Services

1. The CPSE Chairperson or designee will contact a provider to carry out the IEP services.

**Please do not accept a case for SEIT and/or related services if you cannot comply with the IEP.** If the provider is interested and is able to provide the service as per the IEP, the provider contacts the parent to discuss a schedule for provision of services. The provider **must** notify the CPSE Chairperson of the outcome of the contact with the parent including:

- Provider will provide the service and the first date of service
- Provider offered time/day but parent refused
- Provider not able to provide the service at the present time
- Other information, as appropriate

2. Providers should establish a consistent schedule for the services identified in the IEP. The schedule should be provided to the parent and or the approved or licensed pre-K, Head Start program, or child care location as applicable.

- Verify with the program the child's full name and DOB prior to initiation of services

#### 3. School Calendar

- Services for preschool students with disabilities are provided in accordance with the dates specified on the IEP and in accordance with a "school calendar".
- School calendars exclude weekends, certain legal holidays, and school vacations.
- Since school calendars vary from school district to school district and school to school, the school calendar for a student receiving services should be based on the following considerations:

- a) If you are seeing a child at a typical preschool and the calendar does not coincide with the school district or SEIT calendar, contact the CPSE Chairperson as to which calendar to follow
- b) Generally, for a student receiving related services only the "school calendar" should be the calendar of the student's school district. Contact the CPSE office with any questions about the calendar
- c) Generally, for a student receiving SEIT services alone or SEIT and related services, the SEIT providers' calendar is to be followed. The SEIT agency is responsible to forward their calendar to the CPSE, other providers, and the parents

- **The CPSE can determine a specific calendar based on the unique needs of the child and this will be indicated in the IEP**
- Services can be provided on a **Superintendent's Conference Day** since it is counted as one of the 180 mandated days

- If a school district cancels school because of a **snow day** or another emergency, the provider can decide if they want to provide services that day or make up the session in accordance with the make-up policy
- **Legal Holidays** – the following is a list of legal holidays from the state: New Year’s Day, Martin Luther King, Jr. Day, \*Lincoln’s Birthday, \*Washington’s Birthday, Memorial Day, Independence Day, Labor Day, Columbus Day, \*Election Day, Veteran’s Day, Thanksgiving Day, Christmas Day.
- \*Services may be scheduled or made up only on Lincoln’s Birthday, Washington’s Birthday, and Election Day. They **cannot** be done on the other legal holidays.

#### **E. Missed Sessions and Make-Up Sessions**

1. Make-up sessions should be therapeutically appropriate and provided within a reasonable amount of time.
2. Make up sessions are to be completed within the IEP dates of service. The total number of sessions provided cannot exceed the total number of sessions authorized during the IEP period.
3. If a provider is not consistently providing the total number of sessions on the child's IEP, the parent, and/or County may ask the CPSE to review the IEP.
4. Make-up sessions can be provided during winter and spring breaks and any other days listed as closed on the school calendar except for the following legal holidays:
  - New Year’s Day, Dr. Martin Luther King, Jr. Day, Memorial Day, Independence Day, Labor Day, Columbus Day, Veteran’s Day, Thanksgiving Day, Christmas Day
5. Providers must document and communicate with CPSE Chairpersons when students have excessive, frequent, and/or regular absences that impact a child’s receipt of services as required by their IEP, including:
  - The reasons for such absences
  - The steps the provider has taken to address such absences
6. If five (5) consecutive sessions are missed, regardless of the reason,
  - Provider should notify the CPSE Chairperson and the Putnam County Department of Health, Preschool Special Education Office.
7. Related service sessions missed due to student or staff absences must, to the maximum extent feasible, be made up to ensure that the student receives a free appropriate public education.
8. SEIT and/or related service providers are to arrange for makeup sessions when SEIT and/or related service sessions are missed due to staff absences. They are to be provided to the child by the provider or a qualified substitute staff (from the same agency).

## F. Coordination of Services

1. When a preschool student (ages 3-5) with a disability receives two or more related services, the CPSE shall, when possible, designate one of the related service providers as a Coordinator of Services.
  - When a preschool student receives one or more related services and Special Education Itinerant Teacher (SEIT) services, the SEIT provider, by definition, is the Coordinator of Services.
  - Coordination is reimbursable for no more than ten (10) half-hour sessions during the school year (September-June) and two (2) half hour sessions during the summer.
  - Reimbursement for coordination is not allowed with SEIT services. In this instance, the SEIT provider serves as the coordinator.
2. If the provider designated by the CPSE as the Coordinator of Services is an agency, the individual who serves as the Coordinator of Services must be one of the individuals who actually provide related services to the student.
3. Coordination activities include the following:
  - Arranging the schedule and location for service delivery according to the CPSE recommendations and consulting with CPSE Chairperson to resolve issues when appropriate
  - Sharing appropriate information with all related service providers for the appropriate integration of such services and to assess the progress of the student
  - Gathering appropriate progress reports and anecdotal information relating to the student's progress from all related service providers to ensure that the coordinator has a general knowledge of the student's progress, as well as any significant problems, in each related service area
  - Developing interim reports as needed
  - Attending CPSE meetings
  - Providing, at request of the CPSE, progress information to the parents
  - Conducting activities such as telephone conferences or other communication practices which may be billable activities; however, these activities must be accumulated into thirty minute billing blocks or as part of a coordination activity totaling thirty minutes

