

Herkimer County Public Health Preschool Special Education Program



Standard Operating Procedures Manual

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CPSE Process

Registration/Referral

Each school district must determine residency according to the district policy; however, as per the New York State Department of Education (NYSED), a district cannot delay an evaluation or services due to issues with residency. The school district must provide the family with information on what documentation is required for registration. The school district designee must ensure that a Home Language Survey is completed and maintained in the child's record. NYSED has a Home Language Questionnaire in 43 languages. (<http://www.nysed.gov/bilingual-ed/ell-identification-placementhome-language-questionnaire>)

School districts must obtain a one-time written consent from the parent before accessing Medicaid for the first time. Prior to obtaining this consent, and annually thereafter, the district must provide the parent with written notification that ensures they are fully informed of their rights before Medicaid can be accessed.

SED Field Memo dated 7/13 amending section 200.5(b) of the Regulations of the Commissioner of Education can be found here: <https://www.counsel.nysed.gov/sites/counsel/files/rulesandregs/terms-200.5-special-education-due-process.pdf>

Go to <https://www.nysed.gov/sites/default/files/programs/special-education/mcicaid-parent-consent-11-2018.pdf> to access SED's Medicaid Consent form in different languages.

A referral can come to the CPSE from:

1. the Early Intervention Program (EI)
2. a Pediatrician
3. an Early Child Care/Nursery Teacher
4. a Parent
5. other interested parties

The school district cannot require a written referral from the parent to start the process; however, must receive written consent from the parent/guardian for the process to begin.

The school district may designate certain days or times to meet with parents about referring their child. This allows the district to streamline the process and ensure that designated personnel are available for uninterrupted time with the family. Exceptions will need to be made if the parent is not available during these times.

The school district provides the parent with a detailed written packet which includes:

- List of State Education Department (SED) approved Evaluation Sites contracted with Herkimer County Public Health (HCPH)
- Due Process/Procedural Safeguards Notice in native language
- Parent consent for evaluation form
- Written notification and Medicaid parental consent form

The school district informs the parent of the CPSE process including the following timelines established by the New York State Department of Education:

- 60 calendar days from signed consent to hold CPSE meeting and create Individualized Education Program (IEP)
- 30 school days from CPSE meeting to onset of programs and services
- 60 school days from signed consent to delivery of programs and services

The parent informs the school district of the selected evaluation site. (Parent may choose the current EI provider agency to evaluate the child through CPSE if it is an SED-approved evaluation site)

- The parent signs an informed consent for the evaluation
- If the parent does not sign the consent, the process ends

The school district forwards the following information to the evaluation site:

- Signed consent for evaluation
- Rx/referral for evaluations
- List of evaluations authorized by the school district to be completed
- Home Language Survey
- Consent for Bilingual Evaluation if necessary
- Date of proposed CPSE meeting
- Medicaid parental consent

Homeless

According to the McKinney-Vento Homeless Education Assistance Improvements Act, the definition of homeless children is:

individuals who lack a fixed, regular, and adequate nighttime residence . . . and includes:

- (i) children and youths who are sharing the housing of other persons due to loss of housing, economic hardship, or a similar reason; are living in motels, hotels, trailer parks, or camping grounds due to the lack of alternative adequate accommodations; are living in emergency or transitional shelters; are abandoned in hospitals; or are awaiting foster care placement;
- (ii) children and youths who have a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings . . .
- (iii) children and youths who are living in cars, parks, public spaces, abandoned buildings, substandard housing, bus or train stations, or similar settings; and
- (iv) migratory children . . . who qualify as homeless for the purposes of this subtitle because the children are living in circumstances described in clauses (i) through (iii).

The Homeless Eligibility Clarification Act of 1986 removed permanent address requirements and other barriers to existing programs. If a child is homeless, it is the family's choice to register with one of the following districts:

- school district before becoming homeless (if the child attended a preschool);
- school district where last enrolled or;
- current school district

Enrollment: The school selected . . . shall immediately enroll the homeless child or youth, even if the child or youth is unable to produce records normally required for enrollment, such as previous academic records, medical records, proof of residency, or other documentation.

NYS Education Law: Upon receipt of the Designation form (STAC-202) (See form here: https://www.oms.nysed.gov/stac/forms/stac_202_form.pdf) from the parent, the designated school district shall immediately:

- (1) admit the homeless child;
- (2) treat the homeless child as a resident for all purposes

Evaluation Process

Upon referral of a child with a suspected disability to the CPSE, the Board of Education, with parental consent, must arrange for an evaluation of the child. The CPSE has the primary responsibility to identify and authorize the specific components to the evaluator in writing for each individual preschool evaluation, including the required components and any other appropriate assessments or evaluations. No reimbursement is available for any evaluations not specifically authorized by the CPSE in writing. School districts may obtain the current Herkimer County Evaluation Prescription and Written Order forms from the Forms Tab in a child's eSTACs record.

The parent selects an evaluator from the list provided by the school district of SED approved evaluation agencies contracted with HCPH and provides written consent for the proposed evaluation pursuant to Section 200.5(b)(1) of the Regulations of the Commissioner of Education. The initial multidisciplinary evaluation of a preschool student pursuant to Sections 200.4(b) and 200.16(c) of the Commissioner's Regulations must include at least:

- a physical examination in accordance with the provisions of sections 903 - 905 of the Education law;
- an individual psychological evaluation;
- a social history;
- an observation of the child in the current educational placement, or other natural setting*; and
- other appropriate assessments or evaluations as necessary to ascertain the physical, mental, behavioral, and emotional factors which contribute to the suspected disabilities, including a functional behavioral assessment for a student whose behavior impedes his or her learning or that of others.

*It is not appropriate or best practice to observe the preschooler in an office setting.

As a guideline, testing done within three to six months of the CPSE Referral date can be used as part of the initial evaluation.

Once the evaluation site receives the information from the school district, it will:

- review any Early Intervention evaluations and/or progress reports.
- schedule all necessary authorized components of the evaluation with the parent.
- ensure that timelines are followed.
- forward all evaluations to the school district and parent. During the evaluation process, the evaluation site will ensure that the parent understands the CPSE process and evaluation data.

The evaluation must include sufficient information for the CPSE to determine a child's eligibility for special education programs and services. Should the evaluator find that a child requires an evaluation beyond what is authorized by the CPSE, the evaluator should communicate this with the CPSE. If the CPSE requires additional evaluation components, the identified components are part of the initial evaluation and the CPSE must provide written authorization to the evaluator. The approved evaluator must conduct the evaluation in accordance with Section 200.4(b) of the Commissioner's Regulations and must provide copies of the evaluation, including all assessment reports and a summary of findings, to the members of the CPSE.

If an evaluation site knows upon receiving an evaluation referral that it cannot complete that evaluation within the mandated timeframe or does not have the appropriate staff to perform an appropriate, comprehensive evaluation (i.e. bilingual, vision evaluation) the site should immediately inform the district.

The summary report shall include a detailed statement of the preschool student's individual needs, if any. The summary report shall not include a recommendation as to the general type, frequency, location or duration of special education services and programs that should be provided; shall not address the manner in which the preschool student can be provided with instruction or related services in the least restrictive environment; and shall not make reference to any specific provider of specific services or programs. Reports of the evaluations and assessment and a summary portion of the evaluation shall be provided to the members of the Committee on Preschool Special Education and to the person designated by the municipality in which the preschool student resides so as to allow for a recommendation by the committee to be made to the Board within 60 calendar days of the receipt of consent. The approved evaluator shall provide the parent with a copy of the evaluation report provided to the committee. The summary shall be provided, when necessary, in the native language of the parent or other mode of communication used by the parent unless it is not feasible to do so.

The summary must be on a form developed by SED and is available: <https://www.nysed.gov/special-education/preschool-student-evaluation-summary-report-form>.

For school district paperwork requirements for evaluations, see Section XII- STAC INFORMATION

Functional Behavioral Assessment

Functional Behavioral Assessment is defined in Section 200.1(r) of the Regulations of the Commissioner of Education as the process of determining why a student engages in behaviors that impede learning and how the student's behavior is related to the environment. The Functional Behavioral Assessment (FBA) is a component of the multi-disciplinary evaluation process and should be integrated throughout the process of developing the IEP.

While performing an evaluation on a child whose behavior impedes his or her learning or that of others, the evaluator should communicate any behavior concerns with the school district. The school district may then recommend a Functional Behavioral Assessment as part of the initial evaluation.

Consistent with the requirements in Section 200.22(a) of the Regulations of the Commissioner of Education, the FBA must include, but is not limited to:

1. identification of the problem behavior;
2. definition of the behavior in concrete terms;
3. identification of the factors that contribute to the behavior (including cognitive and affective factors); and
4. hypothesis regarding the general conditions under which a behavior occurs and probable consequences that serve to maintain it.

The FBA cannot be based solely on the student's history of presenting problem behaviors. The FBA must be based on multiple sources of data including, but not limited to:

1. information obtained from direct observation of the student;
2. information from the student, the student's teacher(s), related service provider(s); and
3. a review of available data and information from the student's record and other sources including any relevant information provided by the student's parent/caregiver

Ideally the FBA should be completed within two to four sessions over a two-week period. The FBA must provide:

- a baseline of the student's problem behaviors with regard to frequency, duration, intensity and/or latency across activities, settings, people, and times of the day that the behaviors occur; and
- include information in sufficient detail to form the basis for a Behavioral Intervention Plan (BIP) for the student that addresses:
 - antecedent behaviors;
 - reinforcing consequences of the behavior;
 - recommendations for teaching alternative skills or behaviors; and
 - an assessment of the student's preferences for reinforcement.

Please note: an FBA is an assessment; therefore, the evaluation must include at least one standardized test.

If concerns arise with a child already receiving services as a Preschooler with a Disability, an FBA may be completed as part of a psychological or educational evaluation. Prior written notice (PWN) and parental consent are required for this additional evaluation.

Although NYSED has indicated the appropriate professional to complete an FBA is a psychologist, the FBA may be completed by a social worker or a SEIT who has certification as a BCBA or any person holding a New York State license as an LBA. The SEIT or social worker administering the FBA should not be the same individual currently providing services to the child as per SED.

A Functional Behavior Assessment checklist should be completed by the school district prior to authorizing a Behavioral Intervention Plan (BIP). A reconvene meeting should be scheduled two to three weeks after authorizing the FBA to discuss if a BIP is warranted. If it is determined by the CPSE at the reconvene meeting that a BIP is necessary, discussion regarding the results of the FBA and/or completion of a BIP occurs. Any behavior intervention plan that may arise from the FBA must be discussed with the district and parent and authorized in the IEP.

While formulating the IEP, the CPSE should consider strategies including positive behavioral interventions and supports to address interfering behaviors.

Bilingual Evaluation

After meeting the family, if the evaluator determines that the child should have a bilingual evaluation, the evaluator should contact the school district immediately and discuss any concerns. If the district has authorized a bilingual evaluation, based on the Home Language Survey, and the evaluator concludes that there is no indication for such, the evaluator should contact the district immediately to discuss. While a family can refuse a bilingual evaluation, the school district sets policy regarding what type of evaluation they will authorize. The family then has a choice to agree to the bilingual evaluation or not have an evaluation through the district, as preschool is not mandatory.

CPSE Meeting

The school district sends written notification of the CPSE meeting to the parent, the County, the Early Intervention service coordinator (if applicable), the child's nursery/daycare teacher (if applicable), and the evaluator. The notification must be sent five days prior to the meeting date.

Before the meeting, ensure that the evaluations have been shared with the parent.

At the CPSE Meeting:

- Reasons for referral are reviewed.
 - Results of evaluations are reviewed.
 - Present levels of performance are described.
 - Strengths and needs are identified.
 - Eligibility is determined based on NYSED eligibility criteria. If the child is found ineligible, the process ends.
 - If eligible, goals are developed based on the child's need(s). **The goals and benchmarks/objectives that comprise the IEP are developed at the meeting. Evaluators may bring proposed goals for the CPSE to consider, but it is the responsibility of the CPSE, not the evaluator, to develop the child's goals.**
 - **An appropriate level of service is discussed to address specific goals.**
 - Recommendations for programs/services are determined.
 - Transportation options are identified. (Parent Mileage Reimbursement round trip and one-way is available). The CPSE must "encourage parents to transport their child . . ." (Section 200.16(e)(5) of the Commissioner's Regulations)
 - A Coordinator of Services (COS) **must** be designated by the CPSE and be indicated in the IEP, (Section 200.16(f)(2) of the Regulations of the Commissioner of Education) as noted:
 - The SEIT (Special Education Itinerant Teacher) is automatically the COS for a Preschool Student with a Disability when SEIT and related services only are recommended.
 - If only related services (more than one) are recommended, one of the disciplines must be identified as the COS by the CPSE.
 - When only one service is recommended, a COS is not needed nor designated.
- Reimbursement is available for ten ½ hour sessions during the school year (September to June), and two ½ hour sessions during the summer session. If a child begins services at any point after

September, the service provider can only bill for COS at a rate of one session per month. The Activity Log in the Portal should be utilized to document coordination of services activities.

- The Preschool Student Evaluation Summary Report, Child Outcomes Summary Form (State Performance Plan - Indicator #7 Related to Early Childhood Outcomes) is explained to the parent by the Committee. The entry information is completed at the CPSE meeting. (See section V A of this manual) Go to <https://www.nysed.gov/special-education/preschool-student-evaluation-summary-report-form> for further information.

The school district must submit its recommendation for classification and services to the Board of Education so services can be arranged.

Required paperwork:

1. Attendance form- must be signed by all participating members. A teleconference by a CPSE member is permissible upon parental notification and consent. The teleconferencing members must have copies of the evaluation packet. The chairperson should note the name, discipline, and title of the teleconferencing member on the attendance form.
2. Individualized Education Program (IEP) - the school district is responsible for providing a copy to all special education and related service providers prior to the initiation of services, including the child's preschool teacher/daycare provider if the preschool/daycare is listed as a location on the IEP. The service provider is required to have a copy of the IEP prior to beginning services.

For school district paperwork requirements for services, see Section XII- STAC INFORMATION

Note: When the parent elects for their child to remain in Early Intervention, an IEP is still created. This IEP must include recommended services otherwise the IEP is not complete, and the process not finalized.

Initiation of Services

The Herkimer County Public Health Preschool Special Education Program maintains and distributes to school districts updated lists of approved center-based programs and providers of SEIT and Related Services.

When providers are selected, the school district will:

1. Confirm the services with the provider
2. Finalize the IEP (with cover sheet, if applicable) and send copies of the IEP to the:
 - a. Parent
 - b. Provider(s)*
 - c. Child's daycare/preschool program (if applicable)
 - d. Herkimer County Public Health upon request

*The provider is not able to initiate any service without obtaining the IEP from the school district. Providers of preschool services cannot accept a copy of the IEP from the parent.

The school district determines the dates the provider submits the quarterly progress reports to the parent and the school district. The following is a typical school district schedule:

<u>Service Period</u>	<u>Due Date of Quarterly Report</u>
September-November	November 15
November-January	January 31

February-April
April-June
July-August

April 15
June 30
August 31*

* If the student has been designated as receiving Extended School Year services

Upon request, the progress reports will be sent to the HCPH Preschool Special Education Program.

Declassification

For preschool students with a disability there are no declassification support services.

Prior to declassifying a preschooler with a disability, a reevaluation must be completed. As part of any reevaluation, the CPSE and other qualified professionals review all existing data to determine if any additional data is needed to establish the present levels and needs of the child, whether the child continues to have a disability, whether the child continues to need special education, and whether any additions or modifications to the special education services are needed. A reevaluation does not require formal testing. (Section 200.4(b)(5)(ii)(a-d) of the Commissioner's Regulations) A reevaluation is a review of current data.

If the school district determines that no additional data is needed to make a determination on the above, the parent must be informed of this (via Prior Written Notice*) and of their right to request an assessment to determine whether the child continues to be a student with a disability and to determine the child's educational needs. If the school district determines that additional data is needed, the school district must authorize tests and other evaluative materials as may be needed to produce this data.

(Section 200.4(b)(5)(iv))

*See SED Q&As for Prior Written Notice (Notice of Recommendation) Attachment 5 under proposed initial evaluation or reevaluation, forth bullet and SED Training Q&As for Prior Written Notice under D-initial/ reevaluation (updated May 2011)

A formal meeting is not necessary to review the data. However, the results of the reevaluation, which would include a review of any existing data used by the CPSE as part of the reevaluation, must be reviewed at a CPSE meeting. The reevaluation meeting should be consolidated with another meeting; i.e., the annual review meeting, to review and revise the IEP or declassify the student. A meeting notice must inform the parent of the purpose of the meeting; i.e., annual review and reevaluation to determine continued eligibility.

During the course of the school year, should the CPSE require formal testing of any area, the CPSE must provide written authorization to the evaluator. The determination of other appropriate assessments or evaluations or reevaluation must be made on a case-by-case basis by a group that includes the CPSE with the input of the child's parent(s) and other qualified professionals of various disciplines. (See Section 200.16(c)(2) of the Regulations of the Commissioner of Education). This may include the child's teacher, the speech and language therapist or other related service providers, or the approved evaluator selected by the parent(s). The group must review existing data on the child including evaluations and information provided by the child's parent(s), and current classroom-based assessments and observations by teachers and related service providers.

Confidentiality

Confidentiality of Records

In accordance with the Family Educational Rights and Privacy Acts (FERPA), child records and other materials contained therein which are personally identifiable, are confidential and may not be released or made available to persons other than those authorized. Herkimer County Public Health Preschool Special Education Program records are kept in locked files and are made available only to authorized individuals. No staff member may duplicate or remove from the premises any personally identifiable data relating to any child receiving Preschool Special Education Services without explicit permission from administrative staff.

Only administrators and office staff employed by Herkimer County Public Health Preschool Special Education Program, who have a need to know, will have access to children's records. The Director of Public Health has authority for ensuring the confidentiality of personally identifiable information in records.

- Every individual provider and agency must adhere to FERPA and have a written confidentiality procedure.
- To ensure confidentiality, all records are to be kept in locked, fireproof file cabinets and made available only to authorized individuals.
- All individual records must contain a separate page which documents the date of access, the person who accessed the record and the purpose of that access.
- Requests for access to a child's record by a person other than authorized individuals shall be directed to the administrator of each program or individual provider. If the request for access is approved, a record of such access shall be maintained in the child's file, which will indicate the date, person, and reasons for the access.
- Records may be inspected during monitoring visits by the HCPH Preschool Special Education Program or NYSED at the place they are regularly maintained.
- Procedural safeguards shall be utilized to ensure that such records are not destroyed or altered in any way.
- All file storage units shall have a notice that they contain confidential records, and that access is limited.
- Correspondence or record of one child shall not reveal the name of another Preschool Special Education
- Program child or family.
- Individuals shall not verbally convey information about a child or family without written parental consent.
- Records transported must be secured to maintain confidentiality.
- No personally identifiable information shall be transmitted electronically, i.e., computer or email, unless the data is encrypted and password protected. Information on encryption software is available from SED.
- A fax cover sheet including a confidentiality statement must be used when sending faxes. Prior to sending a fax, the sender will make efforts to ensure that the recipient is expecting the fax within a limited time frame so that it can be received by the appropriate individual,

and that the fax recipient has a secure site where the information being faxed would not be accessible to unauthorized personnel or the public.

Refer to: http://www.oms.nysed.gov/medicaid/handbook/handbook_6/hipaa_ferpa_guidebook_6.pdf

Guidelines for Records Containing Sensitive Information

Herkimer County Public Health Staff and all approved preschool service providers must adhere to the confidentiality requirements of the Preschool Special Education Program, including all legal requirements that protect records containing sensitive information (such as sexual or physical abuse, treatment for mental illness or mental health problems, HIV status, communicable disease status, the child's parentage, etc.). When consent is given by a parent or guardian to release information, only information appropriate to a request should be released. Extraneous or sensitive information about the child and family must be protected.

Retention of Records

Herkimer County Public Health, contracted agencies and contracted individual service providers must maintain and retain each child's complete and accurate record, documents, accounts, and other evidence in locked, fireproof file cabinets until the child reaches the age of 21 years.

Original documentation must be maintained by the individual or entity that holds the contract with Herkimer County Public Health under which the service was provided unless services are provided by a subcontractor. In these cases, the direct provider must maintain the original documentation.

School districts and BOCES must maintain the student information sheet, most recent year's IEP, evaluation record, and summary record six years after the student graduates from high school or six years after the student turns 21 years old, whichever is shorter. Other special education records including, but not limited to, attendance record, student progress reports, referral form, individual evaluations, IEPs, etc. must be maintained for six years.

For further details, refer to NYSED's Records Retention and Disposition Schedule ED-1 (1997).

Destruction of Records

Signed and dated copies of each child's IEP, attendance records, log notes and billing records for SEIT and related services must be maintained until the child reaches the age of 21 years. Records may only be destroyed by shredding or any other current method that ensures the confidentiality of the child's records.

HIV Infection, HIV Related Illness and/or AIDS

Medical conditions such as HIV-Infection, HIV-Related Illness or AIDS (hereafter referred to as HIV-Infection) do not in and of themselves generally constitute a basis for referral to the Preschool Special Education Program for services. Services for children with HIV-Infection, as well as for other children, should be based on the individual child's developmental status. However, unless medical documentation provided by a child's treating physician precludes the child's participation, a child with HIV-Infection is not to be restricted from receiving services.