## G. Attendance at CPSE Meetings

1. For a preschool student who receives one related service only, it is the professional responsibility, although not reimbursable, of the service provider to attend meetings of the CPSE for that student.
2. For a preschool student receiving two or more related services it is the professional responsibility, (however not reimbursable beyond the reimbursable half hour per month), of the service provider who has been designated as the Coordinator of Services to attend meetings of the CPSE for that student.
3. For a preschool student receiving SEIT services and one or more related services, it is the responsibility of the SEIT, as one of their **required functions** to attend meetings for that student.
4. If the provider is an agency and the provider is responsible for attending a CPSE meeting for a preschool student, the individual who attends the CPSE meeting must be one of the individuals who actually provide related services to the student.

#### **H. Extended School Year (ESY)**

1. NYS Education Department regulations state that the **purpose** of extended school year (ESY) services is to **prevent substantial regression**.
2. The CPSE determines the need for ESY services based on many sources of data and information provided to the committee
3. Putnam County Providers are required to use the All Putnam County CPSE Chairpersons ESY Form Revised 12/2012 – ***Preschool ~ Extended School Year Services: Documentation to Demonstrate Substantial Regression Form*** (attached) (exceptions will apply to Center Based Programs that have devised their own form based on NYS Regulations)
4. If approved, ESY services may differ from school year services as determined by the CPSE
5. Providers can inform parents of strategies they can use to maintain their child's skills over the summer. You may want to supply the parent with work/review packets that can be completed over the summer break for those students that do not qualify for ESY services. Not only will it help maintain already acquired skills, it can serve as a way to keep parents actively involved with their child's education.

## **Section 5 – DOCUMENTATION**

### **A. Session Notes**

1. Service providers must ensure accurate and contemporaneous records of sessions by maintaining a daily note to record each service session provided.
2. “Contemporaneous” records means documentation of the services that have been provided as close to the conclusion of the session as practicable. In addition to preparing contemporaneous records, providers in the Medicaid program are required to keep records necessary to disclose the nature and extent of all services furnished and all information regarding claims for payment submitted by, or on behalf of, the provider for a period of six years from the date the care, services or supplies were furnished or billed, whichever is later.
3. Session notes specifically document that the service provider delivered certain evaluation and/or services to a student on a particular date. Session notes must be completed by all qualified service providers delivering preschool/school supportive health services that have been ordered by an appropriate practitioner and included in a student’s IEP for each service delivered.
4. Session notes must include:
  - Student’s name
  - Specific type of service provided
  - Whether the service was provided individually or in a group (specify the actual group size)
  - The setting in which the service was rendered (school, clinic, other)
  - Date and time the service was rendered (length of session – record session start time and end time)
  - Brief description of the student’s progress made by receiving the service during the session
  - Name, title, signature and credentials of the servicing provider and signature/credentials of supervising clinician as appropriate
  - CPT Code
5. If a provider has been designated as the Coordinator of Services, coordinator activities must also be documented on a separate daily note.
6. These must be included in the student’s file maintained by the related service provider/SEIT agency and are subject to audit and review.

### **B. Progress Reports**

1. Progress reports must be prepared in accordance with the format on the IEP. Please check with the school district for the dates they should be submitted.
2. **Each goal must include a comment relative to the child’s progress.**



3. It is the responsibility of the service provider to provide completed progress reports to the CPSE Chairperson in a format and time frame determined by the Chairperson. A copy **must** be provided to the child's parent/guardian.

### **C. Annual Review Report**

1. It is the professional responsibility of providers to attend the CPSE Meeting and supply required documentation, including evidence based data.
2. It is REQUIRED that an annual report be submitted to the (1) CPSE Chair, (2) Putnam County Department of Health, (3) Coordinator of Services, if applicable and (4) the child's parent/guardian **AT LEAST 5 DAYS PRIOR TO THE CHILD'S SCHEDULED CPSE MEETING.**
3. The annual review progress report must be included in the student's file maintained by the service provider. This report can be subject to review and/or audit by the School District, County or State agencies.
4. The annual review of a preschool student with a disability is based on a review of the student's IEP and other current information pertaining to the student's performance.
  - **Reports should include data that monitors progress towards specific goals** that the provider has been collecting throughout the year
5. While reviewing goals please write new PLEPs (Present Levels of Performance and Individual Needs) which will reflect the present level of performance and individual needs, strengths, and parent concerns, in ALL areas.
6. **The annual review must include a section at the top of the report that includes:**
  - First date of service
  - # of sessions delivered through date of annual report
  - # of sessions missed due to provider absence
  - # of sessions missed due to child absence
  - # of sessions made up
7. **General Background Information to be included in the report**
  - Current services on IEP – Speech 2 x 30 Ind/Group, OT 1 x 30, etc
  - Location of services
  - Class size, (include, number of children, number of adults, days, hours child attends and hours you are there.),
  - Significant background information such as pertinent medical history, diagnosis (if applicable), etc.
8. **Information to be provided within each report**
  - How child was functioning at start of services and what progress has been made
  - Current goals and objectives
  - Must include progress relative to goals
  - Present level of performance
  - Summary - including how child's needs/level of functioning affect his/her ability to learn and/or participate in age appropriate activities

9. Please do not include recommendations in your reports - **remember determination of continued services and ESY services is a CPSE committee decision.**
10. The annual review report must include the name, title, signature and credentials of the person furnishing the service and signature/credentials of supervising clinician as appropriate
11. Most Putnam CPSEs send Annual Review Meeting invitations to providers. Annual reviews can start as early as February 1<sup>st</sup>. If you need information about an Annual Review date contact the CPSE office.

#### **D. Discharge From A Service**

1. If a discharge is requested, you must contact the CPSE Chairperson, who will determine what data is needed.
  - This may include a progress report including the reason for discharge request, a description of the child's status relative to the child's IEP goals, and any other additional information requested.

#### **E. Miscellaneous**

The CPSE may request periodic updates, such as for requested reviews, at any time during the IEP period, based on the unique needs of the child. **If all IEP goals are achieved prior to annual review, the CPSE Chairperson must be contacted.**

#### **F. Record Retention**

1. Providers are to maintain records to support all billing for programs and services. SEIT and related service providers must ensure accurate and timely documentation of service sessions. Files are subject to audit.
2. All original documentation must be accessible upon request.
3. The provider must maintain a primary file for each student. The student's records are confidential and must be kept in a locked file.

In accordance with the June 15, 2011 NYSED Memo "*Records Retention and Disposition Schedule ED-1* [www.archives.nysed.gov/a/records/mr\\_pub\\_ed1.pdf](http://www.archives.nysed.gov/a/records/mr_pub_ed1.pdf) educational records must be maintained by the provider for a period 6 years after student graduates/would normally have graduated from high school or 6 years after student attains age 21, whichever is shorter.

Fiscal Records must be maintained for a period of at least six (6) years after the last fiscal action with the County.

**Individual professions may have other documentation and record retention requirements in addition to the Medicaid program and education requirements noted. Clinicians can access discipline-specific retention requirements on the Office of Professions website.**

4. The student's primary file must contain a complete and current record of the services to that student and shall include, at a minimum, the following:
  - The Individualized Education Program (IEP)
  - Certification/licensure/registration of staff providing the service (certifications should include any external certifications needed to be a qualified Medicaid provider, such as collaboration agreements between a nurse practitioner and a physician)

- Referrals for services as required
  - Written orders for services as required
  - “Under the direction of” documentation when services are provided under the direction of a qualified provider
  - “Under the supervision of” documentation when services are provided under the supervision of a qualified provider
  - Documentation of each encounter, dated and signed (session notes)
  - Periodic progress reports – Provider should check child’s IEP to see when they are required
5. The provider must keep a record of parties obtaining access to the student’s primary file. This record should include the name of the person who accessed the file, the date of access and the purpose for which the person was authorized access. The Record should be kept in each student’s primary file.
6. It should be noted that the contract with the County requires related service providers and SEIT agencies to comply with the requirements, standards and procedures of the NYS Education Department and the NYS Department of Social Services relating to Medical Assistance Program (Medicaid). The record keeping requirements outlined above meet those current standards. (This is necessary to enable the County to claim Medicaid reimbursement for services provided to Medicaid eligible children.)

## **Section 6 – OTHER PERTINENT INFORMATION**

- Service providers practice universal precautions
- Service providers are required to adopt procedures that ensure that services are delivered in a manner that protects the health and safety of the children they service
- Service providers are mandated reporters of suspected child abuse or neglect
- Service providers are required to adopt procedures that meet the requirements to preserve the confidentiality of records of preschool children that they are serving
- The service provider provides services only as authorized by the child’s IEP
- Additional website links you may find helpful:

<http://www.p12.nysed.gov/specialed/publications/iepguidance.htm> - Guide to Quality Individualized Education Program Development and Implementation

<http://www.p12.nysed.gov/specialed/formsnotices/IEP/directions.htm> - General Directions to Use the State’s Model IEP Form - March 2010

<http://www.p12.nysed.gov/specialed/formsnotices/IEP/training/questions.htm> -Questions and Answers - October 2010 (Updated April 2011)

<http://www.oms.nysed.gov/medicaid/> - NYS Medicaid in Education