The following guidelines have been developed to comply with Article 27-F of the New York State Public Health Law, the Individuals with Disabilities Education Act (Public Law 94-142), and Section 504 of the Rehabilitation Act of 1973.

DEFINITIONS

The definitions below are based on information contained in the United States Surgeon General's Report on Acquired Immune Deficiency Syndrome, published in October 1986 by the Department of Health and Human Services, and from information provided by the Centers for Disease Control (CDC) in Atlanta, Georgia.

HIV-Infection: HIV-Infection means infection with the Human Immunodeficiency Virus, or any other agent identified as a probable cause of AIDS.

HIV-Related Illness: HIV-Related Illness is defined as any clinical illness that may result from or be associated with the HIV-Infection.

AIDS: AIDS refers to the condition in which HIV attacks a person's immune system and damages the ability to fight other disease. Without a functioning immune system to ward off other germs, the individual becomes vulnerable to infection by bacteria, fungi, or other viruses. The AIDS virus is also referred to as HTLV-III, HIV or LAV.

HIV Confidentiality

Article 27-F of the New York State Public Health Law strictly protects the confidentiality of information about people who have HIV-Infection, or who have considered or undergone HIV testing. In accordance with this law, providers are obligated to maintain the confidentiality of this information if learned during providing services to ensure that the person is not discriminated against because of his/her HIV-positive status. As such, the identity of any child with HIV-Infection cannot be disclosed to anyone without specific consent to release such protected information by the parent or legal guardian. This information may not be disclosed verbally or contained in any written records (e.g., evaluation, progress reports, etc.).

The consent for the disclosure of this confidential information can only be made by the parent or legal guardian and must include the following information:

1. To whom disclosure can be authorized.
2. The reason consent for disclosure is given.
3. The time during which such consent will remain in effect.
4. The signature of the parent or legal guardian of the child.
5. The date signed.

When consent for disclosure is given, information regarding the child will be forwarded to the specific individual identified on the consent. Any unauthorized further disclosure (verbal or written) is in violation of New York State law and may result in a fine, jail sentence or both. It is important to note general authorization for release of medical or other child-specific information is not sufficient authorization for the release of confidential HIV information.

Disclosure Notice

HERKIMER COUNTY PRESCHOOL SPECIAL EDUCATION PROGRAM

NOTICE PROHIBITING REDISCLOSURE OF CONFIDENTIAL INFORMATION

NOTE: This notice should be attached to any document which is released by a provider which discloses HIV information, either with or without parent consent as provided for by New York State law.

This information has been disclosed to you from confidential records which are protected by New York State law. New York State law prohibits you from making any further disclosure of this information without the specific written consent of the person to whom it pertains, or as otherwise permitted by law.

Any unauthorized further disclosure in violation of New York State law may result in a fine, jail sentence or both. A general authorization for the release of medical or other information is not sufficient authorization for further disclosure.

Transition

Transition to CPSE

Transition is the process of moving from the Early Intervention Program (EIP) to either services overseen by the school district's Committee on Preschool Special Education (CPSE) or community-based resources.

A child's eligibility for the EIP ends the day before the child's third birthday, unless the child is determined to be eligible for services under Section 4410 of the Education Law.

EI regulations require that the Early Intervention ongoing service coordinator provide notification of the child's potential eligibility to school districts at least 120 days prior to the first date of eligibility for services under Education law. Districts should contact the parents three months before the child turns three years old so that the evaluations and the CPSE meeting are completed before the child's third birthday.

In addition, with parental consent, the ongoing service coordinator is required under Section 2548 of Public Health Law to arrange for a transition planning conference with the service coordinator, the child's parent(s), and the chairperson of the CPSE, or his/her designee. This conference may be conducted by telephone with the agreement of all participants.

The purpose of the transition conference is to discuss the referral process for CPSE, review the child's program and service options, determine if a referral should be made to the CPSE, and develop a transition plan. This conference must be convened at least 90 days prior to the child's potential eligibility for preschool special education. If the parent(s) chooses not to participate and does not give consent for a transition conference, the transition conference does not take place. However, the ongoing service coordinator must provide the parent(s) with written notice that if the child is not referred, evaluated, and found eligible for services by the CPSE before his/her third birthday, the child's eligibility for the EIP ends at age three.

A written transition plan must be developed for every child in the EIP approaching her/his third birthday, transitioning from the EIP to programs under Section 4410 of Education Law, and/or other early

childhood services. The EI service coordinator designated by the municipality is required to incorporate the transition plan into the Individualized Family Service Plan.

For additional information on transition from EIP to Preschool, please see the following guidance from NYSED: <https://www.nysed.gov/special-education/preschool-transition-guide>.

Eligibility Criteria to Remain in the EIP

A child is eligible to remain in the EIP until the day before his/her third birthday. Only those children who have had an evaluation and a CPSE meeting and have been determined by a school district CPSE to be a Preschooler with a Disability and have a written IEP with goals and a recommendation for services will be eligible to remain in the Early Intervention Program beyond their third birthday. If deemed eligible by the CPSE:

- A child turning three between January 1 and August 31 may continue in the EIP until August 31.
- A child turning three between September 1 and December 31 may continue in the EIP until December 31.

CPSE Eligibility

- A child turning three between January 1 and June 30 is eligible to receive CPSE services as of January 2. The child is first eligible for the evaluation process September 1.
- A child turning three between July 1 and December 31 is eligible to receive CPSE services as of July 1. The child is first eligible for the evaluation process March 1.

Service Coordinators and providers need to consider the needs of a child when assisting parents as to when to transition.

Notification of Eligibility Determination for Transitioning EI Child

It is essential that the CPSE chairperson notifies Herkimer County of the eligibility determination for a child transitioning from EI to Preschool. A child cannot continue in the EIP beyond his/her third birthday unless HCPH has received notice that the child is eligible for Preschool Special Education Services.

Pendency

Child transitioning from EI to CPSE:

- When an EI child is eligible for CPSE and services on the current IFSP are in dispute, the district is not required to provide those specific services.
- There are no due process rights for parents under the EIP if parents do not consent in a timely manner to a referral to the CPSE by the Early Intervention service coordinator and do not provide timely consent to the CPSE to evaluate the child.
- If the parent has signed and returned the consent for the child's evaluation to the CPSE in a timely manner, but the CPSE does not render an eligibility determination before the child's third birthday, the child's eligibility for the EIP will end the day before his/her third birthday.
- The parents have due process rights under Section 200.16(h) of the Commissioner of Education Law to access preschool special education services that are not in dispute until due process proceedings are completed.

Children Eligible for CPSE Services

If a child is found eligible for CPSE services prior to their third birthday, parents have the option to have their child **EITHER** transition to Preschool Special Education at that time prior to aging out of Early Intervention **OR** remain in the Early Intervention Program until he/she ages out, if the child continues to meet EI eligibility requirements, and then begin CPSE services.

Transition to CSE

If the CPSE determines that the child remains eligible for special education programs/services, it automatically refers the child to the Committee on Special Education (CSE).

- The school district reviews the child's record to determine if additional evaluations are necessary.
- Informed parental consent must be obtained by the CSE prior to the district conducting any evaluations.
- The school district has responsibility for testing for CSE purposes.
- **The child is no longer eligible for preschool services after August 31 of the year the child becomes eligible for kindergarten in the district.**
- The CSE will convene to determine eligibility and recommend programs/services, as appropriate, for a child who will be 5 on or before December 1 (or December 31 as per the individual district) of the current calendar year.

Evaluations and Eligibility

Evaluation Site/Contact with Parents

The individuals with whom the family first come in contact often set the tone for future involvement in the Preschool Special Education Program. Since evaluations usually occur early in the process, it is important that the evaluation team attempt to set the family at ease.

- Once the evaluation site receives consent from the district, the parent should be contacted immediately.
- Elicit the family's concerns for their child to ensure that the evaluations conducted address the concerns of the family. Include these concerns when determining components of the evaluation.
- Parents should complete required forms: permission to evaluate and consent for release of records.
- When scheduling the evaluation, **consider such factors as convenience for the family, child's naptime, and parent's work schedule to allow for the optimal testing of the child and parental participation at the evaluation.**
- Schedule evaluations as soon as possible following receipt of the referral from the school district to allow the district the opportunity to hold the initial CPSE meeting within the mandated 60 calendar days from the date of signed parental consent.
- Assure parents that their child may not be able to answer every question or complete every task successfully and that 100% correct response is not expected. Testing identifies a child's strengths and possible areas of delay/challenge/weakness and may not be predictive of future abilities.

- Evaluators should keep the district informed in writing of any reasons that may cause a delay in meeting timelines, i.e., child sick or evaluation date cancelled.
- All contacts by evaluators with parents or others involved in the evaluation process must be dated, documented, signed, and placed in the child's record.
- With parental consent, evaluators may review any current medical information/previous reports that are pertinent to the decision-making for the child's eligibility and preschool special education services.
- Families must be informed that the evaluation is not complete, nor can eligibility be determined, without the review of a current Physical Examination Report. The evaluation site can request that the family provide a Physical Examination Report.
- Assure parents that their input is an important part of the process and that they will be provided with an opportunity to share their input during the evaluation.

Conducting the Evaluations

In conducting the evaluation, evaluators will take into consideration the following:

- The evaluation team will regard parents as an important part of the evaluation and partner(s) in the process.
- If a child is fatigued and becomes unresponsive and noncompliant, evaluators should look to reschedule the evaluation. Evaluators should never judge a child's response during testing as incorrect if fatigue was the factor. The assessment should not continue if the child is or becomes ill.
- Evaluators must include a statement in the written report indicating that determination of eligibility for services will be made by the CPSE.
- At the conclusion of the evaluation, the evaluator will elicit and document within the written report a statement from the parent whether they felt the evaluation depicted a typical picture of their child.
- An audiological assessment may be done as part of the initial evaluation if there are significant concerns, particularly speech and language delays. A referral signed by a Physician, Physician's Assistant, or Nurse Practitioner must be obtained in advance for this assessment.
- If the family is unable to provide a current Physical Examination Report, the evaluation site must arrange for one to be completed.
- Evaluators may not make verbal recommendations during the evaluation regarding specific services, frequency, duration, or specific providers, or discuss eligibility.

Latest Evaluation Date for CPSE

The school district will authorize an evaluation for a child **as long as there is time for that child to receive services**. The CPSE meeting should be held in June before the end of the school year. That way, services in the summer are possible if deemed appropriate. If the evaluations cannot be completed by then, the district needs to decide how to handle the referral. Initial CPSE meetings or reevaluation meetings for extra services for entering Kindergartners cannot occur in the summer since those recommendations are for elementary school services, not preschool services. The county will not pay for those evaluations.

Bilingual Evaluations and Written Translations

The school district conducts the Home Language Survey to determine if a bilingual evaluation is necessary and then forwards the completed survey to the evaluator. If the school district determines that a bilingual evaluation is necessary or the parent requests translation of documentation into another language or mode of communication, the parent must request translation and/or bilingual services prior to the evaluation.

SED allows for a higher rate of reimbursement to cover the costs of a bilingual evaluation.

If an evaluator that speaks the language cannot be located, an interpreter can be used. SED has indicated the order of preferences for a bilingual evaluation:

- Bilingual therapist with qualifications in the language sought
- Bilingual therapist not in the specific language sought with interpreter
- Therapist with interpreter

If an interpreter cannot be found, a family member or friend can be used to interpret; however, this is not considered a bilingual evaluation. School districts should document all attempts to locate a bilingual evaluator.

NYSED memo dated March 1995 reads:

“Program may bill the municipality at bilingual rates when:

A component(s) of a student’s evaluation is performed by one or more qualified evaluators who are bilingual; **or**

An interpreter is required to be present during the performance of an evaluation component to assist a monolingual evaluator with the completion of the evaluation component.

These rates include the cost of any translated documents. Translation costs may not be billed separately and/or in addition to billing at the bilingual rate.”

Written Translations

When evaluations are conducted in English, yet the parent requests that the summary report and/or the evaluation be translated into their native language or other mode of communication, the costs for these additional expenses are reimbursable. The translation of written reports, either the summary and/or evaluation is reimbursable **only if an additional cost is incurred by the evaluator.**

The district must have documentation of the parent’s request for written translation. A copy must be sent to the County along with the corresponding STAC-5 in order for reimbursement to be made for these additional expenses.

Guidelines for English Language Learners

The evaluator must understand how to review the documentation provided on assessments to determine their validity for children who are English Language Learners (ELL)s. When interpreting evaluation results, care must be taken that issues **of language differences are not confused with language disorders** and that patterns of performance related to the student’s socio-cultural background are not mistaken for signs of a disability

To determine whether a preschooler should be classified as a preschool student with a disability, his/her performance should be compared with the accepted milestones for child development within his/her cultural and linguistic group. Families from diverse cultures may expect certain skills to emerge at different ages and may provide different experiences and materials for their preschool children than other groups of preschoolers might encounter. Typical parent-child interactions and the interactions of children with peers and adults other than their parents may also differ significantly between cultural groups as well as within a given cultural group. **It is extremely important that the personnel involved in all aspects of the multidisciplinary assessment be familiar with the student's cultural and linguistic background and relevant research regarding such background.** It is also important that these individuals have experience with culturally and linguistically diverse preschool-age students who are exhibiting age-appropriate behaviors.

Excerpts from Use of Standardized Scores in Individual Evaluations of Culturally and Linguistically Diverse English Language Learners Ages 3 through 21 (SED memo dated December 2014)

Assessments

Hearing plays a vital role in the acquisition of speech and language and the achievement of other developmental milestones in young children. When there are concerns regarding a child's hearing or when hearing status is unknown, a comprehensive pediatric audiology assessment is essential. Mounting evidence on the impact of hearing loss on speech-language, social-emotional, cognitive development, and academic achievement supports the need for early identification, complete assessment, and rehabilitation of children with hearing loss.

(Courtesy of the American Speech-Language-Hearing Association (ASHA). Permanent Childhood Hearing Loss. Available at <http://www.asha.org/Practice-Portal/Clinical-Topics/Permanent-Childhood-Hearing-Loss/>)

Due to Medicaid regulations, agencies cannot self-refer a child for an audiological assessment. A Medical Doctor, Physician's Assistant, or Nurse Practitioner must make this referral in advance.

Clinical Indicators

An audiological assessment is indicated for any child from birth to 5 years of age who is at risk of, suspected of, or identified with auditory impairment, disorder, or disability (Joint Audiology Committee Clinical Practice, 1999) including, but not limited to:

- Children referred from infant hearing screening or other audio-logic screening regarding impairment, disorder, and/or disability;
- Children whose parent/primary caregiver, educator, or primary care physician has concern for delayed communication development and/or inconsistent response to auditory stimuli;
- Children whose case histories include risk indicators that are associated with delayed onset or progressive hearing loss (JCIH, 2000);
- Children whose family history is positive for late-onset hearing loss;
- Children with developmental delay;
- Children referred from professionals for determination of auditory status;
- Children identified with fluctuating or permanent hearing loss; and
- Children referred for determination of hearing status as a result of a "refer" result on a pre-K or Kindergarten school hearing screening.

Written Reports and Content

- 1) All evaluation results from all evaluators should be fully integrated to present a clear picture of the child's functioning and needs. Any differences in findings (i.e., discrepancies between standardized testing results and clinical observations between evaluators' testing or between parent perception and clinical findings) must be explained in full and reconciled.
- 2) The evaluator must provide copies of the multidisciplinary evaluation reports, summary, and the New York State Child Outcomes Summary Form to the:
 - a. parents
 - b. school district
 - c. HCPH Preschool Special Education Program upon request
- 3) The written/oral summary must be translated into the parents' dominant language.
- 4) Evaluators may not make written recommendations in the summary section of the evaluation report regarding eligibility, specific services, frequency, duration, or specific providers.
- 5) Evaluations should be written in family friendly language. If a professional term must be utilized that is not clear in meaning, an explanation should be inserted. Describe a child's strengths as well as areas of concern. The evaluation report should be strength-oriented rather than deficit-focused. If the child does demonstrate a delay, the area of deficit must be clearly described. When describing a child's inability or lack of a particular skill, make sure it is age expected and indicate when it is expected. **Do not list skills a child is unable to perform if these skills are expected above the child's age level.**
- 6) **Observation:** If a child is enrolled in a preschool or child-care program, the observation must be conducted in that setting. If not, the observation can occur in another natural setting such as a playground, home, or in a classroom setting with other children, where the child's interactive skills may be observed, not in the evaluator's office. Ideally, the observation should occur in a familiar place where the child is comfortable and will have the opportunity to demonstrate typical behaviors. This observation may be completed in conjunction with the administration of another evaluation component such as the psychological or other needed assessments and evaluations.
 - a. The observation should include information on the following:
 - b. Location of the observation
 - c. Number of adults and children in the setting
 - d. Transition in and out of the classroom
 - e. Transition between activities
 - f. Interactions with other children
 - g. Interest level in classroom activities
 - h. Interactions with classroom staff
 - i. Ability to follow directions/classroom routine
 - j. Level of compliance
 - k. Level and type of communication
 - l. General affect
 - m. Quality of motor movement
 - n. Use of adaptive equipment, glasses, hearing aids
 - o. Academic performance and behavior in the area of difficulty (Section 200.4 (b)(iv))

Within the body of the observation, indicate whether the classroom teacher believes that the observed behavior is typical for the child. **Do not** make clinical judgments regarding observed behavior.

Criteria for Eligibility for Preschool Special Education Programs and/or Services

Refer to <http://www.p12.nysed.gov/specialed/publications/preschool/guide/eligibdeter.htm>

Part 200 of the Regulations of the Commissioner reads, "Eligibility as a preschool student with a disability shall be based on the results of an individual evaluation which is provided in the student's native language, not dependent on a single procedure, and administered by a multidisciplinary team in accordance with all other requirements as described in Section 200.4(b) and 200.16(c) of the regulations."

To be identified as a Preschool Student with a Disability, a preschool student shall either:

- exhibit a significant delay or disability in one or more functional areas related to cognitive, language and communicative, adaptive, socio-emotional or motor development which adversely affects the student's ability to learn. Such delay or disability shall be documented by the results of the individual evaluation which includes but is not limited to information in all functional areas obtained from a structured observation of a student's performance and behavior, a parental interview and other individually administered assessment procedures, and, when reviewed in combination and compared to accepted milestones for child development, indicate a:
 - 12-month delay in one or more functional area(s); or
 - 33% delay in one functional area or a 25% delay in each of two functional areas; or
 - if appropriate standardized instruments are individually administered in the evaluation process, a score of 2.0 standard deviations below the mean in one functional area, or a score of 1.5 standard deviations below the mean in each of two functional areas; or
- meet the criteria set forth in these current disability classifications in the Part 200 Regulations:

• autism	• deaf-blindness
• deafness	• hearing impairment
• orthopedic impairment	• other health impairment
• traumatic brain injury	• visual impairment, including blindness

FACTORS TO CONSIDER: There is a wide range of variation in early development and skill acquisition among young children. This range needs to be considered when making determinations about eligibility for Preschool Special Education Programs and/or services. **While each functional area is discussed separately in this section, it is understood that the CPSE determines if eligibility criteria as indicated in the Regulations, relative to months delay, percent delay, and standard deviation, are met.** To determine a child's eligibility for special education programs and/or services, there must be a significant delay or disability in the child's development.

In determining eligibility for ELL preschoolers, the CPSE must ensure that the student is not identified as having a disability if the determinant factor is only English language proficiency NYSED has provided information to assist evaluators and CPSEs to differentiate between language differences and disabilities. *(SED memo dated December 2014)*

Delay or Disability in Cognitive Development

Definition

A child with a cognitive delay or disability demonstrates deficits in intellectual abilities beyond normal variations for age and cultural background. This might include difficulties in:

- 1) the ability to acquire information,
- 2) problem solving,
- 3) reasoning skills,
- 4) the ability to generalize information,
- 5) rate of learning,
- 6) processing information,
- 7) memory,
- 8) attention, and
- 9) organization skills.

Factors or Considerations and Observable Behaviors that Support or Demonstrate the Presence of a Cognitive Delay or Disability

1. The child has significant delays in cognitive abilities, as reflected in intellectual assessment scores, neuropsychological findings, teacher or parent rating scales, and/or results of structured observations in a classroom or other setting.
2. The child shows significant discrepancies beyond what would be normally expected within or between skill development areas, such as differences between verbal and nonverbal skills, differences within verbal sub-areas, or within perceptual-motor sub-areas. For example, a child with good acuity to visual details may show significant deficits in problem-solving spatial skills.

Delay or Disability in Language and Communication

Definition

A child with a delay or disability in language and communication demonstrates deficits beyond normal variation for age and cultural background that adversely affect the ability to learn or acquire skills in the primary language in one or more of the following areas:

- receptive language,
- expressive language,
- articulation/phonology,
- pragmatics,
- fluency,
- oral-motor skills, or
- voice (such as sound quality, breath support)

Factors or Considerations and Observable Behaviors that Support or Demonstrate the Presence of an Adaptive Delay or Disability

- The child does not use communication effectively with peers and/or adults. For example, the child does not express needs and wants in most situations.
- The child's speech and language cannot be understood by others in the child's environment who speak the same language. This may include family members or other children in the child's preschool program.
- The child exhibits observable severe or frequent frustration because of communication difficulties.

- The child exhibits speech sound and/or phonological process errors that impair intelligibility and are not developmentally appropriate. For example, speech sound production impairs listener's ability to understand the child within multiple settings.
- The child has difficulty understanding and using age-appropriate vocabulary, language concepts, and/or conversation (for example, limited vocabulary, sentence structure, and functional use of language restrict communication). In dual language acquisition, delays in both languages in young children are typical.
- The child demonstrates specific weaknesses in pragmatic language ability. For example, limited turntaking, eye contact, asking, and responding to questions, or knowledge of the speaker/listener role interfere with communication.
- The child demonstrates difficulty processing auditory information. For example, following simple directions or answering simple questions present problems for the child.
- The child demonstrates oral motor difficulty, such as in swallowing or feeding, and/or developmental apraxia, the inability to coordinate speech muscle movement to say words. For example, the child has difficulty combining sounds to say words and/or there is excessive drooling or weak oral muscle movement.
- The child demonstrates speech dysfluency (stuttering) that interferes with communication abilities. For example, word sound repetitions and/or speech productions that interrupt smooth flow of speech.

Delay or Disability in Adaptive Development

Definition

A child with a delay or disability in adaptive development demonstrates difficulty learning or acquiring skills necessary for daily living and learning through play. These occur over time, in a variety of situations, and interfere with the effectiveness of the child's ability to meet personal needs, social responsibility, or participation in developmentally appropriate situations. Adaptive behavior demonstrates the effectiveness with which the individual copes with the natural and social demands of his/her environment.

Factors or Considerations and Observable Behaviors that Support or Demonstrate the Presence of an Adaptive Delay or Disability

Adaptive behavior areas would include activities of daily living such as toileting, eating, dressing, personal hygiene, as well as development of play skills including the acquisition of developmentally appropriate pretend or exploratory play and engagement in peer and adult social play. Consideration should be given to the following factors:

- a. Family history, culture, family expectations, and opportunities to develop self-help skills.
- b. Motor contributions to functional skills, such as fine motor skills necessary for managing, fastening, or engaging in object exploration, oral motor components to eating or the gross motor abilities that support environmental exploration.
- c. The child's ability to accomplish activities of daily living adequately and as efficiently as the child's typically developing peers.
- d. The necessity for extensive task adaptations needed to support adaptive skills that are unusual for typically developing peers. For example, while the use of a covered cup or diaper is common for a two-year-old, it is not expected of a four-year-old.

- e. An inflexibility or rigidity in play behavior. For example, ritualistic self-stimulating behavior or engaging in spinning or rigid horizontal alignment of objects during free play rather than exploratory manipulation that is based on object properties.
- f. An avoidance of peer social interaction during play, with a preference for interaction exclusively with adults or observation of peers rather than active engagement with them during free play opportunities.
- g. Limitations in the initiation of play activities in either independent or free play. For example, some children will seem passive during free play either unaware of the play potential of a situation or afraid to engage in activities unless invited.

Delay or Disability in Social-Emotional Development

Definition

A child with a delay or disability in social-emotional development demonstrates deviations in affect or relational skills beyond normal variation for age and cultural background. These problems are exhibited over time, in various circumstances, and adversely affect the child's development of age-appropriate skills.

Factors or Considerations and Observable Behaviors that Support or Demonstrate the Presence of a Social-Emotional Delay or Disability

- (i) The child shows significant observable behaviors such as perseveration, inability to transition, overdependence on structure and routine, and/or rigidity.
- (ii) The child exhibits significant patterns of difficulty in the following relational areas: trust building, aggressiveness, compliance, lack of age-appropriate self-control, oppositional/defiant behavior, destructive behavior, poor awareness of self and others, or inappropriate play skills for age.
- (iii) The child has significant affect difficulties such as depression/withdrawal, limited range of emotions for a given situation, low frustration tolerance, excessive fear/anxiety, radical mood swings, and/or inappropriate fears; i.e., a child who misinterprets the approach of other children or adults as hostile in intent.

Note: While some behaviors can be symptomatic of an emotional, social, or neurological problem, they may also be part of children's normal development. The behaviors listed above must be clearly understood in their clinical context and must be significant before being considered a sign of a delay or disability.

Delay or Disability in Motor Development

Definition

A child with a delay or disability in motor development demonstrates a deficit beyond normal variability for age and experience in either coordination, movement patterns, quality, or range of motion or strength and endurance of gross (large muscle), fine (small muscle), or perceptual motor (integration of sensory and motor) abilities that adversely affects the child's ability to learn or acquire skills relative to one or more of the following:

- maintaining or controlling posture,
- functional mobility (for example, walking or running),
- sensory awareness of the body or movement,
- sensory integration,
- reach and/or grasp of objects,
- tool use,

- perceptual motor abilities (for example, eye-hand coordination for tracing) and
- sequencing motor components to achieve a functional goal.

Factors or Considerations and Observable Behaviors that Support or Demonstrate the Presence of a Motor Development Delay or Disability

- The child is unable to maintain a stable posture or transition between positions (i.e., to go from standing to floor sitting) to support learning or interactive tasks.
- The child is unable to move about the environment in an efficient way that is not disruptive to others.
- Efficient mobility refers to both the time required for moving from one place to another and the amount of energy the child must expend to move.
- The child uses an inefficient or abnormal grasp or reach pattern that limits the ability to either explore or use objects. An inefficient grasp or reach is one which does not enable flexible manipulation, limits use of tools such as writing implements or silverware in functional tasks, leads to fatigue, or limits the child's ability to obtain or use learning materials.
- The child has problems with learning new gross and/or fine motor abilities or in using motor skills in a flexible functional way. The child does not seem to accomplish motor tasks automatically after practice and attends to the motor aspects rather than cognitive or exploratory components of play or pre-academic programming.
- The child may achieve developmentally appropriate skills as measured on formal testing but has significant asymmetry that interferes with bilateral manipulation or tool use (for example, child is unable to transfer objects from hand to hand or stabilize paper when writing or cutting).
- The child is unable to sequence one or more motor actions to accomplish a goal. This includes the child with clumsiness that consistently interferes with goal-directed social or object interaction.
- The child has difficulty participating in gross motor activities, is unable to complete many of the tasks performed by typically developing peers or may refuse to participate in activities rather than seem uncoordinated.
- The child has problems in the neurological processing of information from any of the senses and organizing it for use.

Note: A determination must be made on the child's lack of exposure or familiarity with the function of instruments used to determine motor behavior. For example, does the child know how scissors are supposed to work?

Committee on Preschool Special Education (CPSE) Meeting

Initial CPSE Meeting

- A CPSE meeting must be convened by the school district within 60 calendar days from the date of receipt of the signed parental consent to evaluate.
- All members of the CPSE are to be notified in writing by the school district at least five days prior to the meeting of the purpose, date, time, and location of the meeting and the name and title of those who will attend the meeting. Parents can invite the EIOD or ongoing service coordinator (OSC) or request the school district to send a meeting notice to the EIOD/OSC.

Meeting Notice

As per NYSED Questions and Answers on Special Education Meeting Notice and Related Requirements:

- The district must notify the parent of any individual who will attend the meeting, to the extent known by the school district.
- If the parent requested the presence of a parent member in writing 72 hours prior to the meeting, the name of the additional parent member is to be included in the chart listing names and titles of the persons who will attend the meeting.
- The district does not have to include the name of a parent advocate on the notice of meeting nor send an invitation to a parent advocate.
- The meeting notice must identify the name of the agency invited to send a representative. If the name of the individual who will attend is known to the district, this information could, but is not required to, be identified on the meeting notice.
- The district should, to the extent this information is known, identify attendees by name and title. When this is not possible, the district should identify the individual by title. (This includes the county municipal representative when the name is not known.)
- Parents cannot "waive" their right to the five-day notice. However, a parent and district can agree to a meeting date within five days, which would make it impossible for the parent to receive the notice five days in advance of the meeting and for this reason, state regulations provide an exception to the five-day requirement. In agreeing to a meeting to be conducted within five days, the school district must consider its obligation to invite the municipality representative to the meeting.
- If one or more of the members of the Committee, pursuant to Section 200.3(f) of the Regulations of the Commissioner of Education, cannot attend the meeting, the meeting should be rescheduled except when:
 - alternative means of participation can be arranged; or
 - the school district and parent, in accordance with the procedures established in state law and regulation, reach an agreement that the attendance of an individual(s) is not necessary or that the individual could be excused for all or a portion of the meeting.
 - the county municipal representative is not available since, although a member of the CPSE,
 - the municipal representative is not required to be present for the meeting to be valid.

Meeting Notice form can be found at: <https://www.nysed.gov/special-education/meeting-notice-forms>

The school district must send proper written notice of parents' right to have a parent member attend any CPSE meeting along with a statement explaining the role of the parent member. NYSED revised the Meeting Notice form to include the required statement.

When an interpreter is required at the CPSE meeting, but NOT necessary for the evaluation itself, **it is the district's responsibility to arrange for and pay for an interpreter**. The district can then recoup this additional expense through the "Administration Charges and Overruns Report" that they submit to SED.

- To determine eligibility and develop an Individualized Education Program (IEP), the following should occur:
 - Summarize the evaluation reports.
 - Determine the student's present level of educational performance (PLEP, also referred to as SPAMs-social, physical, academic levels and management needs).

- Determine eligibility. Consider the child's current levels and needs to determine if the child is a Preschool Student with a Disability according to Part 200 Regulations.
- Write Annual goals and benchmarks. Annual goals and benchmarks/objectives are developed at each CPSE meeting by the CPSE. **There is no requirement that the evaluation site submit proposed goals for the CPSE meeting. However, should they wish to do so, these goals may be considered by the CPSE.**

IEP templates can be found at www.p12.nysed.gov/specialed/formsnotices/IEP/home.html

- If the child is determined to be a Preschool Student with a Disability, the CPSE then recommends programs and/or services to meet the child's needs, with consideration to their provision within the Least Restrictive Environment.
- Identify transportation options. Most students with disabilities receive the same transportation as non-disabled students. Non-disabled preschoolers are typically driven to school by a family member. If the CPSE determines that the student's disability prevents the student from using the same mode of transportation as non-disabled students, then special transportation must be indicated on the student's IEP. The CPSE must encourage parents to transport their child. (Section 200.16(e)(5))
- Consider whether an extended school year is appropriate for the student. A student is eligible for a 12-month service or program when the period of review or re-teaching required to recoup a skill or knowledge level attained by the end of the prior school year would be anticipated to exceed eight weeks. Since ESY services are for maintenance and to prevent substantial regression, it is appropriate to consider a decrease in services during this time period.
- All preschool children who were evaluated and found eligible for Preschool Special Education Programs and/or services are required to have entry assessment results. The New York State Child Outcomes Summary Form must be completed. The narrative will be completed by the evaluators. The rating scale should be completed by the CPSE committee.
- The school district must give the parent(s) prior written notice within a reasonable time before the district proposes to initiate services for the child.

Prior Written Notice (PWN)

Prior written notice is a statement from the school district informing the parent about recommendations relating to the initiation or change in the identification, evaluation, or educational placement of the child. If a proposed action by the school district requires parental consent, then PWN must be given at the same time.

The SED required PWN form can be found at <https://www.nysed.gov/special-education/prior-written-notice-notice-recommendation-forms>.

The school district is responsible and must arrange for the provision of the IEP mandated services within 30 school days from the CPSE recommendation.

If the preschool student has been determined to be ineligible for special education, the recommendation shall indicate the reasons the student was found to be ineligible. A copy of such recommendation shall be provided to the parent consistent with the prior notice requirements in Section 200.5(a) of the Regulations.

Indicator Seven Information

The New York State Performance Plan is designed to evaluate the State's effort to implement the requirements and purposes of IDEA and describe how the State will improve results for all students with a disability. All approved preschool evaluators will administer entry assessments as a component of the initial evaluation for all preschool students.

The evaluators must report the child's assessment results in the three outcome areas to the CPSE on the preschool child's Summary Evaluation Report. The CPSE is required to review the assessment results as part of the initial determination of eligibility and use the Early Childhood Outcomes (ECO) tool for collecting child outcome data to summarize the child's current functioning in: positive social relationships, acquiring and using knowledge and skills and the use of appropriate behaviors to meet their needs. The ECO scale from 1-7 describes performance of typically developing children in each of the three preschool outcome areas. This information must be retained in the child's educational record at the school district and be provided as part of the student's record if the student transfers to another school district.

School districts will be asked to report data on the amount of progress preschool children have made between entry into preschool special education and "exit" from the program after receiving preschool special education services for at least six months.

"Exit" is defined as either:

- a. declassification or
- b. a point in time within the last six months of the child's eligibility for preschool programs and services and the child's annual review or upon the preschool student's transition from preschool special education to referral for determination of eligibility for special education for school age students.

Preschool children with disabilities referred for school-age eligibility determination: To collect exit assessment data the CSE must arrange for exit assessments in the three early childhood outcome areas to be conducted as part of the reevaluation process to determine the child's eligibility for school age special education. The results are provided to the CSE for review and to determine the child's progress rating in the three identified areas.

Preschool children recommended for declassification: When considering declassification of a preschool child with a disability the CPSE must arrange for a reevaluation. The CPSE reviews existing data and identifies what additional data, if any, is needed to determine the student's individual needs, educational progress and achievement, ability to participate in appropriate activities, and continuing eligibility. The reevaluation process must include conducting exit assessments that measure the child's progress in the three early childhood outcome areas. The results of the reevaluation and exit assessments must be provided to the CPSE, including the child's parents and the person designated by the municipality in which the child resides. The CPSE must review the reevaluation and assessment results and determine the child's progress rating in each of the three identified areas.

The determination will be summarized using the child outcomes summary form.

As per NYSED, formal evaluation testing is not required to collect exit assessment data.

Click the following link for the schedule of your school district's submission for Federal Indicators:

<https://www.p12.nysed.gov/sedcar/sppschedule2017-2025.html>

Members of the Committee on Preschool Special Education

Each CPSE must include, but is not limited to:

- The parents of the preschool child;
- A general education teacher of the child whenever the child is or may be participating in the general education environment, including a daycare setting;
- A special education teacher of the child, or, if appropriate, a special education provider of the child;
- A representative of the school district who is qualified to provide or supervise special education and who is knowledgeable about the general curriculum and the availability of preschool special education programs and services and other resources of the school district and the municipality. (The representative of the school district shall serve as the chairperson of the committee);
- An individual who can interpret the instructional implications of evaluation results*, provided that such individual may also be the individual appointed as the general education teacher, the special education teacher or special education provider, the school psychologist, the representative of the school district or a person having knowledge or special expertise regarding the student when such member is determined by the school district to have the knowledge and expertise to fulfill this role on the committee;
* including a bilingual evaluation. For ELL students, the CPSE must include persons with expertise in second language acquisition and other professionals, such as speech-language pathologists, who understand how to differentiate between English language acquisition and a disability. (NYSED memo dated December 2014)
- Other persons having knowledge or special expertise regarding the child, including related services personnel as appropriate, as the school district or the parents shall designate. The determination of knowledge or special expertise of such person shall be made by the party (parents or school district) who invited the individual to be a member of the Committee on Preschool Special Education.
- For a child in transition from the Early Intervention Program, at the request of the parent, the appropriate professional designated by the agency that has been charged with the responsibility for the preschool child; and
- A representative of the municipality of the preschool child's residence provided that the attendance of the appointee of the municipality shall not be required for a quorum.

The parent member is only a required member of the CPSE if requested by the parent or member of the CPSE in writing 72 hours in advance of the meeting.

The parent member can provide important support and information to the parents of the student during the meeting. In addition to the student's parents, the parent member participates in the discussion and decision-making from the perspective of a parent of a student with a disability. The parent member is a member of the CPSE, not a parent "advocate."

Annual Review of the IEP

According to SED, PWN and parent consent are required for annual reviews and/or reevaluations when formal testing/assessments are requested. The school district must also provide written authorization to the evaluator.

The CPSE may choose to include formal testing/assessments under the goals section of the IEP. This would be used only to monitor progress toward goals and would not require PWN or parental consent because it is included on the IEP. As per SED - the school district CPSE is responsible for recommending measurable annual goals, including the evaluation criteria to measure the progress on the annual goals.

The CPSE should expect the preschool program/provider to provide the data collected for each goal, consistent with the evaluation criteria established for each annual review.

- 1) Each IEP must be reviewed at least annually by the CPSE to determine appropriateness of services and review progress towards goals.
- 2) The district sends notices indicating the date, time, and location of the meeting to all members of the CPSE, including the child's current providers and preschool (nursery school) teacher.
- 3) The CPSE meeting agenda procedures and required paperwork is completed as outlined previously in the Initial CPSE Meeting section (Section VA).

Changing Individualized Education Program (IEP) Services

Only the CPSE can amend an IEP.

At times a child's services need to be modified (increase/decrease/discharge). These modifications should be the result of a child's progress or lack thereof in meeting IEP goals and objectives. It is not necessary to wait until a scheduled Annual Review to request a review by the CPSE. These requests must be made in writing to the CPSE.

It is always appropriate for the therapist to review recommendations for a change in services with a supervisor or agency coordinator before formalizing the recommendation and discussing it with the family.

The parent/guardian should be contacted to notify them of the recommended change and the reason why.

Be sure the parent understands that this is just a recommendation and that the change can only be made by the CPSE.

If the parent/caregiver or team members feel that the current service configuration does not meet the child's needs, the CPSE must be notified. The service provider needs to complete a progress report which includes a rationale for the requested changes.

Changes to the IEP after the annual review meeting

The parent and district may agree to change the IEP without a meeting under the following circumstances:

- If the parent requests changes, and the district and the parent agree.
- If the district proposes changes, submits a written proposal in a language understandable to the parent, and provides the parent an opportunity to discuss the changes with the providers.
- After an agreement in writing, the parent receives Prior Written Notice and a copy of the IEP or document that amends the IEP.

Working in the Home, Child Care Center, Office/Facility/School

In addition to following the procedures outlined in each agency or school's procedure manual, it is important to consider the following guidelines when providing services in various locations.

General Information and Reminders

- Service providers should introduce themselves as they would like to be addressed. Use last names with appropriate titles (e.g., Mrs. Jones) unless the parent/caregiver asks you to use first names. The service provider is there as a professional, not a friend. Some providers find that continuing to use more formal address helps maintain a professional relationship.
- All providers should wear visible photo identification as provided by their agency. Independent providers must provide their own photo ID. Each photo ID should include name, picture, professional title, and, if applicable, the agency name.
- Texting and telephone calls should not be performed during the session. Cellular phones should be off. Wait until after the session to return any electronic messages.
- Do not drive the child/parent/siblings anywhere for any reason. Do not take pictures of the child or their family without written permission from the parent/guardian. If providing services in a community setting the parent/guardian must remain in the setting for the duration of the session.
- The service providers will not discuss their personal information or problems, or billing issues with the parent/caregiver. This helps keep boundaries between personal and professional relationships and allows the focus to remain on working with the child. If the parent/caregiver shares with you their personal problems (e.g., marital issues), encourage them to seek out the appropriate professional to discuss their concerns. Talk to your supervisor about specific situations.

Scheduling

- The provider should keep family considerations in mind i.e., nap times, work, and family schedules. It is important to maintain a consistent schedule throughout the IEP period (e.g., Tuesday at 10:00 a.m. and Friday at 11:30 a.m.). Keep as close to your scheduled appointment times as possible. Notify the family/caregiver as soon as possible if you will be late. If the therapy appointment must be canceled due to illness or emergency, contact the family directly, as well as the site at which the service is being provided. It is always important to have the current phone numbers (home/work/cell) of the family.
- If the parent/caregiver states that the child is not up to a session, respect their decision. When a session is canceled, indicate the cancellation in the session note in the CPSE Portal as well as who cancelled. Always offer a makeup session, according to Section VIII C of this manual.

Families as Team Members

- The provider should discuss his/her working style with the parent/caregiver when beginning services. Parents are encouraged to be involved in their child's education. If a parent or another designated caregiver is not present during a session it is important to discuss what IEP goals and objectives are being addressed. This can be accomplished with phone contact, daily notebook, etc. It is the provider's responsibility to initiate the contact.
- Suggestions should be offered to parents regularly about what they can do to carry over the provider's activities with their child. Be sure to coordinate with the Coordinator of Service so

parents do not become overwhelmed by too many “assignments.” Use a notebook to communicate with other team members as well as to provide written information for parents about their child’s education. Select activities for the parent/caregiver to do to incorporate into the child’s daily activities.

- Discuss any recommended changes in service provision with other members of the child’s team, provider agency and the CPSE chairperson before discussing them with the parent.
- If the parent/caregiver or team members feel that the current IEP does not meet the child’s needs, a CPSE meeting must be convened, unless this occurs after the annual review (see section VD- Changing the IEP Services). The service provider needs to complete a progress report which includes a rationale for the requested changes.
- In conversation with the parents/caregivers, do not diagnose outside your professional discipline, comment on another provider’s intervention, or answer questions related to another field. It is appropriate to direct questions to the provider in that field. If a parent is unhappy with another provider’s intervention, encourage the parent to contact the provider’s agency or in the case of an independent provider, the CPSE chairperson.
- Be respectful and aware of cultural differences (e.g., removing shoes, child rearing practices, appropriate dress, etc.)
- Acknowledge the needs of siblings in a positive way. If appropriate, involve them in a session. Siblings can be great motivators.

Working in the Home

- Establish specifics such as where to park, whose materials (toys) will be used (provider's or family's/caregiver's) and where in the house to work with the child. It is preferable to use the child/family's toys and equipment.
- Ask the parent/caregiver to remain within close proximity during the session and to be available as needed. A responsible adult (18 or over) must be present in the home at all times. Do not close a door or go into another area of the house without family permission.
- Use the bathroom if needed, but do not ask to use other facilities in the home (e.g., refrigerator, telephone). Do not bring any food or beverages for personal consumption during a session.
- Do not bring your children, other family members, friends, or other non-professionals on a home visit. Obtain parental consent before bringing a supervisor, student/intern or other professional to the home.
- If a service provider arrives at a home and finds an unattended child (there are no parents /adults home), a call is to be made immediately to the Herkimer County Police Department (911) and to the Preschool Special Education Program at the HCPH (315-867-1176). Stay with the child until the Police arrive.

Child Abuse and Neglect

When child abuse or neglect is observed or suspected, the service provider must immediately notify:

- The NYS Child Abuse and Maltreatment Register by telephone at 1-800-635-1522 and in writing within 48 hours of oral report.

Many professionals in New York are mandated to take a course in the "Identification and Reporting of Child Abuse and Maltreatment" to obtain or maintain certification/licensure. It is strongly recommended

to take the course even if you are not required to do so (refer to <https://www.nysmandatedreporter.org/TrainingCourses.aspx> to register for the online course.)

Health and Safety Procedures

Provider Clearances

Agencies are expected to maintain appropriate medical clearances for their employees and subcontractors to ensure the health and safety of children enrolled in the Preschool Special Education Program. Upon request, Agencies must provide the County with proof of appropriate medical clearances for staff providing services under the program. For more information on recommendations for vaccination, please see the September 2016 Health Advisory: Recommendations for Vaccination of Health Care Personnel (HCP):

https://www.health.ny.gov/prevention/immunization/toolkits/docs/health_advisory.pdf

All Providers are expected to adhere to the following policies:

- Herkimer County Antiharassment Policy (Appendix A)
- Herkimer County Drug Free Workplace Policy (Appendix B)
- Herkimer County Ethics Law (Appendix C)
- Herkimer County Smoking Policy (Appendix D)
- Herkimer County Personnel Policy (Appendix E)

Additionally, Independent Providers are expected to adhere to the following policies:

- State Central Register of Child Abuse and Maltreatment (SCR) Policy (Appendix F)
- Herkimer County Public Health Tuberculosis Testing and Evaluation Policy (Appendix G)

Independent providers must also complete and return the following forms to HCPH before initiating services:

- Annual Health Assessment (Appendix H)
- Vaccination Statement (Appendix I)
- TB Skin Test Annual Screen (Appendix J)

Health and Safety Best Practices

- Wash hands at the beginning and end of each visit and explain to the parent/caregiver why that is important. After a session, toys and equipment must be washed with an appropriate cleanser before using them with another child.
- Diapering and toileting needs that occur during a home visit should be taken care of by the parent/caregiver who is in attendance. Gloves must be worn while changing or toileting a child and hands must be washed immediately afterwards. Soiled diapers should be disposed of in a covered pail.
- Before beginning feeding therapy the provider must obtain medical clearance to do so. Gloves must always be worn when working with food or having direct contact with a child's mouth. Food reinforcers should not be used without the parent/caregiver's permission. As indicated by the family, providers need to adhere to dietary restrictions and cultural values.

- Do not enter a building if it does not appear to be safe. Leave a building if you do not feel safe. Immediately notify the agency supervisor with safety concerns. It may be possible to modify the IEP to provide services in a different location. Discuss with the family ways to make your visit safer. For example, ask them to restrain a dog or have someone meet you outside a multi-family dwelling.

Universal Infection Control Policies and Procedures

- The following guidelines for universal infection control and hygienic practices should be followed by all providers to prevent the possible transmission of any infectious disease:
- Staff should utilize utensils (preferably disposable ones) and wear disposable gloves when assisting children who are unable to feed themselves.
- Staff should use disposable gloves when assisting children in toileting or changing diapers.
- All toys used by children must be disinfected daily. This process should reflect green laws (no 10% bleach). Refer to: www.p12.nysed.gov/facplan/HealthSafety/EnvironSafeCleaning_EdLaw409i.pdf. Refer to <https://greencleaning.ny.gov/products.asp> for list of green products.
- Staff should use disposable gloves and should employ good hand washing practices after coming into contact with any blood or bodily wastes (e.g., a bloody nose). Refer to Health and Safety (Section XV of this manual) for further information.
- Staff should handle all material or equipment that may have been exposed to blood or bodily wastes in a precautionary manner. This material or equipment should be disinfected and wiped clean as soon as possible with soap and water and the general area should be disinfected following the green laws.
- Staff should dispose of items soiled with blood (e.g., gauze pads) in a leak-proof plastic bag. Such refuse may then be disposed of in the usual manner with no additional or special precautions.
- Sharp items should be disposed of in containers designed for that function.

Working in an Office/Facility-Based Program

- Parents/caregivers must remain on-site at all times during their child's session according to the policy of the facility.
- Before the first session, make sure the family has directions to the facility, is familiar with the parking arrangements and other aspects of the facility: handicapped accessibility, elevators vs. stairs, etc.
- If a child comes to an Office/Facility-Based program seeming sick, it is at the discretion of the program director/administrator whether or not to cancel that session.
- Do not have any discussions with parents concerning their child or any other child in any public area. Respect the family's privacy and confidentiality and maintain the same level of confidentiality when discussing a child with other professionals. Never show frustration or anger in the presence of families.
- Never, under any circumstances, leave a child unattended in any area of the facility. Children should always be accompanied by an adult. Always accompany children to the restroom. Appropriate facilities and supplies must be available and utilized when needed for changing diapers.
- Use of a two-way mirror is intended for the family/caregiver for observation and to assist in family training. The doors to observation rooms and other treatment rooms should be closed when not in use.

Working in a Child Care Center/Community-Based Program

Child care can take place in family childcare or day care centers, or nursery schools. Although they may operate all year long or just during the school year and may offer part-time, vacation and holiday care schedules, IEP mandated services will be provided in accordance with the appropriate calendar, as indicated on the IEP.

Additional considerations for working in child-care facilities are as follows:

- New York State Office of Children & Family Services (NYSOCFS) (the regulatory agency for all forms of child care) regulations prohibit any individual who has not been cleared through the State Registry for Child Abuse and Neglect from working with a child in isolation. The child and provider must always be under direct supervision of the caregiver.
- Any childcare facility that has a contract or agreement with Herkimer County Department of Social Services requires that all caregivers must be fingerprinted and have a criminal record check.
- A letter of introduction must be sent by the service provider prior to the onset of services at any child-care facility.
- Preschool service providers should request an orientation of the child-care facility at the beginning of the first visit. They should obtain a copy of the facility's safety procedures and all other facility policies regarding scheduling, cancellations, etc.
- The provider must implement a procedure for the inclusion of both parent and caregiver for progress updates and any other applicable communications.

Working in a Special Education Center-Based Preschool Program

Guidelines for employees of center-based programs are as follows:

- New York State Office of Children & Family Services (NYSOCFS) regulations prohibit any individual who has not been cleared through the State Registry for Child Abuse and Neglect from working with a child in isolation.
- Employees should understand and follow policies and procedures of the program set by their administration.
- Employees should always maintain a professional appearance.
- Employees should report to their administrator any observed breach of policy or any concerns regarding children and/or their families.
- Employees should follow all confidentiality and privacy laws.
- Teachers and related service providers should communicate frequently regarding a child's progress and plan together in developing strategies to address IEP goals.
- Related service providers should work with children across school settings to facilitate the carryover of skills to the classroom.
- Teachers and related service providers should communicate with parents/guardians on a regular basis.

Guidelines for non-employees working in center-based programs are as follows:

- A letter of introduction must be sent from the agency listed on the IEP to the center-based program introducing the service provider.
- Service providers must have identification to enter the facility and provide the service.

- Service providers should obtain a copy of the facility's safety procedures and any other applicable facility policies.
- Follow all rules and regulations of the center-based program.
- Ensure that the service can be delivered as indicated on the child's IEP at the program.
- Request instructions as to what space and property within the facility can be utilized prior to the initiation of services.
- Report any problems that may arise to the Director of the program or the designee.
- Notify the center-based program if you are unable to provide the service on the scheduled day.
- Before beginning services, the provider must have a copy of the most recent IEP

Delivery of Services

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 calendars vary from school district to school district, school to school, and agency to agency, the calendar utilized must be indicated on the child's IEP (i.e., Great Kids UFSD school calendar, Jingle Bells Nursery school calendar, XYZ Agency calendar).

The school district determines whether the child's services should follow the school district calendar or a provider calendar. The school district may determine that the child with multiple providers may follow multiple calendars. If the calendar is not specified, the agency should clarify the treatment dates with the school district.

If the IEP follows the school calendar, a copy of that calendar should be shared with the provider. Services may not be scheduled or made-up on legal holidays.* However, if a scheduled session falls on a legal holiday, that missed session can be made up.

Services may be scheduled on Election Day, Washington's Birthday or Lincoln's Birthday per NYS Education Law Section 3604(8) if the school district is open. Services may be provided on Superintendent's conference days since they count as one of the 180 mandated days of the school year.

If a school district closes unexpectedly due to inclement weather conditions or other emergency, services may be provided even if the school calendar is being followed.

*Legal Holidays (no services of any kind can be provided):

New Year's Day	Labor Day	Christmas
Martin Luther King Day	Columbus Day	Juneteenth
Memorial Day	Veterans Day	
July 4 th	Thanksgiving	

Service Providers must follow the calendar designated on the IEP summary form.

Location

The service location is the environment determined by the school district CPSE and is specified and written in the IEP.

In keeping with the New York State Department of Education (NYSED) policy regarding least restrictive environment (LRE), the CPSE must first consider service delivery sites where the child can learn close to home with other children of the same age who do not have disabilities.

Such sites may include, but are not limited to, an approved licensed pre-kindergarten or head-start program; or a childcare location. "Special location" and "non-integrated" is not an appropriate location choice under the Preschool Special Education Program and should not be chosen.

When a child attends a typical preschool, it is expected that SEIT and Related Services will be provided at that location. Related Services can be provided in an office when it is determined that the child needs equipment. If there is a recommendation for the same service to be given in two separate locations, the school district must specify the locations on the STAC.

The service location is written on the IEP and cannot be changed without a CPSE meeting or written agreement from the parent and school district.

Behavioral Intervention Plan (BIP)

Behavioral Intervention Plan is defined in Section 200.1(mmm) of the Regulations of the Commissioner of Education as a plan based on the results of a Functional Behavioral Assessment. At a minimum, the BIP includes a description of the problem behavior, global and specific hypothesis as to why the problem behavior occurs, and intervention strategies that include positive behavioral supports and services to address the behavior.

Per Section 200.22(b) of the Regulations of the Commissioner of Education, the CPSE must consider the development of a BIP for a child when:

- the CPSE is considering a more restrictive program or placement as a result of the student's behavior;
- the student exhibits persistent behaviors that impede his or her learning or that of others, despite consistently implemented general school-wide or classroom-wide interventions;
- the student's behavior places the student or others at risk of harm or injury; and/or
- as required pursuant to Section 201.3 of the Regulations of the Commissioner of Education relating to discipline procedures for students with disabilities.

The BIP must identify:

- baseline measure of the problem behavior that will be used as a standard to establish performance criteria and against which to evaluate intervention effectiveness;
- intervention strategies to be used to alter antecedent events to prevent the occurrence of the behavior, teach alternative and adaptive behaviors to the student, and provide consequences for the targeted inappropriate behavior(s) and alternative acceptable behaviors; and
- a schedule to measure the effectiveness of the interventions at regular intervals.

If a BIP is developed for a child, a psychologist, social worker or SEIT can implement the BIP as part of the provision of services. This implementation must include regular progress monitoring of the behavioral interventions at scheduled intervals as specified in the child's behavior plan and in the IEP (8-12 weeks is considered best practice). The results of the monitoring must be documented and reported

to the child's parents and CPSE and shall be considered in any determination to revise a student's BIP or IEP.

Refer to SED May 2011 memo on Behavior Intervention Plans.

Continuum of Services

Part 200 of the Commissioner's Regulations requires consideration of different service delivery models to determine how best to educate each child in the Least Restrictive Environment (LRE). To the maximum extent appropriate, children with disabilities are educated with children who are non-disabled in the LRE.

The CPSE must consider providing services in the LRE, according to the following hierarchy:

- 1) Related Services only
- 2) Special Education Itinerant Teacher (SEIT)
- 3) SEIT and Related Services
- 4) Special Class in an Integrated Setting (SCIS)
 - a. Half-Day (2.5 hours)
 - b. Full-Day (3-5 hours)
- 5) Special Class (SC)
 - a. Half-Day (2.5 hours)
 - b. Full-Day (3-5 hours)
- 6) Residential

No matter what the level of service along the continuum, one thing remains constant and that is the need for all members of the child's team to cooperate and share their skills and information with each other. This must occur whether the student is receiving only related services and/or SEIT or if s/he is in a special class placement.

Models of Service Delivery

Frequency, duration, location, and group size are determined by the CPSE after establishing the goals and objectives that will be addressed. The service configuration should be consistent with the needs that they delineate.

Related Services

Related Services currently include the following:

- Assistive Technology Services
- Audiology
- Teacher of the Hearing Impaired
- Teacher of the Visually Impaired
- Teacher Assistant
- Teacher Aide
- Psychological Counseling Services
- Occupational Therapy
- Orientation & Mobility
- Physical Therapy
- Parent Counseling & Training

- School Social Work
- School health services/Nurse
- Speech Language Pathology
- 1:1 Aide (including 1:1 LPN)

Related Services can be provided in a variety of settings (e.g., special school, daycare, nursery school, or clinician's office).

- Children receive their related services within the context of the typical school day
- Related services may be provided individually or in groups of two to five students.
- There are no prescribed amounts of related service that must be provided.

Make-Up Policy

- Missed sessions should be made up whenever possible. Makeup sessions may not be added to a scheduled session, i.e., a regularly scheduled session and a makeup session of the same service type may not be given on the same day. Makeup sessions can only be scheduled after a session has been missed.
- When a session is missed, ONE MORE session per week than the number specified in the child's IEP may be provided within 30 calendar days of the missed session. The makeup session must fall within the authorized service dates on the IEP.
- If you reschedule a session on a different day within the same week of services, this is not considered a makeup session. You can change the day of treatment, as long as the frequency of sessions remains the same as indicated on the IEP.
- You must indicate in the session note if the session is a makeup (M/U).
- Related Services (Speech, OT, PT, etc.) cannot be added onto a session in lieu of another session at any time.

Special Education Itinerant Teacher (SEIT)

A certified special education teacher from an approved program provides services on an itinerant basis at a site determined by the CPSE including, but not limited to:

- Approved or licensed pre-kindergarten
- Head Start program
- Student's home
- Hospital
- State facility
- Child-care location as defined by Section 4410 of the Education law

Services shall be for the purpose of providing

- Individual or group instruction
- Direct and/or indirect services

Indirect services mean instruction 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.

SEIT services must be provided for a minimum of two hours per week and should be provided within the context of the typical school day.

Special Class in an Integrated Setting (Center-Based)

SCIS may be a class that has a special education teacher and at least one Supplementary School Personnel in a classroom made up of no more than twelve preschool students with and without

disabilities or may be a class that is made up of no more than twelve preschool students with disabilities staffed by a special education teacher and at least one Supplementary School Personnel that is housed in the same physical space as a class of preschool students without disabilities taught by a non- special education teacher.

Special Class (Center-Based)

Special classes consist of students with the same disabilities or differing disabilities who have been grouped together because of similar individual needs for the purpose of being provided a special education program.

Supplementary Aides and Services

Supplemental School Personnel:

- 1:1 Aide
- Teacher Aide
- Certified Teacher Assistant

Should the CPSE consider supplemental school personnel, such as, 1:1 aides, those services are indicated on the IEP in the aforementioned section.

Supports for School Personnel

Supports for School Personnel are those supports that would help staff to work with the student more effectively such as, training in the use of American Sign Language or information on a specific disability and indicated in this specific section of the IEP.

Extended School Year Services (ESY) (12 Month), Summer, and Vacations

Extended school year services must be available for a minimum of 30 school days during July and August.

- The CPSE should indicate on the IEP the beginning and end dates of the program and location and frequency of the service.
- The CPSE must determine if student should be considered for ESY in order to prevent substantial regression.

Substantial regression would be indicated by a student's inability to maintain developmental levels due to a loss of skill, set of skill competencies or knowledge during the months of July and August. In accordance with Section 200.16(i)(3)(v) and 200.6(k)(1) of the Commissioner's Regulations, preschool students may be considered for twelve month special services and/or programs to prevent substantial regression if they are:

- Preschool students whose management needs are determined to be highly intensive and require a high degree of individualized attention and intervention (includes preschoolers in 6:1:1 class ratio);
- Preschool students with severe multiple disabilities, whose programs consist primarily of habilitation and treatment (includes preschoolers in 12:1:4 class ratio);
- Preschool students whose special education needs are determined to be highly intensive and require a high degree of individualized attention and intervention or who have severe multiple disabilities and require primarily habilitation and treatment in the home

- Preschool students whose needs are so severe that they can be met only in a seven-day residential program; or
- Preschool students whose disabilities are severe enough to exhibit the need for a structured learning environment of 12 months duration to prevent substantial regression.

Both quantitative and qualitative information should be reviewed by the CPSE to substantiate the need for providing such services and programs. The CPSE may consider a student eligible for a twelve-month service or program when the period of review or reteaching required to recoup the skill or knowledge level attained by the end of the prior school year is beyond the time ordinarily reserved for that purpose at the beginning of the school year. The typical period of review or reteaching ranges between 20 and 40 school days. As a guideline for determining eligibility for an extended school year program, a review period of eight weeks or more would indicate that substantial regression has occurred.

Prescriptions/Orders for Therapy

All ordering/referring physicians, physician's assistants, nurse practitioners, Speech Language Pathologists and psychologists must be enrolled as a NYS Medicaid provider for the prescribed/recommended service to be Medicaid billable for all dates of service.

Providers can contact HCPH to obtain the most up-to-date Prescription and Referral templates or go to the CPSE Portal Knowledge Base at <http://support.cpseportal.com/kb/a172/mcicaid-compliant-prescription-template.aspx>.

To provide Medicaid reimbursable Occupational Therapy or Physical Therapy, a written prescription from a medical professional is required.

- The following medical professionals can prescribe PT for Preschool Special Education Program (PSEP) services - a NYS licensed and NYS registered physician, physician assistant, or nurse practitioner.
- The following medical professionals can prescribe OT for PSEP services - a NYS licensed and NYS registered physician, physician assistant, or nurse practitioner.
- Initial prescriptions are typically issued by a child's primary care physician. Initial and updated prescriptions must be kept in the child's file at the location of the provider.
- The OT/PT prescription must be renewed in conjunction with the annual IEP review. If the OT/PT is recommending continued services, **it is the responsibility of the OT/PT to obtain the renewed prescription.**

To provide Medicaid reimbursable Speech Therapy a recommendation for therapy services or prescription from a medical professional is required.

- The following professionals can recommend ST for PSEP services - NYS licensed and NYS registered physician, physician assistant, nurse practitioner, or speech language pathologist. *
- The recommendation for ST must be renewed in conjunction with the annual IEP review. This recommendation must be in the child's file.

To provide Medicaid reimbursable Psychological Counseling a recommendation for therapy services from a professional is required.

- The following professionals can recommend psychological counseling –NYS licensed psychiatrist or psychologist, NYS licensed and NYS registered physician, physician assistant, nurse

practitioner or an appropriate school official, such as a school administrator or chairperson of the CPSE.

All prescriptions and recommendations must include:

- The name of the child for whom the order is written;
- The complete date the order was written and signed;
- The service that is being ordered, specifying frequency and duration, or referencing the IEP;
- Provider's contact information (office stamp or preprinted address and telephone number);
- Signature of a NYS licensed and registered physician, physician assistant, or licensed nurse practitioner acting within his or her scope of practice (for psychological counseling services this also includes an appropriate school official, psychiatrist or psychologist and for speech therapy services, a speech language pathologist);
- The time period for which services are being ordered;
- The ordering practitioner's National Provider Identifier (NPI) and license number; and,
- Patient diagnosis and/or reason/need for ordered services.

Providers must be OPRA-enrolled and must follow CPSE guidelines.

Prescriptions and recommendations must be renewed for each new IEP period or change in service that requires an amendment to the current IEP.

See NYSED website- SSHSP Questions and Answers #32-39, #91-98, #114-116 and #156-159 and Preschool/School Supportive Health Services Program Medicaid in Education Provider Policy and Billing Handbook (update #9 issued March 2018, page 21)

An original prescription must be maintained by the individual or entity that holds the contract Herkimer County Public Health under which the service was provided.

Medical Clearance

If a child's health status (e.g., heart condition, hip instability) may pose a risk in treatment, medical clearance must be secured from the appropriate medical professional (i.e., pulmonologist, cardiologist, orthopedist).

Medical clearance must be obtained any time there is a significant change in the medical status of a child prior to returning to special education, and/or related services. Services provided without securing the appropriate prescription are illegal and a violation of Education Law for OT (Article 156) and PT (Article 136).

Special Education Itinerant Teacher (SEIT)

Definitions

Special Education Itinerant Services (SEIS) services are defined in Section 4410 (1)(k) of New York State Education Law and Section 200.16 (i)(3)(ii) of the Regulations of the New York State Commissioner of Education as services provided by a NYS appropriately certified special education teacher of an approved program on an itinerant basis to a Preschool Student with a Disability.

All SEIT providers must have an employer-employee relationship with the approved preschool program. (see June 2011 SED memo)

The primary goal of SEIT is to provide the necessary special education supports to help the child benefit from participation in a community early childhood program. As with all therapies, **the goal of the SEIT is to teach the child to function within the educational setting independently without SEIT support.**

SEIT services are provided for two or more hours per week, but not for the entire time the child is attending the early childhood setting. **Children who require continuous oversight of their entire program by a SEIT or a significant number of hours to achieve goals are generally better served in a special class.**

SEIT services can be provided by means of:

- **Direct Services** specially designed individual or group instruction provided directly to the child, and/or
- **Indirect Services** that provide instruction to the child's typical classroom teacher to adjust the environment and/or modify the methodology, materials, or whatever is necessary to meet the needs of the preschooler with a disability who attends a typical early childhood program. When SEIT services are provided in the home, family participation is recommended as best practice.

NOTE: Additional information on determining the need for this service can be found in the NYSED/Special Education Guide for Determining Eligibility and Special Education Programs and or Services for Preschool Students with Disabilities available on the New York State Special Education web site at: <https://www.nysed.gov/special-education/guide-determining-eligibility-and-special-education-programs-and-or-services>.

Frequency and Duration

The NYSED mandates that SEIT services be provided for a minimum of two hours per week. If the CPSE has not met this mandate on the IEP, it is the responsibility of the SEIT and the agency to notify the school district to make the necessary changes. The CPSE can either obtain a written agreement from the parent to amend the IEP to meet the mandate or can reconvene to amend the IEP. Until the IEP is amended, no SEIT services should be provided.

Once the appropriate frequency and duration is determined by the CPSE and written on the IEP, it cannot be arbitrarily changed (increased or decreased) by any agency or by the parent. There must be a written agreement letter between the parent and the CPSE and the IEP must be amended. The CPSE may reconvene to determine if the requested change is appropriate and may or may not amend the child's IEP.

Absences and Make-Up Sessions

Child Absences

When sessions are missed due to a child's absence, enter the appropriate code in the CPSE Portal and obtain the parent/guardian signature either on the Confirmation of Service Delivery form or electronically. The following contract language applies:

(v) The Contractor shall notify the Department and the child's CPSE by facsimile transmission within 24 hours when a service is not delivered for more than five consecutive Sessions and shall indicate the reason for said missed sessions, if known. The

Contractor shall attempt to contact the Child's Parent(s) to ascertain the reason for the absences.

If a child is habitually missing sessions, the SEIT should immediately notify the school district. The school district may choose to reconvene the CPSE to consider amending the child's IEP. (See NYSED Special Education Field Advisory dated October 2015 available at:

<http://www.p12.nysed.gov/specialed/publications/2015-memos/SpecialEducationItinerantServicesforPreschoolChildrenwithDisabilitiesSEIS.html>.

Teacher Absences

When sessions are missed due to a SEIT's absence, the SEIT must make up the session if the parent(s) agrees to reschedule. If possible, the SEIT must inform the parent and the agency at least twenty-four hours in advance if the SEIT is going to be absent. The agency should then ensure that the parent is made aware of the absence of the SEIT.

If the agency has another SEIT available, the agency should schedule a substitute SEIT for the session.

Prolonged Teacher Absences

In the case of a prolonged teacher absence (more than five consecutive sessions), SEITs must notify their agency in advance of impending extended absence so that a qualified replacement teacher can be assigned to the child as soon as possible. The agency will inform the parent and notify the County and the school district regarding the need to replace the SEIT and produce a timeline for that replacement.

Make-Up Sessions

Makeup sessions cannot be performed prior to the child missing a session and parents must consent to the makeup session. As per section 200.20(b)(6), the SEIT must make up a missed session within 30 days unless there is a documented child-specific reason why the makeup session could not be provided within that time period (NYSED Field Advisory, June 2016) Each makeup session should be documented as such in the session notes signed by the parent or caregiver either on the Confirmation of Service Delivery form or electronically.

The makeup session may be done on a day the child has already received or will be receiving SEIT services. A makeup session cannot be split (ex: 30 minutes on Tuesday and 30 minutes on Friday) and must be done in its entirety at the duration indicated on the IEP. A makeup session should not be done back-to-back (double session).

SEIT as Coordinator of Services

A Coordinator of Services is required whenever a child's IEP contains a recommendation for two or more services. If the child's IEP includes SEIT services and one or more related services, the child's SEIT is always the Coordinator of Services (Section 200.16 of the Regulations of the Commissioner of Education). This designation is made at the CPSE meeting and should be written on the IEP.

As the designated Coordinator of Services, the SEIT will perform appropriate coordination activities including, but not limited to, the following non-Billable activities:

- Reviewing the schedule for all service delivery, offering recommendations and consulting with all providers to resolve scheduling issues when necessary.
- Meeting with related service providers at appropriate intervals as designated by the CPSE and written in the child's IEP for the purpose of:

- Sharing information;
 - Discussing goals, progress, and recommendations; and
 - Ensuring appropriate coordination of services.
- Meeting with the parent/guardian to discuss the child's goals and objectives, plans for achieving the goals, and progress to-date. The Coordinator also serves as a liaison between parents, therapists, the County and CPSE.
- Gathering progress reports and anecdotal information relating to the student's progress from the related service providers assigned to the child. This will ensure that the Coordinator has a general knowledge of the child's progress as well as any recommendations or considerations in each related service area in order to be able to present the information from the other therapists at CPSE meetings.
- Conducting activities such as telephone conferences or other communication practices with the school district, parents, related service providers, the center-based program, and/or other caregivers where appropriate.
- Attending all meetings requested by the school district (including CPSE meetings), center-based program, parent, and other therapists as the Coordinator, in person, if possible, or by phone.
- Establishing and overseeing a communication book with parental consent, which will allow the SEIT and other professionals to share information and build on effective techniques and activities. This book will also allow for the sharing of information with parents and typical classroom staff, thereby facilitating carry over.
- Communicating with related service providers and/or the designated center-based team to review activities, goals, progress and to communicate on the coordination of methodology and activities in a collaborative manner. This collaboration should lend itself to a discussion of the child's current level of functioning and to the appropriate approach to learning to meet the IEP goals.
- Demonstrating the appropriate activities to the family so that they may carry over the activities when the SEIT is not present. The SEIT must observe the progress and the ability of the parent(s) to follow through with the activities that have been demonstrated. The SEIT should recommend appropriate changes in activities and technique when the family is having difficulty, or the method is ineffective. This may be accomplished during, and is part of, the SEIT session.

SEIT providers must 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. (See Section 200.9(f)(2)(ix)(c) of the Regulations of the Commissioner of Education.) The activity log in the CPSE Portal can be utilized to document coordinator of services activities monthly.

Certification

To provide SEIT services, SEITs must retain their certification status with NYSED. (See NYSED website at: www.nysed.gov for the latest information regarding teacher certification.)

If a SEIT's certification expires, is revoked, or terminated, or if the SEIT has surrendered her certification, the SEIT must notify Herkimer County and the provider agency immediately. The school district needs to ensure that the child's case has been reassigned to an appropriately certified SEIT as soon as possible so that services can continue without disruption.

The NYSED has information available on the NYSED website to assist in the verification of continuing or pending certification. The provider agency is responsible to check on this status regularly.

Improper actions of a SEIT that are reported to the County will be forwarded to NYSED for investigation.

Billing and Payment

Providers will be paid the half hour reimbursement rate that has been set by the New York State Education Department. According to NYSED this rate includes any coordination of service that is required as per the IEP.

Required Paperwork

Progress Reports

All service providers must prepare periodic progress reports for each child receiving services as per the IEP. There are two types of progress reports:

- Quarterly progress reports
- Annual review progress reports

Quarterly Progress Report

It is the responsibility of the provider to send copies of the quarterly progress report to the:

- CPSE Chairperson
- Coordinator of Services
- parents/guardians

Please note, it is the school district's responsibility to ensure families receive all progress reports.

If services to a child are discontinued prior to the month when a progress report is due, a progress report should be written at the conclusion of services to the student. If an annual review progress report is prepared during a month when a quarterly report is due, the quarterly report need not be completed (e.g., if a provider prepares an annual review progress report in June for a student's annual CPSE meeting held in June, it is not necessary to prepare a quarterly progress report for the period April-June). The quarterly progress report must be submitted to the Herkimer County Public Health, upon request.

The original copies of all quarterly reports must be included in the child's record maintained by the provider.

The school district determines the dates the provider submits the quarterly progress reports to the parent and school district. The following is a typical school district schedule:

<u>Service Period</u>	<u>Due Date of Quarterly Report</u>
September-November	November 15
November-January	January 31
February-April	April 15
April-June	June 30
July-August	August 31*

*Only if student has been designated to receive ESY services

Annual Review Progress Report

The annual review progress report must be prepared prior to the preschool student's scheduled CPSE annual review.

The CPSE Chairperson must give notification of the student's annual review at least five calendar days prior to the date of the meeting.

It is the responsibility of the provider to send copies of the annual review progress report to the:

- CPSE Chairperson
- Coordinator of Services
- parents/guardians

In addition, the original copy of the annual review progress report must be included in the child's record maintained by the provider. A copy of the annual review progress report must be submitted to Herkimer County Public Health, upon request.

The annual review of a Preschool Student with a Disability is based on a review of the child's IEP and other current information pertaining to the student's performance. Informal assessment of the student's progress as a means of documenting a student's current level of functioning and progress towards IEP goals and objectives should be documented in the annual review progress report. Data must be kept regarding goal progress according to the evaluation schedule.

As per NYSED, the CPSE is responsible for recommending measurable annual goals, including the evaluation criteria to measure the progress toward the annual goals. The CPSE should expect the preschool program/provider to provide the data collected for each goal, consistent with the evaluation criteria established for each annual review.

Session Notes for SEIT/RS Providers Outside a Special Education Center-Based Program

HCPH requires accurate session notes, therefore, the following procedures must be observed:

- Record accurately the date of service rendered and the arrival and departure time. The date of service recorded must be the actual date the service was provided. Never falsify a date of service for any reason. Never have a parent/caregiver sign in advance or for any other time other than that specific date. This is fraudulent and illegal. Any proven falsification of records may result in contract termination for agency or provider and possible grounds for revocation of professional license/certification. In addition, full legal action may be pursued.
- All canceled sessions should be documented and include the date, reason and who canceled. Notify the school district if there is a lapse in services.
- Keep your appointed schedule, arrive for sessions on time, and stay for the allotted time.
- Session notes must be kept for all sessions as well as for all contacts with the family and other professionals who are involved in the ongoing delivery of services for the child (coordination of services).
- Session notes must contain the necessary information to support claims for third party or Medicaid reimbursement.

- Session notes must be signed by the parent/caregiver (parent/caregiver is defined as any person 18 years or older) and the licensed professional (along with credentials after signature) after each session or if using the Portal, obtain signature electronically or on the Confirmation of Service Delivery form.
- Session notes should record intervention when done in conjunction with another provider. The name and discipline of that provider should be included in the session notes.
- Session notes should include communication with other IEP team members.
- Session notes should include only generally accepted abbreviations.
- Session notes should be maintained in the child's file in a manner that ensures appropriate access and confidentiality for a period of three years after the child reaches the age of 18.

Case Records

Providers are expected to maintain a complete and current primary case record for each child that accurately reflects the services each child is receiving. At a minimum, the Case Record should include:

- Child information (name, date of birth, gender, address, Parent name, etc.).
- A copy of the Child's IEP and related documents, including IEP amendments.
- Paper treatment logs or electronically stored session notes, including each date of Service, length of session, description of the Services provided and the Child's response to the Services. The signature and professional credentials of the Contractor and the signature of the Parent is also required. If the Contractor is entering session notes electronically, either the Confirmation of Service Delivery form must be completed, or the Contractor must obtain the Parent's electronic signature. If the Contractor is utilizing electronic Parent signatures, there must be a digital signature policy in place and the Contractor must have printing capability.
- Quarterly progress reports.
- Orders by physician(s) or other health care professionals or referrals by appropriate personnel as required.
- Written correspondence with or regarding the Child/family.
- Notes recording any relevant discussions with Parents or other contractors regarding the Child and family and/or notes recording any relevant discussions with the County regarding the Child and family.
- Any signed and dated parental consents for the provision of evaluations and Preschool services and/or to obtain and/or release information.
- Any circumstance resulting in the non-delivery or delay in the delivery of any services shall be recorded in said case file.
- Record Access Form.
- Discharge and/or Declassification documentation.

In cases where Services are provided through a sub-contractual arrangement, the direct provider of the Services shall retain the complete and original Case Record related to the Services they deliver to a Child and a Child's family.

Case Records shall be available to the Child's Parent, upon such Parent's request, for such Parent's inspection and review. Such Parent may request that their Child's records be amended if a record contains misleading or inaccurate information about the Child or family or violates the privacy or any other rights of the Child. Case Records shall also be available for review and inspection by representatives of the County and/or NYSED or their respective designee during working hours at the Contractor's place of business or other location as agreed to by the Contractor and the County and/or NYSED.

The Contractor shall keep all Case Records and other clinical records relating to the Services performed under the terms of this Agreement available at all reasonable times for inspection, review, evaluation and audit by properly authorized personnel of the County, the State and federal government, subject to any limitations or restrictions imposed by any statutes, rules or Regulations governing confidentiality of child records, for a period of not less than that required by applicable law, regulations, or record retention schedules of the County, State or federal government.

Maintenance of Case Records. The individual Case Records for each Child participating in the Services conducted pursuant to the Agreement shall be kept in locked files or in rooms that are locked when the records are not in use with access provided only to those individuals deemed appropriate by the Department. The Records shall be maintained in a confidential manner in compliance with all applicable laws, regulations and guidelines of Federal, State and local governments and their agencies, including requirements that apply to professions licensed, registered, or certified under New York State Education Law. The maintenance of Case Records shall also be subject to those confidentiality provisions contained in this Agreement.

The Contractor shall continue to maintain the confidentiality of individual Case Records and safeguard such Case Records against destruction, as set forth above, after termination of this Agreement or any subsequent agreements, until final disposition of such Case Records is made in accordance with all applicable laws, regulations, and guidelines.

All Case Records pertaining to this Agreement, including copies of all progress reports and other records pertaining to this Agreement, shall be retained by the Contractor and shall be submitted to the Department as required. All Case Records pertaining to this Agreement shall be retained by the Contractor for a period of three years after the Child attains age 18.

All documents and records relating in any manner to Medicaid reimbursement for services require a minimum six-year retention period from the date services were paid.

Important- Do not destroy any records if damaged by flood, storm, etc. Contact the NYSED Archives Unit at (518) 474-6926 or ARCH_SOS@mail.nysed.gov to determine if records are salvageable.

Assistive Technology Device (ATD)

An assistive technology device is defined as "any item, piece of equipment or product system, whether acquired commercially off the shelf, modified or customized that is used to increase, maintain or improve functional capabilities of children with disabilities."

Before an augmentative communication evaluation is authorized by the school district, the district should determine if an evaluation is necessary. The purpose of this evaluation is to determine if the child needs a communication device, can use a communication device and which one is appropriate. If the child is already using a device in school, there is generally no reason to evaluate.

Consideration of the need for assistive technology must be based on the student's unique needs and not on his/her disability classification or the severity of disability. In many instances, the assistive technology needs of a student can be determined as a component of the initial evaluation conducted by an occupational therapist, physical therapist, speech language pathologist, or audiologist.

This evaluation should be conducted in the child's customary environment, not an office setting. The provision of ATDs is limited to situations where the item is required in order for the child to receive a free appropriate public education (Section 300.308 of the Code of Federal Regulations); therefore, the CPSE must include a recommendation as to whether the ATD is appropriate for the child to meet the IEP goals.

If the child is attending a Center Based preschool program, the approved program would make available the ATD as part of its instructional program. "It is expected that approved preschool programs will provide all programs and services associated with the IEPs of children accepted into their program, including assistive technology devices and services." (SED memo from Thomas Neveldine September 1995).

As per NYSED, the school district is not responsible for devices that are required for non-school settings or activities or items that a child routinely requires for daily life functions, regardless of the setting.

Examples:

- Hearing aids
- Wheelchairs
- Orthotics, etc.

If the child requires the use of the ATD at home to meet the goal of a free appropriate public education, then the IEP must indicate when and where the child will use the ATD and specify what goals are being addressed at home. The school district must have a written policy regarding loss or damage of equipment.

Additional guidance is provided by NYSED here: <https://www.nysed.gov/special-education/assistive-technology-students-disabilities>.

The TRAIID program provides information, device demonstrations, and loans to individuals with disabilities. Therapists are encouraged to contact the TRAIID center to borrow equipment prior to requesting items. For more information contact:

Upstate Caring Partners TRAIID RTC

675 Catherine St.

Utica, NY 13501

315-292-1968

traid@upstatecp.org

An assistive technology service is “any service that directly assists a child with a disability in the selection, acquisition or use of an assistive technology device.”

- Assistive technology services include the evaluation of the child’s needs including a functional assessment of the customary environment;
- Selecting, designing, fitting, adapting, or repairing assistive technology devices;
- Coordination and using other therapies, interventions, or services with assistive technology devices;
- Training or technical assistance for a child with a disability or if appropriate for that child’s family;
- Training or technical assistance for professionals who are substantially involved in the major life functions of children with disabilities.

Assistive technology services must be part of the IEP. The IEP must indicate the nature and extent of the AT services necessary to achieve the IEP goals. AT services must be provided by an approved provider. If the AT service is necessary in relation to the child’s educational needs, then it is appropriate.

Transportation

In accordance with The University of the State of New York, The State Education Department, Office of Special Education Regulations of the Commissioner of Education, Pursuant to Sections 207, 3214, 4403, 4404 and 4410 of the Education Law, PART 200 Students with Disabilities Section 200.16 (e) (5):

In developing its recommendation for a preschool student with a disability to receive programs and services, the committee must identify transportation options for the student and encourage parents to transport their child at public expense where cost-effective.

All transportation for Preschoolers with a Disability authorized by the CPSE and approved by the Board of Education is considered special transportation. The basis for this is that most children with disabilities receive the same transportation services as non-disabled children (SED memo). If the CPSE determines that a child’s disability prevents the child from using the same mode of transportation as non-disabled children, then the CPSE **must identify that disability within the IEP** and special transportation can be indicated on the IEP.

1. The IEP **must** read Special Transportation “Yes” when bus or Parent Mileage Reimbursement (PMR)
2. The needs of the child relating to his/her disability should be considered, discussed, and documented. The child’s specific need or reason for this special transportation must be included on the IEP.
3. Once the need has been determined and documented, the CPSE must determine which accommodation is appropriate. The IEP must include the specific transportation recommendations to address each of the child’s disability-related needs.

For the IEP to be complete, both the need/reason for the special transportation and the recommendation/accommodation must be indicated on the IEP.

Herkimer County is contracted with JC Logistics, LLC, to provide Preschool Special Education Transportation, as indicated on a child's IEP.

Documentation Process

The Preschool Transportation Request Form (Appendix K) should be reviewed, completed, and signed by the parent/guardian. Parents/Guardians are provided with and should fully review the Preschool Bus Transportation Policy before their child starts services (Appendix L).

If parents/guardians are transporting their child, they are eligible for mileage reimbursement. To receive reimbursement, the Parent Mileage Reimbursement Voucher (Appendix M) must be completed and submitted to HCPH.

Amendments to Transportation Request

When a family moves within the same school district, the school district is responsible for updating the Preschool Transportation Request form and uploading it to the Portal along with, if necessary, an amended IEP. The school district may also need to amend the transportation mandate in eSTACs.

When a family moves to a new school district,

- The old school district is responsible for notifying JC Logistics, LLC of the change
- The new school district must notify JC Logistics, LLC, of the new transportation election, effective the day after the child leaves the old school district, based on the child's current IEP until a CPSE meeting is held to determine if the current IEP will be adopted, or if services will increase, decrease, or end. If there are any changes to the child's plan, an amendment to the transportation mandate in eSTACs may be needed.

The school district is responsible for updating the child's record and notifying JC Logistics if there are changes in drop off or pick up location, daycare provider, or telephone numbers.

STAC Information

STAC-5

School District Responsibilities

Prior to the CPSE meeting:

1. Complete the STAC-5 based on the written evaluation referral document sent to the evaluation site. To access the latest fillable form online, click on the following link:
http://www.oms.nysed.gov/stac/preschool/evaluation/evaluation_reimbursement_request_for_m.pdf.
2. Create any SED required Explanation Letters. A written justification as to the need for additional evaluations from the CPSE must be uploaded to eSTACs attached to the STAC-5 that is being submitted electronically for manual processing. These include any physician evaluations and any evaluations that could have been a component of another evaluation (listed as "OTHER" evaluations under Table 3). (See SED memo from August 2003, pages 8-10)

During the CPSE Meeting:

1. Review the school district authorized evaluations.

2. Compare the Evaluation Verification supplied by the evaluator to the district created STAC-5 for accuracy.
3. Make the eligibility determination for the student.

After the CPSE Meeting:

1. Review the STAC-5 for completeness.
2. CPSE Chairperson signs and dates the STAC-5.
3. Prepare a STAC-5 Packet consisting of the STAC-5, Evaluation Verification, and child's birth certificate or other proof of legal name and birth date (if it is an initial submission), SED required Explanation Letter and Request/Consent for Bilingual Evaluation/Translation if necessary.
4. File a copy of the STAC-5 Packet in the student's record.
5. Enter the STAC-5 in eSTACs and upload the required documentation within 30 days of the CPSE meeting where the evaluations were reviewed.

If a STAC-5 is unable to be signed and submitted due to a needed correction:

1. Review the Unsubmitted Evaluations Report in eSTACs.
2. Make the necessary corrections.
3. Contact Herkimer County if you need assistance.
4. Sign and submit the corrected STAC-5.

Provider Responsibilities

Sign the STAC-5 as directed by the school district.

STAC-1**School District Responsibilities****After the CPSE meeting:**

1. Complete the STAC-1 in accordance with the SED format based on the student's IEP and provider acceptance of the referral. See Regulations at <http://www.oms.nysed.gov/stac/preschool/>.
2. Board of Education Representative signs and dates the STAC-1.
3. File a copy of the STAC -1 packet in the student's record.
4. Enter the Placements with mandates in eSTACs.
5. Sign and Submit the completed Placement in eSTACs.

If a STAC-1 is unable to be signed and submitted due to a needed correction:

1. Review the Unsubmitted Placements Report in eSTACs.
2. Make the necessary corrections.
3. Contact Herkimer County if you need assistance.
4. Sign and Submit the corrected Placement.

Provider Responsibilities

None

eSTACs Submitted Evaluations and Submitted Placements Reports**Evaluations**

The Submitted Evaluations Report is a listing of evaluations only entered in eSTACs and Signed and Submitted from the STAC-5s for each child.

The STAC-5s are viewable by both school districts and providers as soon as they are Signed and Submitted by the school district.

Services

Center Based, SEIT, and Related Services are viewable by school districts through eSTACs Submitted Placements Report and by providers through the CPSE Portal once they are uploaded. All open sessions are uploaded weekly. The current session is uploaded at least three times during a work week.

The information contained in the Submitted Placements Report is not complete and may be amended, added to and/or deleted as requested by the School District CPSE Chairpersons.

Please note that due to NYSED electronic submission data constraints, some frequency, start, and/or end dates may be different than what is written in an IEP. If there is a material discrepancy between the data on the IEP and the CPSE Portal Enrollment the provider must contact the CPSE Chairperson and request an amendment to the eSTAC entry.

E.g., Provider only gave one service session to the student. For SED submissions, the STAC must indicate three consecutive days for the service "From" and "To" dates.

Reminder, to provide services to a child and bill for those services, the provider must have received an IEP from the school district that supports those services. The services must be delivered in the location, frequency, and duration as is written on the IEP. The County must have also received either a STAC-5 classifying the child as a Preschooler with a Disability or a notification from the district that no STAC-5 is forthcoming, but the child is classified as a Preschooler with a Disability.

School district CPSE chairs can view the eSTACs Submitted Evaluations Reports showing all their students and evaluation information as well as the eSTACs Submitted Placement Reports to view services information they have submitted via eSTACs to Herkimer County.

To most effectively utilize the CPSE Portal providers should:

- Review the information provided.
- If correct, no further action is needed.
- If discrepancies are noted, contact the school district CPSE chairperson in writing. Attach supporting documentation and request submission of missing STAC-5s or STAC-1s, or any necessary corrections and/or amendments to a STAC.

Payment for Services

Rates

Preschool Tuition rates are set by NYSED's Rate Setting Unit and are accessible here:

https://www.oms.nysed.gov/rsu/Rates_Methodology/Rates/home.html

Preschool Evaluation rates can be accessed here:

https://www.oms.nysed.gov/rsu/Rates_Methodology/Rates/NonRSURates/home.html

County Related Service rates, set by the County and approved by the NYS Commissioner of Education, are accessible here:

https://www.oms.nysed.gov/rsu/Rates_Methodology/Rates/NonRSURates/home.html#CountyRS

For additional details on Related Services rates and payments, please see Billing Guidelines 2026-27 Related Services (Appendix N)

Submission of Claim Forms

All claims for payment for Preschool Special Education services must be submitted to Herkimer County within 90 days of the end of the month when services have been given. Claims should be submitted monthly. Please note below the document requirements. A completed/signed Herkimer County Claim Voucher (Appendix O) is required with your billing.

Before any payments can be made, the child's school district must enter a STAC-5 for evaluations performed and a STAC-1 for related services, SEIT services, center-based services, and/or assistive technology items. Until a STAC-5 is entered classifying the child as a Preschooler with a Disability, no payments will be made to the provider.

Additionally, all insurances (General Liability, Professional Liability, and Worker's Compensation, if necessary) must be up to date to receive payments. For SEIT and center-based services to be paid, a NYSED approved rate for the billing period must be in place.

STAC-5s are viewable by providers as soon as they are Signed and Submitted by the school district. STAC-1s are viewable by providers through the CPSE Portal as soon as they are uploaded. This information should be used as a check to mirror data on each child's IEP. If there are any discrepancies, Providers should follow up with the school districts.

Providers submitting requests for payment must use the Herkimer County Claim Voucher with appropriate accompanying documentation as noted below.

Evaluations

Complete the Evaluation Claim Summary form with provider information on top (provider name and voucher number). List each child's name alphabetically by their last name and the amount claimed with the total noted below. Have the form signed by the authorized representative. A stamp or electronic signature is permitted.

A separate Evaluation Verification & Detail Page form should be completed for each child. Complete the top of the form with provider information (agency name, child's name, child's date of birth, school district name, parent's name and address, and date). Check if the evaluation is an initial evaluation or a reevaluation. Check all evaluation components being billed. Include the date of the evaluation, the name of the professional performing the evaluation, and the evaluation rate, using the monolingual or bilingual rate columns, as needed. Subtotal the amount for all components being billed. If a translation is also being billed, please indicate the language translated and the cost. A copy of the signed and dated parental request form must be attached. Enter a subtotal for the translation costs and a total of the evaluation components and translation costs. Have the form signed by the authorized representative. A stamp or electronic signature is permitted.

Related Services

Submit a signed Herkimer County Claim Voucher in addition to a signed CPSE Exchange Voucher Summary form.

SEIT Services

Submit a signed Herkimer County Claim Voucher in addition to a signed CPSE Exchange Voucher Summary form.

Center-Based Services

Submit a signed Herkimer County Claim Voucher in addition to a signed CPSE Exchange Voucher Summary form.

Rebilling

When payments have not been made due to lack of STAC-1 or STAC-5 documentation, etc. providers may rebill by submitting all appropriate information as noted above.

Documentation

Herkimer County has assembled required forms which are revised as needed. Forms are accessible on CPSE Portal, appended to this manual, and can be requested electronically as needed.

Medicaid

Herkimer County contracts with James McGuinness & Associates Inc. Consultants (McGuinness) to assist in maximizing Medicaid reimbursement for evaluations and services provided to children who are suspected, or found, to have special education needs by approved Preschool Evaluators and Providers. Contracts with Herkimer County require service providers to provide documentation pertaining to the delivery of services upon request.

In most cases, the service provider is unaware of a child's status regarding Medicaid. It is required to have the appropriate documentation for all children evaluated and serviced within Herkimer County. You may e-mail the HelpDesk at medicaid@cpseportal.com (preferred method) or Ellen Farney at efarnery@mcguinness.com.

To find additional information on Medicaid Documentation and Compliance click this link- [CPSEPortal > Medicaid Documentation](#).

Compliance Program

All school districts, 4201 providers and counties are required to have a written compliance program if they:

- Submit claims to Medicaid that total \$500,000 or more per year; or
- Receive money from Medicaid that totals \$500,000 or more per year; or
- Should reasonably be expected to claim or receive Medicaid money that totals \$500,000 or more per year.

To determine if a compliance plan is required by your entity, refer to www.omig.ny.gov under the compliance tab.

The compliance plan must address all eight core elements, including protecting whistleblowers. Refer to Elements of Compliance Program. (see OMIG webinars at www.omig.ny.gov under compliance tab, then Compliance Library and Compliance-Related Webinar #26-34.) The purpose of the compliance program

is to ensure methods are established to detect and prevent inaccurate billing and inappropriate practices.

New York State Social Services Law (SSL) § 363-d and 18 NYCRR Part 521 require Medicaid providers to certify annually that they have an effective compliance program in place. The certification forms can be found on the Office of the Medicaid Inspector General (OMIG) website at www.omig.ny.gov under the compliance tab then Compliance Certification.

Federal Deficit Reduction Act of 2005 (DRA)

The federal Deficit Reduction Act of 2005 instituted a requirement for health care entities (school districts, providers, and counties) to establish written policies and procedures informing their employees, contractors, and agents regarding federal and state false claim acts and whistleblower protections if they submit claims to Medicaid that total \$5 million. Medicaid providers must certify annually that they are compliant with the federal DRA.

To determine if DRA applies and annual certification is required, refer to www.omig.ny.gov under compliance tab and click the Compliance Certification sub tab and see DRA Certification.

Disclosure Policy

School districts and 4201 providers shall establish a confidential disclosure policy to include a mechanism enabling employees to disclose anonymously any practices or billing procedures, deemed by the employee to be inappropriate (ex. billing without documentation), to the State's Compliance Officer.

Deputy Director of Administration
Corning Tower- Room 2863
Albany, New York 12237
(518) 474-9868

This disclosure policy should be incorporated into existing policy.

All Medicaid providers are mandated to follow reporting, notifying, and returning Medicaid overpayments. (based on PHL section 32(18), PPACA section 6402, FCA and SSL section 363-d(2)(g), and 18 NYCRR Part 521.)

Relevant Employees

National Provider Identifier (NPI)

The NPI # is the national standard for identifying health care providers. This is a federal requirement per HIPAA.

A National Provider Identifier must be included on all claims submitted for Medicaid reimbursement. School supportive health service claims submitted to Medicaid for reimbursement must contain both the billing provider's NPI and the attending provider's NPI.

For School Supportive Health Services Program (SSHSP) purposes, the following licensed, registered, and/or certified attending providers' NPIs must be reported on SSHSP claims:

- speech-language pathologists;

- physical therapists;
- occupational therapists;
- psychologists;
- psychiatrists;
- clinical social workers;
- registered professional nurses;
- audiologists; and,
- physicians, physician assistants, or nurse practitioners.

For SSHSP purposes, the following service providers are required to report their supervisor's (the attending practitioner's) NPI:

- certified teachers of the speech and hearing handicapped;
- certified teachers of students with speech and language disabilities;
- physical therapy assistants;
- occupational therapy assistants;
- licensed master social workers; and
- licensed practical nurses.

In cases where the servicing provider works "under the direction of" or "under the supervision of" a licensed clinician, the directing/supervising clinician is considered the "attending" clinician. The attending provider is the clinician who has overall responsibility for the child's therapy. The servicing provider is the clinician that provides services to the student on a regular basis. For purposes of reporting NPI numbers on SSHSP Medicaid claims, the attending provider's NPI number must be used where the attending provider and the servicing provider are not the same individual.

NPIs for billing providers and attending providers must be registered with the New York State Medicaid program before being included on a claim. School districts, counties, and 4201 schools are responsible for registering the NPIs of their affiliated providers with the New York State Medicaid program.

http://www.oms.nysed.gov/medicaid/medicaid_alerts/alerts_2011/Medicaid_Alert_11_3_NPI.pdf

See the National Plan & Provider Enumeration System (NPPES) website for more information and to apply for an NPI- <https://nppes.cms.hhs.gov>.

Credential/NPI Verification

"All providers licensed through the New York State Office of the Professions (Occupational Therapists, Physical Therapists, Licensed Clinical Social Workers, etc.) as well as non-licensed professionals that work under the direction of an SLP for speech therapy services (TSHH, TSSLD, etc.) will need to have their credentials verified.

Verification means a person (the therapist or agency staff) will need to review what is on file for their credentials, verify it is correct and provide an attestation that it is correct. The credential information that needs verification includes name, NPI and license information (number, issue date and renewal date)." *James McGuinness & Associates Consultants – Credential Verification*

“CPSEPortal maintains a database of NPIs published by the National Plan & Provider Enumeration System (NPPES). The NPPES publishes updates on a weekly basis and when those updates are published, they are loaded into CPSEPortal.” *James McGuinness & Associates Consultants – Knowledge Base CPSE Portal> Maintaining User Information*

Important: To maintain the accuracy of this information going forward, and to assist the County in claiming Medicaid funds for evaluations and services rendered, you will be required to:

- Verify and add the therapists’ NPI number to the CPSE Portal
- Verify and attest to the therapists’ credentials in the CPSE Portal

Information on how to verify the therapists’ credentials can be found at this link: [Credential Verification - CPSEPortal](#)

CPSEPortal > Webinars

- To view a recording of the webinar, [click here](#).
- To view the slides from the webinar as a PowerPoint, [click here](#).

You may also view step-by-step instructions in the [Credential Verification for Agencies](#) Knowledge Base; the [Credential Verification for Providers](#) Knowledge Base; or the [Credential Verification for No CPSE Portal Login](#) Knowledge Base.

Medicaid Exclusion Lists

Providers must check at least monthly, all its employees and subcontractors against:

- The United States Department of Health and Human Service’s Office of the Inspector General’s Lists of Excluded Individuals and Entities or any successor list (or any successor system), [HHS-OIG-Fraud Prevention & Detection - Exclusion Program - Search](#)
- The New York State Department of Health’s Office of the Medicaid Inspector General's list of Restricted, Terminated or Excluded Individuals or Entities (or any successor system) <https://omig.ny.gov/medicaid-fraud/medicaid-exclusions>

Individuals and/or business entities who are identified as Restricted, Terminated or Excluded Individuals or Entities must be reported to the Director of the Division of Community and Maternal and Child Health Services Program in writing within three days of discovery and are prohibited and excluded from providing evaluations and/or services to preschool students and from receiving payments from Herkimer County or providing office support/claiming for the evaluations and/or services. These identified individuals and/or business entities must be removed from the student’s case immediately until the individual and/or business entity has been granted Reinstatement into the Medicaid program and/or removal from the Restricted/Terminated/Excluded list by the OMIG.

Providers are prohibited from submitting claims to Herkimer County for any evaluations and/or services provided to preschool students whose evaluations and/or services would be paid with funding from the 4410 program or provide office support/claiming for 4410 evaluations and/or services for the month in which they were identified as a Restricted, Terminated or Excluded Individuals or Entities and subsequent months until such time as the individual and/or business entity has been granted Reinstatement into the Medicaid program and/or removal from the Restricted/Terminated/Excluded list by the OMIG.

Restricted, Terminated or Excluded Individuals or Entities who have been granted Reinstatement into the Medicaid program and/or removal from the Restricted/Terminated/Excluded list by the OMIG can notify the Director of the Division of Community and Maternal and Child Health Services Program in writing of their status and request reinstatement to evaluate and/or provide services to preschool students. The independent provider, individual and/or entity will be notified in writing by Herkimer County of the date on which the independent provider, individual and/or entity may begin to provide evaluations and/or services or provide office support/claiming for 4410 evaluations and/or services.

Should the provider bill in error resulting in a fine to the County, the provider shall assume responsibility for the cost of the fine and shall reimburse the County in full.

Appendices

APPENDIX A - Herkimer County Antiharassment Policy

APPENDIX B - Herkimer County Drug Free Workplace Policy

APPENDIX C - Herkimer County Ethics Law

APPENDIX D - Herkimer County Smoking Policy

APPENDIX E - Herkimer County Personnel Policy

APPENDIX F - State Central Register of Child Abuse and Maltreatment (SCR) Policy

APPENDIX G - Herkimer County Public Health Tuberculosis Testing and Evaluation Policy

APPENDIX H - Annual Health Assessment

APPENDIX I - Vaccination Statement

APPENDIX J – TB Skin Test Annual Screen

APPENDIX K- Preschool Transportation Request Form

APPENDIX L - Preschool Bus Transportation Policy

APPENDIX M - Parent Mileage Reimbursement Voucher

APPENDIX N - Billing Guidelines 2026-27 Related Services

APPENDIX O - Herkimer County Claim Voucher

ANTI-HARASSMENT POLICY

Herkimer County

The County of Herkimer is committed to maintaining a work environment that is free of discrimination. In keeping with this commitment, harassment of Herkimer County employees by anyone, including any officer, supervisor, co-worker, vendor, client, volunteer or customer of Herkimer County will not be tolerated.

Harassment consists of unwelcome conduct, whether verbal, physical or visual, that is based upon a person's protected status, such as sex, color, race, ancestry, religion, national origin, age, physical handicap, medical condition, disability, marital status, veteran status, citizenship status, or other protected group status. Herkimer County will not tolerate harassing conduct that affects tangible job benefits or otherwise adversely affects an individual's employment opportunities, that interferes unreasonably with an individual's work performance or that creates an intimidating, hostile or offensive working environment.

Sexual harassment deserves special mention. Unwelcome sexual advances, requests for sexual favors, and other physical, verbal or visual conduct of a sexual nature constitute sexual harassment when: 1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, 2) submission to or rejection of such conduct by an individual is used as a basis for employment decisions affecting such individual, 3) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, abusive or offensive working environment. Sexual harassment may include explicit sexual propositions, sexual innuendo, suggestive comments, sexually oriented "kidding" or "teasing," "practical jokes," jokes about gender-specific traits, foul or obscene language or gestures, displays of foul or obscene printed or visual material, and physical contact, such as patting, pinching, or brushing against another's body.

All Herkimer County employees are responsible for helping to assure that harassment is avoided. Any employee, client or volunteer who believes they have been discriminated against or are the target of harassment, as defined above, or who believes they have witnessed discrimination or harassment, is to contact their immediate supervisor or the department head of the agency involved immediately. Any supervisory employee who is so approached or any employee who has knowledge of such a situation is to contact the department head immediately to report the complaint. In the alternative, any such supervisory employee who is so approached or any employee who has knowledge of such a situation may report the complaint to any one of the four individuals specified in the paragraph hereafter, instead of reporting to the department head.

As an alternative to making a complaint to the supervisor or department head, the employee may directly contact any of the following to make a complaint of harassment:

Herkimer County Personnel Officer, Mr. Steven R. Billings at 867-1115;

County Administrator, Mr. James W. Wallace, Jr. at 867-1112;

County Treasurer, Mrs. Kimberlee A. Enea at 867-1144; or

Special Assistant to the Commissioner of Social Services/Personnel Staff Developer, Mrs. Linda A. Patten at 867-1275.

Herkimer County forbids retaliation against anyone who has reported harassment or who cooperates in the investigation. The County's policy is to take immediate and appropriate corrective action as a result of all such complaints. A prompt, thorough investigation of the complaint will be initiated and the complainant will be advised of the right to further file with the NYS Division of Human Rights and the Equal Employment Opportunity Commission. Because of the sensitivity of the issue of harassment, particularly sexual harassment, efforts will be made to conduct investigations confidentially to ensure protection for those involved.

The department head or other designated County official will conduct a confidential investigation, informing only those with a need to know. All witnesses and anyone with knowledge of the alleged harassment will be interviewed. Where possible, the identity of the alleged harasser will not be revealed. All aspects of the investigation process will be documented. All documents concerning the alleged incident will be kept in a separate file, but if discipline is ultimately imposed, this will be documented and recorded in the harasser's personnel file.

The findings of the investigation will be reported to the County Administrator and the Personnel Committee of the Herkimer County Legislature no later than two weeks after receipt of the initial report of the incident. Where necessary, immediate corrective action will be taken to protect the victim and to discipline the harasser up to and including immediate termination of employment, as appropriate. The victim will be informed that the incident has been thoroughly investigated, that disciplinary action has been taken, where appropriate, and that the employer is satisfied that it will not recur.

Herkimer County will develop methods to sensitize all supervisory and nonsupervisory employees on issues of harassment to insure that they fully understand the nature of harassment, in all its forms, and that harassment of any type by anyone will not be tolerated. In order to assure that complaints are investigated promptly and appropriate corrective action is taken, supervisors and administrative personnel will receive ongoing training. The policy and complaint procedures will be audited periodically for effectiveness, accessibility and confidentiality. This policy will be distributed to all officers and employees of Herkimer County and will be conspicuously posted in County buildings.

Rev. 1/1/2009

-----DETACH AT THIS LINE-----

The undersigned has received a copy of and reviewed the Antiharassment Policy, adopted by the Herkimer County Legislature on May 21, 1996 and revised on March 21, 2001, including reporting requirements and investigative procedures.

Dated: _____

Signature

Witness to Signature: _____

Printed Name

Position with County

Department

Kindly complete, detach and return this attestation form to your Supervisor or Department Head.

**HERKIMER COUNTY
DRUG FREE WORKPLACE POLICY
(As Adopted by Resolution No. 159 of 1991)**

1. Herkimer County is committed to maintaining a drug free environment in accordance with the Anti-Drug Act of 1988 and the Drug Free Workplace Act and will not tolerate the unlawful possession or use of controlled substances on county premises. Employees must not engage in the unlawful manufacture, distribution, dispensation, possession or use of controlled substances on county properties. This prohibition in no way extends to medical treatment ordered by physicians for patients at the County Home for the Aged and the Herkimer County Correctional Facility.
2. Compliance with the provisions of this policy shall be a condition of employment in Herkimer County. Any employee found under the influence of a controlled substance while on county property during work time or engaged in prohibited conduct or convicted of a crime involving a substance violation on county property shall be subject to discipline up to and including discharge and/or satisfactory participation in a rehabilitation program.
3. Any employee requesting assistance and/or information regarding substance abuse will be referred to a local agency.
4. All employees will be notified of this policy and new employees will be notified as part of their orientation/hiring process.
5. In compliance with federal law, any employee convicted of any criminal drug statute violation, which occurred in or on county property shall notify his or her department in writing of such conviction and any resulting conditions within five (5) days of such conviction.
6. The County shall notify the appropriate federal contracting agency within ten (10) days of notice of conviction as described above. The department head shall notify the County Administrator immediately of notice of conviction. The County Administrator shall insure, through proper administrative channels, notification of such conviction to the appropriate federal agency.
7. The County of Herkimer will take appropriate and necessary steps to establish and maintain a drug free environment, including but not limited to, educational programs, dissemination of drug awareness information and implementation and enforcement of this policy.

Signature and title of Employee/Agency
Designee/student

Witness

Date

HERKIMER COUNTY ETHICS LAW

The Herkimer County Legislature has enacted an Ethics Law pursuant to Article 18 of the New York State General Municipal Law.

The Law requires that certain officers, department heads, policy-making officials and board members file a Financial Disclosure Form each year. Those required to file will be notified and given a copy of the Local Law and the form they must use in filing.

While officers and employees of Herkimer County, who are not on the list, are not required to file the Financial Disclosure Form, there are certain requirements of the Ethics Law which pertain to them.

Article III of the Local Law Sets forth a Code of Ethics which applies to all officers and employees. That Code of ethics is attached hereto.

Article IV of the Local Law, in paragraphs "1" and "2", sets forth requirements as to Disclosure of Interest. Those sections of the Local Law are attached hereto.

Article V of the Local Law requires that every official and employee is required to attest each year that he or she has reviewed the Code of Ethics, said attestation to be made on or before May 1 of the year for which employment is in effect. Those required to file a Financial Disclosure Form should note that this requirement is in addition to such filing.

A form for attestation as to review of the Code of Ethics is attached hereto. Each official and employee, after review of the Code, should sign and date the form, have it witnessed by another person and hand the Attestation Form in to his/her department head or board chairman. The department head or board chairman shall deliver the said forms to the Board of Ethics.

Department heads shall deliver to each new employee a copy of the Code of Ethics. The new employee should sign and deliver the Attestation Form to the department head before commencing work. The department head shall cause the Attestation Forms to be delivered to the Board of Ethics.

Any official or employee who has a question concerning the requirements of the Ethics Law may submit the question in writing to the County Attorney's Office. A determination will then be made as to whether the question can be answered by the County Attorney's Office or whether the questions should be submitted to the Board of Ethics for a formal opinion.

CODE OF ETHICS**A. Prohibited Activities**

It is the policy of the County Legislature that all officers and employees must avoid conflict or potential conflicts of interest. A conflict or a potential conflict exists whenever an officer or employee has an interest, direct or indirect, which conflicts with their duty to the County or which could adversely affect an individual's judgment in the discharge of his or her responsibilities. No officer or employee shall:

1. Take action or participate in any manner whatsoever in his or her official capacity in the discussion, negotiation or the awarding of any contract or in any business or professional dealings with the County of Herkimer or any agency thereof in which the official or employee has or will have an interest, direct or indirect, in such contract or professional dealings.
2. Engage in, solicit, negotiate for or promise to accept private employment or render services for his or her personal benefit when such employment or service creates a conflict or impairs the proper discharge of his or her official duties.
3. Solicit, directly or indirectly, any gifts, or receive or accept any gift having the value of Seventy-five (\$75.00) Dollars, or more, whether in the form of money services, loan, travel, entertainment, hospitality, thing or promise, or in any other form, under circumstances in which it could be reasonably inferred that the gift was intended to influence him or her, or could reasonably be expected to influence him or her, in the performance of his or her official duties or was intended as a reward for any official action on his or her part.
4. Disclose confidential financial information acquired in the course of his or her official duties or use such information to further his or her personal interest.
5. Take action on a matter before the County of any instrumentality thereof when, to his or her knowledge, the performance of that action would provide a pecuniary or material benefit to himself or herself.

IV. DISCLOSURE OF INTEREST

1. Any officer or employee who has, will have or intends to acquire a direct or indirect interest in any matter being considered by the Legislature of the County of Herkimer or by any other official, Board, Agency, officer or employee of the County of Herkimer, and who participates in the discussion before or who gives an opinion or gives advice to any Board, Agency, or individual considering the same, shall publicly disclose on official record the nature and the extent of such interest.
2. Any officer or employee of the County of Herkimer who has knowledge of any matter being considered by any Board, Agency, officer or employee of the County of Herkimer in which matter he or she has or will have or intends to acquire any direct or indirect interest, shall be required immediately to disclose, in writing, his or her interest to such Board, Agency, officer or employee, and the nature and the extent thereof, to the degree that such disclosure gives substantial notice of any potential conflict of interest.

Attestation Form

As required by Article V of the Herkimer County Ethics Law, the undersigned attests that he/she has, during the current year, received a copy of the Code of Ethics and Disclosure of Interest requirements of Herkimer County.

Date: _____

Signature _____

Witness to Signature: _____

Printed Name _____

Position with County _____

Department or Board _____

Herkimer County Smoking Policy

I. To comply with the New York State Clean Indoor Air Act (Chapter 12 of the Laws of 2003), the Herkimer County Legislature has duly adopted the following policy regarding smoking in County Buildings. Smoking shall mean the burning of a lighted cigar, cigarette, pipe or any other matter or substance which contains tobacco.

II. Effective July 23, 2003, smoking shall be prohibited in any indoor area in every County building, including county owned vehicles. The County shall conspicuously post "NO SMOKING" signs in appropriate areas.

III. The County shall prominently post this smoking policy throughout its buildings and shall supply copies to employees and prospective employees.

Signature and title of Employee/Agency Designee/student

Date

Witness



Personnel Policy

PURPOSE:	This policy is to ensure that all personnel employed by the Herkimer County Public Health Nursing Service are physically and professionally qualified to deliver safe, competent, and ethical care. The policy establishes comprehensive standards for health assessments, immunization compliance, training, performance evaluations, and exposure prevention in accordance with regulatory requirements, thereby safeguarding both staff and patients throughout the continuum of care.
DATE ADOPTED:	06/05/2025
REVISED:	07/09/2025
ANNUAL BOARD REVIEW DATE:	09/04/2025
POLICY:	1. The health status of all new personnel is assessed and documented prior to assuming patient care duties. The assessment shall be of sufficient scope that no person shall assume their duties unless he/she is free from a health impairment which is of potential risk to the patient or which might interfere with the performance of their duties, including the habituation or addiction to depressants, stimulants, narcotics, alcohol or other drugs or substances which may alter the individual's behavior. Attachment A, C, D 2. The health status of its staff will be annually assessed through a self-health assessment. Early intervention staff will have an annual assessment of health signed off by a medical provider per BEI regulations. Attachment B, Attachment D 3. A record of the following will be obtained and maintained for all personnel: A. Certificate of immunity against rubella B. Certificate of immunity against measles C. If no documented proof of immunity is provided, staff will receive the first dose of MMR vaccine at the Herkimer County Public Health immunization clinic. Staff will be able to work during the time period between first and second dose as their status is in process. D. A written statement, if applicable, from any licensed physician, physician assistant, specialist assistant, licensed midwife or nurse practitioner, which certifies that immunization with measles and/or rubella vaccine may be detrimental to the person's health. The requirements of 3 (A) and (B) of this policy relating to measles and/or rubella immunization shall be inapplicable until such immunization is found no longer to be detrimental to such person's health. The nature and duration of the medical exemption must be stated in the individual's personnel record and must be in accordance with generally accepted medical standards (for example, the recommendations of the American Academy of Pediatrics and the Immunization Practices Advisory Committee of the U.S. Department of Health and Human Services) E. All personnel prior to employment or affiliation, an initial individual tuberculosis (TB) risk assessment, symptom evaluation, and TB test

(either tuberculin skin test or Food and Drug Administration (FDA) approved blood assay for the detection of latent tuberculosis infection), and annual assessments thereafter. Positive findings shall require appropriate clinical follow-up. The agency will follow its Employee Tuberculosis Testing and Evaluation Policy.

F. Documentation of vaccination against influenza, or wearing of a surgical or procedure mask during the influenza season, for personnel who have not received the influenza vaccine for the current influenza season. The agency will follow its Flu Mask Policy and Procedure.

4. Prior to patient contact, employment history from previous employers, if applicable, and recommendations from other persons unrelated to the applicant if not previously employed, are verified.
5. Personnel records include verifications:
 - employment history
 - qualifications for the duties assigned
 - signed and dated applications for employment;
 - records of professional licenses and registrations;
 - records of physical examinations and health status assessments
 - performance evaluations
 - dates of employment, resignations, dismissals, and other pertinent data provided that all documentation
 - information pertaining to an employee's medical condition or health status, including such records of physical examinations and health status assessment shall be maintained separate and apart from the non-medical personnel record information and shall be afforded the same confidential treatment given patient medical records
 - vaccination record and/or lab test
 - For EI and Preschool staff annual health statement from a provider that they are cleared to work with children. Attachment D
6. Time and payment records are kept for all personnel by our payroll clerk.
7. All personnel receive orientation to the policies and procedures of the home care services and agency operation and in-service education necessary to perform their responsibilities. At a minimum:
 - medication management (as needed by job title)
 - infection control
 - injection safety and must be supervised by a registered professional nurse (as needed by job title)
 - emergency procedures
 - Affirming Care for the LGBTQIA+
 - any other program required training necessary to perform their job.
8. The agency will keep its current written job description for each position which delineates responsibilities and specific education and experience requirements.
9. An annual assessment of the performance and effectiveness of all personnel is conducted including at least one in-home visit to observe performance, if applicable.
10. Herkimer County Public Health will follow its policy on Infection Control Training. The policy will include the prevention of circumstances which could result in an employee or patient/client becoming exposed to significant risk

	body substances which could put them at significant risk of HIV or other blood-borne pathogen infection during the provision of services. 11. That a policy/procedure is implemented and enforced for the management of individuals who are exposed to significant risk body substances under circumstances which constitute significant risk of transmitting or contracting HIV or other blood-borne pathogen infection. Herkimer County Public Health's will follow its Occupational Exposure to Blood or Body Fluid Policy. 12. Each employee delivering services wears identification indicating their name and title. 13. This policy will be reviewed at least annually by the Advisory Board. 14. Personnel information will be tracked with a check list to maintain needed documents in both the personnel folder and the employee's medical folder. Attachment E, F. 15. Personnel records are confidential and will be released only to authorized management for review. • Release of personnel information on current and/or terminated employees without written authorization from the employee will be limited to verification of date of hire, date of termination, and job title. • When unemployment or other type of claim is filed, necessary information will be released as requested by law. • Files of terminated
ATTACHMENTS:	Attachment A: Initial Employment Physical Form Attachment B: Self Health Assessment Attachment C: EI Vaccination review Attachment D: EI Annual Health Assessment from Provider Attachment E: Personnel Folder Check list Attachment F: Employee Medical Folder Check list
REGULATION:	Title 10 Sections: (Article 28) Section 2.59 subsection (c), Section 751.6 subsection (a, c, d, f, h, l, o) Health and Safety Standards for the Early Intervention Program General Standards 3.1, 3.2, 3.3, &4.1 Title 10: Section 766.11 (LHCSA)



STATE CENTRAL REGISTER OF CHILD ABUSE AND MALTREATMENT (SCR) POLICY

ORIGINAL DATE OF COMPOSITION:	10/31/12
REVISED:	10/31/12; 4/1/13; 4/2/14
APPROVAL BY MEDICAL CONSULTANT:	6/19/13; 06/13/14
APPROVAL BY GOVERNING BOARD:	6/7/13; 06/06/14
POLICY:	All prospective employees of Herkimer County Public Health, either through direct employment or through contractual agreement, who will have the potential for regular and substantial contact with children receiving services through Child Find, Early Intervention, and Preschool Services shall have screening and clearance from the State Register of Child Abuse and Maltreatment (SCR) prior to delivering unsupervised services to children in any of these programs.
PURPOSE:	To protect children who are being evaluated by or who are receiving services through these programs from individuals who have a founded history of child abuse or maltreatment on file with the SCR.
REFERENCES:	Chapter 578 of Section 424-a of Social Service Law Early Intervention Program Memorandum 2001-1, reissued November 2002
POLICY STATEMENT: <u>Implementation</u> <u>Responsibility and</u> <u>Who Should be</u> <u>Checked through</u> <u>the SCR</u>	1. It is the responsibility of the Early Intervention Coordinator or Director of Public Health to implement procedures to ensure that Form LDSS-3370 (State Central Register Database Check Form) is completed and submitted to the SCR for: a. Any person who is being actively considered for employment and who will have the potential for regular and substantial contact with children who receive Early Intervention/Preschool/Child Find services. b. Any prospective individual contractors providing goods or services who will have the potential for regular and substantial contact with children who receive Early Intervention/Preschool/Child Find services. c. Prospective consultants/volunteers who will have the potential for regular and substantial contact with children who receive Early Intervention/Preschool/Child Find Services. 2. It is the responsibility of agencies contracting with Herkimer County Public Health for Preschool and Early Intervention services under section 424-a of Social Service Law to ensure that Form LDSS-3370 is completed and submitted to the SCR for: a. Any person who is being actively considered for employment, and who will have the potential for regular and substantial contact with children who receive Early Intervention/Preschool/Child Find services.

	b. Any prospective individual contractors providing goods and services who will have the potential for regular and substantial contact with children who receive Early Intervention/Preschool/Child Find services. c. Prospective consultants/volunteers who will have the potential for regular and substantial contact with children who receive Early Intervention/Preschool/Child Find services. For all mandated clearances, the database check must be completed and an acceptable response received from the SCR <i>prior to any unsupervised contact</i> between a child receiving Early Intervention/Preschool/Child Find services and the individual service provider. Refer to Early Intervention Program Memorandum 2001-1 for Questions and Answers about SCR Database Check Procedures. Clearance of currently contracted providers or prospective contracted providers can only be done once by the municipality through the SCR and clearance may not be obtained with each contract renewal. Clearance of current employees of the municipality can be conducted periodically but no more than every six (6) months after the initial screen.
POLICY STATEMENT: <u>Procedure for</u> <u>Completing LDSS-</u> <u>3370 form and</u> <u>Submission to SCR:</u>	New York State has instituted an On-Line Clearance System (OCS) effective 4/15/11. The OCS is a web-based application that supports the mandate under Section 424-a of the Social Services Law to inquire of the Statewide Central Register (SCR) as to the existence of any reports of child abuse or maltreatment indicated against an applicant prior to employment, certification, or licensure. The OCS allows electronic submission of Database Check requests to the SCR, thereby replacing the existing paper LDSS-3370 form previously used. Electronic submission of the database check provides immediate acknowledgement of that submission. Additionally, the generation and mailing of hard copy of the Database Check response letters will be replaced with an electronic notification from the SCR. The OCS will maintain a record of all Database Checks requests submitted by our agency and the SCR's response for six (6) months. This does not eliminate the need for the agency to track and maintain SCR Database Check submissions and the SCR response letters as required by licensing or regulatory standards. The Early Intervention Program Official will print a copy of the SCR response letter to be placed into the personnel file of the prospective applicant. Herkimer County Public Health shall appoint an Agency Liaison who will register for access to the OCS. This appointee shall be the SCHN or designee. Once the liaison is granted access to the OCS, at any time the SCHN can then create accounts for other users in the agency. A determination will be made by the Director of Public Health other staff members who will be granted additional access to the OCS for purpose of submitting Database Check requests. The agency liaison shall be responsible for terminating access when a worker leaves the agency or is no longer required to access the OCS. There are two (2) ways to enter a Database Check request in the On-Line Clearance

	System: 1. The agency worker who has been given the security rights to access the OCS can enter the Database Check information directly from a personal computer (PC) located in the agency and then electronically submit the request to the SCR for processing. <i>OR</i> 2. The agency worker who has been given the security rights to access the OCS can log on to the application from a PC located in the agency and then require that the applicant/prospective employee data enter the Database Check information. Upon completion of the entry by the applicant, the agency worker would review the information for accuracy and electronically submit the Database Check to the SCR for processing. The agency worker will remain with the applicant while he/she is data entering. If the agency chooses option (1.), the prospective employee, individual contractor, consultant or volunteer will be given the following forms for completion and submission back to this agency: • Form LDSS-3370 (rev. 4/2011) • Additional page (previous addresses, if space on page one is not enough) • Additional page, other household members if space on page one is not enough • Instructions for Completing the Statewide Central Register Database Check Form These forms can be found at: http://www.ocfs.state.ny.us/main/forms/cps/ Once completed, the applicant will return the forms to Herkimer County Public Health Early Intervention Program Official (Supervising Community Health Nurse for Children with Special Health Care Needs). The data will then be entered into the OCS as indicated. When the SCR issues its response letter, via electronic means, the agency worker who submitted the Database Check request, or the liaison, shall print a copy of the letter for inclusion in the personnel file. A letter will be sent to the applicant from the agency liaison stating the SCR's response. (See ATTACHMENT A)
WHEN CLEARANCE RESPONSE FROM SCR RECEIVED: <i>Subject of Indicated Report Founded</i>	<u>NO</u> 1. a. Receive letter from SCR that the applicant screened <i>IS NOT THE SUBJECT</i> of an indicated report of child abuse and maltreatment. b. Notify applicant screened of results of report. c. Able to begin provision of services. <u>YES</u> 1. a. The applicant is notified by the SCR if he/she is a subject of an indicated report and is afforded the right to an Administrative hearing to challenge the indication. b. After this process, the SCR will advise the municipality that the applicant is a subject of an indicated report or not. c. Within 30 days, if no response received from SCR, contact SCR at 518-474-1567 and have available a copy of the LDSS-3370

	d. The County Attorney must be notified of any applicant who is subject of an indicated report of child abuse and maltreatment. (Refer to Early Intervention Program Memorandum 2001-1 section III, Questions and Answers #15 for guidance) 2. ALL results received from the SCR are CONFIDENTIAL and cannot be disclosed to other individuals with the exception of the County Attorney. a. The copy of the report retrieved from the OCS shall be place in the personnel file.
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ATTACHMENT A

HERKIMER COUNTY PUBLIC HEALTH
Early Intervention/Preschool/Child Find Programs
 301 North Washington Street
 Herkimer, New York 13350
 Phone 315-867-1176 Fax 315-867-1431

Date:

To:

From:

Director of Public Health

Supervising Community Health Nurse, Children with Special Health Care Needs

4

Herkimer County has received notice from the New York State Central Register's Office that you are not the subject of an indicated case of child abuse or maltreatment as defined in accordance with the provisions and limitations of Section 424-a of the New York Social Services Law.

We look forward to working with you.



EMPLOYEE TUBERCULOSIS TESTING AND EVALUATION POLICY

PURPOSE:	To establish a standardized process for tuberculosis (TB) screening, testing, exposure management, and work clearance for employees in order to prevent transmission and ensure compliance with NYSDOH, CDC, OSHA, and PESH guidance.
DATE ADOPTED:	06/03/2022
REVISED:	07/15/2024, 06/26/2025, 4/6/2026
REVIEWED BY BOARD:	09/04/2025
POLICY:	All personnel shall undergo TB screening prior to patient contact and follow ongoing risk-based screening protocols. The agency maintains compliance with NYSDOH and CDC recommendations and integrates TB control into the Infection Prevention and Control Program.
SCOPE:	Applies to all employees, contractors, students and volunteers across: • Article 28 Diagnostic & Treatment Center (D&TC) • Article 28 Mental Health Clinic • Article 36 Licensed Home Care Service Agency (LHCSA) • Early Intervention and Preschool Programs • Public Health Programs
RESPONSIBILITIES:	• Infection Control Designee: Oversees TB program • Director of Health Services: Ensures pre-employee compliance • Supervisors: Monitor staff compliance • Employees: Report symptoms/exposures immediately
PRE-EMPLOYMENT SCREENING:	• TB screening required prior to patient contact • Acceptable: TST or IGRA within 3 months • If no prior test → two-step TST required • Positive results → chest x-ray and medical evaluation required
ONGOING SCREENING:	• Annual TB testing not routinely required per NYS guidance • Annual risk assessment required (Attachment A) • TB education provided annually
Exposure Management:	• Immediate reporting to supervisor and Infection Control • Risk assessment conducted • Follow NYSDOH contact tracing protocols • Documentation completed
WORK RESTRICTIONS:	Employees with: • Symptoms of TB, or • Known exposure without clearance Shall be excluded from patient care until medically cleared
ARTICLE 28 D&TC REQUIREMENTS:	• TB screening integrated into infection control programs • Staff cleared prior to clinical duties • Documentation maintained and accessible for survey
ARTICLE 28 MENTAL HEALTH	• Staff shall be screened and cleared prior to providing behavioral health services

CLINIC REQUIREMENTS:	• Staff with symptoms of communicable respiratory illness shall be restricted from patient contact. • Infection control practices shall be followed in: ○ Individual therapy sessions ○ Group therapy settings ○ Waiting areas • Patient exhibiting symptoms of active tuberculosis shall be: ○ Promptly identified ○ Manage per infection control procedures ○ Referred for medical evaluation • Additional attention shall be given to prolonged close-contact environments such as group therapy rooms
ARTICLE 36 REQUIREMENTS:	• Staff screened prior to home care visits • Staff with symptoms restricted from patient contact • Infection control precautions followed in home setting
RESPIRATORY PROTECTION:	Policy aligns with OSHA/PESH respiratory protection standards when TB exposure risk is identified, including use of appropriate PPE (e.g., N95 respirators)
DOCUMENTATION:	Maintain confidential employee health records including: • Screening results • Risk assessment • Exposure documentation • Work clearance status
QUALITY ASSURANCE:	TB compliance monitored through QA/QI including: • Periodic audits • Review across Article 28, Mental Health Clinic, and Article 36 programs • Corrective actions when needed
INFECTION CONTROL LINK:	This policy is part of the Infection Prevention and Control Program and supports communicable disease prevention across all service lines.
ATTACHMENTS:	Attachment A: Annual TB Screening Form
REFERENCE MATERIALS	1. DAL DHCBS 20-09, DAL NH 20-14 dated 12/16/2020 2. MMWR/May 17, 2019 Volume 68 #19 3. Clinical Infectious Diseases 2017:64 (15 January) 4. 10 NYCRR §§ 763.13, 766.11 and 794.3 5. Health and Safety Standards for the Early Intervention Program and Frequently Asked Questions February 2023, General Standards for All EI Providers, Standard 4.1

HERKIMER COUNTY PUBLIC HEALTH
EARLY INTERVENTION PROGRAM
PRESCHOOL PROGRAM
301 N. WASHINGTON ST
HERKIMER, NEW YORK 13350
(P) 315-867-1176 (F) 315-867-1431

For consistency in meeting expectations of the requirements for both programs, the standard that is required for the Early Intervention Program will be followed for the Preschool Program.

Annually, Independent Contracted Providers and County Employees providing services in the Early Intervention Program will provide Herkimer County with documentation from a Health Care Provider documenting that there is “no diagnosed disorder which would preclude him/her from providing Early Intervention services” as indicated in the Health and Safety Standards for the Early Intervention Program and Frequently Asked Questions Revised- February 2023,
General Standard 4: 4.1.

Date: _____

_____, has no diagnosed disorder that would
(Provider Name)

preclude him/her from providing Early Intervention and/or Preschool services to children.

(Print or stamp Health Care Provider Name)

(Signature of Health Care Provider)

**HERKIMER COUNTY PUBLIC HEALTH
EARLY INTERVENTION PROGRAM
PRESCHOOL PROGRAM**
301 N Washington Street
Herkimer, New York 13350
Phone 315-867-1176 Fax 315-867-1431

For consistency in meeting expectation of the requirements for both programs, the standard that is required for the Early Intervention Program will be followed for Preschool Program.

As per the Health and Safety Standards for the Early Intervention Program and Frequently Asked Questions Revised – February 2023, General Standard 4:4.1, Providers must provide or retain, as applicable, documentation of the following recommended vaccines:

- **Hepatitis B vaccine**
- **Tetanus immunization within the past ten years**
- **Diphtheria**
- **Varicella**
- **Influenza**

Contracted Agencies must retain this documentation on file, for all applicable employees, and such documentation must be made available, upon request, to the County, New York State Department of Health and/or their Contractors, for any reviews and/or audits.

Independent Providers must provide a copy of their immunization record to Herkimer County Public Health. The listed vaccinations may be obtained by scheduling an appointment with Herkimer County Public Health Department by calling 867-1176. Established fees are applicable and due at the time of vaccination. Refusal of any of the above recommended vaccines must be documented below.

I acknowledge that I have been advised of the recommended vaccines noted above:

I am refusing the following vaccines (check all that apply):

_____ Hepatitis B _____ Tetanus _____ Diphtheria	_____ Pertussis _____ Varicella _____ Influenza
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(Service Provider Signature)

(Date)



301 North Washington Street
Suite 2300
Herkimer, NY 13350

Tel: 315-867-1176
Fax: 315-867-1444

Christina Cain, RN, BSN, MS, MA
Director Public Health

POLICY – TB SKIN TEST ANNUAL SCREEN

This form is to be completed annually for all employees, and filed in his/her employee health file.

Employee Name: _____ Date Completed: _____

EMPLOYEE TO ANSWER QUESTIONS BELOW	
Have you ever had a positive TB test or had tuberculosis? If yes, you will need to present a report to your supervisor from your health care provider about your status, including results of a chest x-ray.	☐ Yes ☐ No
TB Risk Factors	
1. Have you had contact or lived with someone who has been sick with TB in the last 2 years?	☐ Yes ☐ No
2. Were you born in Africa, Asia, Central America, South America, Mexico, Eastern Europe, Caribbean or the Middle East? If so what country?	☐ Yes ☐ No
3. Have you spent more than 30 days in one of the foreign countries above in the last 5 years? If yes, what country/countries?	☐ Yes ☐ No
4. Have you ever worked or lived in a correctional facility, long-term care facility, hospital, homeless shelter, or an alcohol and drug treatment center?	☐ Yes ☐ No
5. Have you ever been an intravenous drug user?	☐ Yes ☐ No
TB Symptoms Screening – At this time do you have any of the following symptoms?	
1. Have you had a cough for more than 2-3 weeks?	☐ Yes ☐ No
2. Are you coughing up blood?	☐ Yes ☐ No
3. Weight loss of more than 10 pounds without trying to lose weight?	☐ Yes ☐ No
4. Fever of 100° F for over 2 weeks?	☐ Yes ☐ No
5. Unusual or heavy sweating at night?	☐ Yes ☐ No
6. Unusual weakness or extreme fatigue?	☐ Yes ☐ No
7. Loss of appetite?	☐ Yes ☐ No
FOR REVIEWER USE ONLY	
Review of information and Required Follow-up	
Are there any “yes” marked in 1 or more boxes under “TB Risk Factors”	☐ Yes ☐ No
Are there any “yes” marked in 2 or more boxes under “TB Symptoms Screening”	☐ Yes ☐ No
If one or none of the “yes” boxes in the section is checked, the employee needs no follow-up.	
If both of the “yes” boxes in this section are checked, the employee is referred to have a TST, and if the test results are positive then individual will be referred to their primary care provider or will work with the agency’s medical director.	
TST date placed: _____ TST date read: _____ mm induration: _____	
Date employee was referred to primary care provider or is working agency’s medical director: _____	
Reviewer’s Signature: _____ Date Reviewed: _____	



HERKIMER COUNTY PUBLIC HEALTH
Preschool Programs and Services
301 N. Washington Street
Herkimer, New York 13350
(315) 867-1176 Fax: (315) 867-1431



Please sign, date and return this page in the enclosed, self-addressed envelope.
If this form is not returned, there will be a delay of transportation arrangements.

I understand that some personally identifying information about me, my child and my child's medical needs will be shared with JC Logistics & Transportation LLC to assist in the appropriate transportation of my child to the special education program. **I hereby give permission for Herkimer County Public Health to share this pertinent health information with the contracted transportation company for the safety and well being of my child.**

Child's Name

Parent/Guardian Signature

Date

PLEASE RETURN THIS FORM (IN THE ENVELOPE PROVIDED) BY:

As soon as possible
 so that transportation
 can be set up.

**Herkimer County Public Health
Preschool Special Education Program
301 North Washington St
Herkimer, NY 13350
Phone: (315) 867-1176 Fax: (315) 867-1431**

PRESCHOOL TRANSPORTATION REQUEST FORM

School Year	2026	Summer	Fall	x
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School District: _____
 Transportation Company: JC Logistics & Transportation LLC Date Notified: _____

Child's Name: _____ Date of Birth: _____
 Parent/Legal Guardian: _____ Home Phone: _____
 Address: _____ Cell Phone: _____
 Work Phone: _____

Pick Up Address: _____ Drop Off Address: _____

Person Present: _____ Relationship: _____
 Person Present: _____ Relationship: _____

Program: _____ Site Address: _____
 Start Date: _____
 End Date: _____ Arrival Time: _____ Departure Time: _____
 Contact Person: _____ Phone Number: _____

Safety Requirements:

Car Seat	()
Booster Seat	()
Seat Belt	()
Wheelchair Bus	()
Safety Harness	()

Medical Concerns:

Emergency Contacts:

Name:	_____	Name:	_____
Address:	_____	Address:	_____
	_____		_____
Phone:	_____	Phone:	_____
Cell:	_____	Cell:	_____

**Herkimer County Public Health
Preschool Special Education Program
301 North Washington St
Herkimer, NY 13350
Phone: (315) 867-1176 Fax: (315) 867-1431**

PRESCHOOL TRANSPORTATION POLICY

SCHOOL YEAR: Fall 2026

Document for your records

Dear Parent or Guardian,

Transportation has been arranged for your child by Herkimer County Public Health through JC Logistics & Transportation LLC in partnership with Herkimer County Public Health Preschool Special Education Program . This policy is intended to be a guideline to ensure the safety of your child.

- You must complete a preschool transportation request form and sign a consent for release of information for your child to be transported.
- You must provide us with your child's special medical needs (if applicable), as well as emergency contacts in the event that we cannot reach you.
- You may need to provide an age appropriate car seat or booster seat for your child's transport. Motor vehicle law states all children under the age of 7 need to be properly restrained for safety purposes.
- You or an appropriate adult will need to have your child ready when the bus arrives. A driver can only wait 2-3 minutes before they must move on to the next stop. At no time are they able to leave the route to return to your home. If the child misses the bus, it will be your responsibility to provide transportation.

Every effort is made to arrange bus routes to ensure children are on the bus for the least amount of time. Education Law typically recommends no longer than one hour per trip. Your promptness will help keep these trips as short as possible.

- Failure to notify Herkimer County Public Health of any changes in transportation may result in a delay of approval and alternative arrangements.

Please be aware that situations may occur when the bus may arrive a few minutes early or late on a given day due to schedule changes, inclement weather or absenteeism of other children on the route.

- It is your responsibility to be home when the bus arrives after school or to make arrangements for another adult to be there. In the event that you are not home, every effort will be made to get in touch with you or your emergency contact. In the event that you or your contact cannot be reached, the driver will take your child to the nearest law enforcement agency, who will then contact DSS Child Protective Services for assistance. It is important to keep JC Logistics &

Transportation LLC updated regarding any changes in your telephone number or address to ensure your child continues to receive busing services.

- Sometimes emergency situations arise and you may need to make different arrangements for that school day. Please contact JC Logistics directly at **315-360-2336**. Whenever possible, it is required that a written note be given to the bus driver before the change is made.
- You must contact JC Logistics if your child will not be attending school. If your child is going to be absent for **3** or more consecutive days, you will also need to notify Herkimer County Public Health at **315-867-1176**.
- If your child becomes sick or cannot remain in school during the day, it is your responsibility to pick him/her up from school.
- If your child arrives at school with live head lice/nits or any other contagious ailment, you or your emergency contact must come and take the child home. After treatment, it is your responsibility to transport your child back to school to be examined by the school nurse. If the problem has been resolved, your child may remain at school for the rest of the day and transportation will resume.
- Your child's safety, as well as the safety of the other children, it is important to us. Some situations require a safety officer to inspect streets for the ability to maneuver a bus safely (ie., dead end streets). In this situation, a bus must be able to back out of your driveway and safely turn the bus to exit street. The street and driveway must be clear of snow. In the event a bus cannot enter or exit a street safely, the child must be taken to the nearest corner for pick-up and drop off.
- All children will be transported in proper safety restraints as required by law. If a child requires a wheelchair, the child will be transported with proper hook-ups in their chair. For maximum safety, at no time will the child be transported out of their chair.
- In some cases a car seat or booster seat may be required for transport, however; if this is necessary, your transport company will advise you.
- Anything your child needs for school must be individually labeled and packed in a labeled backpack. Communicate directly with your preschool program regarding any special items your child may need.
- Food and drinks (including bottles and sippy cups) are not allowed on the vehicle. The driver will at no time be allowed to accept prescription or over the counter medications.
- If your home school district closes due to a snow day or other emergency there will be no transportation. If your child attends a special education program in another school district that is open, you may choose to transport your child at your expense to and from that program.

These rules and precautions are for the safety of your child and are not meant to inconvenience you. If you have any questions, please do not hesitate to call our office at Herkimer Public Health **315-867-1176**.

**Herkimer County Public Health
Preschool Special Education Program
301 North Washington St
Herkimer, NY 13350
Phone: (315) 867-1176 Fax: (315) 867-1431**

MILEAGE REIMBURSEMENT AGREEMENT

Child's Name: _____ Date of Birth: _____

Service Provider: _____

Location of Service: _____

Mileage from Home (one way): _____

Effective Dates: _____ to _____

I, _____ (parent) choose to transport my child to the services listed on the Individualized Education Plan. I am a licensed driver and my driver's license has not been suspended or revoked. In return for reimbursement of expenses in connection with said transportation, I hereby release Herkimer County from any and all responsibility or liability in connection with this transportation. I understand that I will be reimbursed for one trip to the location of services and one return trip home for every day that services are received. I understand that a Herkimer County voucher must be submitted for reimbursement and that vouchers will be paid in accordance with the procedures of the Auditors and Treasurers Departments of Herkimer County.

Parent/Guardian #1: _____ Date: _____
Name- Please Print Signature

Parent/Guardian #2: _____ Date: _____
Name- Please Print Signature

Transported from Address: _____

Parent/Guardian Phone Number: _____

Driver License Number and State: _____
1 Driver # 2 Driver

Preschool Representative Signature: _____ Date: _____

Mileage reimbursement is currently set at .21 per mile for a maximum of one (1) round trip per day of service. Parents will be notified if the rate changes in a new year.

If BOTH parents will be transporting this child, both must sign this form.



Herkimer County Public Health

Children with Special Needs

Annual Billing Guidelines

(CPSE Related Services)

Effective July 2026

The following billing guidelines apply to related services provided to children ages 3-5 eligible under section 4410 of the New York State Education Law.

Program Dates and Times: The program dates for the 2026-2027 school year related services are 09/01/2026 through 06/26/2027. Services provided before or after these dates will not be reimbursed. Services must be done on weekdays (Monday – Friday) with no time restrictions. Services cannot be done on legal holidays and other school closings of the particular school district in which the child resides. ***Reminder: State Education Department calculates four (4) weeks per month for units delivered.***

Rates: Herkimer County's established NY SED rates for related services:

Individual:

SERVICE	MAXIMUM RATE PER HALF HOUR
AIDE 1:1 RELATED SERVICES	\$10.00
ASSISTIVE TECHNOLOGY SERVICES	\$50.00
AUDIOLOGY	\$50.00
COORDINATION	\$55.00
COUNSELING SERVICES	\$50.00
SCHOOL HEALTH SERVICES/NURSE	\$45.00
INTERPRETER	\$25.00
MUSIC THERAPY	\$50.00
ORIENTATION AND MOBILITY	\$50.00
OCCUPATIONAL THERAPY	\$55.00
OCCUPATIONAL THERAPY ASSISTANT	\$55.00
PLAY THERAPY	\$50.00
PARENT COUNSELING AND TRAINING	\$50.00

PSYCHOLOGICAL SERVICES	\$55.00
PHYSICAL THERAPY	\$55.00
PHYSICAL THERAPY ASSISTANT	\$55.00
SCHOOL SOCIAL WORK	\$55.00
SPEECH THERAPY	\$65.00
TEACHER OF HEARING IMPAIRED	\$50.00
TEACHER OF VISUALLY IMPAIRED	\$50.00

Group (per half hour):

**No more than two children are allowed per group. A related services child cannot be grouped with a center-based child.*

# OF CHILDREN/SERVICE TYPE	Total Amount for Session	Amount Per Child
Group of 1/ <i>Speech Therapy</i>	\$ 65.00	\$ 65.00
Group of 2/ <i>Speech Therapy</i>	\$ 97.50	\$ 48.75
Group of 1/ <i>COORDINATION, OCCUPATIONAL THERAPY, OCCUPATIONAL THERAPY ASSISTANT, PSYCHOLOGICAL SERVICES, PHYSICAL THERAPY, PHYSICAL THERAPY ASSISTANT</i>	\$55.00	\$55.00
Group of 2/ <i>COORDINATION, OCCUPATIONAL THERAPY, OCCUPATIONAL THERAPY ASSISTANT, PSYCHOLOGICAL SERVICES, PHYSICAL THERAPY, PHYSICAL THERAPY ASSISTANT</i>	\$82.50	\$41.25
Group of 1/ <i>ASSISTIVE TECHNOLOGY SERVICES, AUDIOLOGY, COUNSELING SERVICES, MUSIC THERAPY, ORIENTATION AND MOBILITY, PLAY THERAPY, PARENT COUNSELING AND TRAINING, TEACHER OF HEARING IMPAIRED, TEACHER OF VISUALLY IMPAIRED</i>	\$50.00	\$50.00
Group of 2/ <i>ASSISTIVE TECHNOLOGY SERVICES, AUDIOLOGY, COUNSELING SERVICES, MUSIC THERAPY, ORIENTATION AND MOBILITY, PLAY THERAPY, PARENT COUNSELING AND TRAINING, TEACHER OF HEARING IMPAIRED, TEACHER OF VISUALLY IMPAIRED</i>	\$75.00	\$37.50
Group of 1/ <i>SCHOOL HEALTH SERVICES/NURSE</i>	\$45.00	\$45.00

Group of 2/ <i>SCHOOL HEALTH SERVICES/NURSE</i>	\$67.50	\$33.75
Group of 1/ <i>INTERPRETER</i>	\$25.00	\$25.00
Group of 2/ <i>INTERPRETER</i>	\$37.50	\$18.75
Group of 1/ <i>AIDE 1:1 RELATED SERVICES</i>	\$10.00	\$10.00
Group of 2/ <i>AIDE 1:1 RELATED SERVICES</i>	\$15.00	\$7.50

Service Frequency: Herkimer County will only pay for the number and length of sessions per week specified on the child's IEP, unless the additional visits are being made up in accordance with the make-up policy. Only one visit per day per discipline, unless otherwise stated on the IEP. Services must be provided at the frequency and duration on the IEP.

Make-up Policy: Sessions missed, for any unexpected reason, must be completed within 20 calendar days of the missed session and within the same school year/IEP period. After that time frame, the session will not be considered a make-up. Make-up sessions cannot be done prior to the missed session. As is the case with related service sessions, make-ups cannot be done on weekends, and legal holidays. A session is not considered a make-up if it is done within the same week as the scheduled session.

*Group make up sessions may be done as an individual therapy session if a group make up session is not available.

Reporting Absences: Habitual absences should be reported to the school district (CPSE) and the Special Education Itinerant Teacher (SEIT) if the child receives SEIT; if the child receives two or more related services and has an assigned related service coordinator, they should be notified as well.

Session Notes (Medicaid Requirement): Service providers must maintain contemporaneous

records. Session notes specifically document that the servicing provider delivered certain diagnostic and/or treatment services to a student on a particular date. Session notes must be completed by all qualified providers furnishing the services authorized in a student's IEP for all students and must include:

- Student's name
- Specific type of service provided
- Whether the service was provided individually or in a group and the size of the group
- The setting in which the service was rendered (school, clinic, other)
- Date and time the service was rendered (length of session)
- CPT code, when applicable
- ICD -10 code
- Brief description of the student's progress made by receiving the service during the session

o Within the Session Notes text box only include the child's progress on IEP goals and/or response to therapy/intervention. Do NOT add group size or any other information that is already captured in other fields.

- Name, title, signature and credentials of the servicing provider and signature/credentials of supervising clinician as appropriate (if therapist requires supervision).

ALL INFORMATION LISTED ABOVE IS DATA COLLECTED IN CPSE Portal.

Medicaid providers must prepare and maintain contemporaneous records that demonstrate the provider's right to receive payment under the Medicaid program. "Contemporaneous" records means documentation of the services that have been provided as close to the conclusion of the session as practicable.

Related service providers who are appointed coordinator of services must enter the information in CPSE Portal on the child specific line for this service (COR). The 'Does Not

Meet Medicaid requirements' box must be checked for all coordination of services provided.

Billing:

1. Billing for the Children with Special Needs Program is submitted on a monthly basis.

Submit each month in a single billing packet on or after the 1st of the following month.

Related Services billing must NOT have dates outside the billing packet dates included within the electronic submission.

2. The completed billing packet consists of:

- a. Herkimer County voucher: original, live signature is required on the certification
- b. One signed CPSE Portal Voucher Summary: a signed copy is acceptable
- c. One RS Parent/Caregiver Signature Log or Preschool Confirmation of Delivery of Services form for each child listed on the Voucher Summary. Signed copies of these are acceptable.
- d. For all services (speech therapy, occupational therapy, physical therapy, etc.) requiring prescriptions, a copy of the script for each child must be included with the child's FIRST monthly billing packet of each new IEP/school year.

*'Make-Up' and 'Does Not Meet Medicaid Requirements' fields MUST also be captured in CPSE Portal when necessary.

*Many CPT codes are only 1 per session or 1 per evaluation. Care must be used to ensure the accuracy of the number of units entered.

Instructions for Completing
Herkimer County
Monthly Voucher Forms
(CPSE Related Services)

1. DATE: This is the date that the voucher was completed.
2. TO AND ADDRESS: Please use your complete name and mailing address, including zip code.
3. DATE OF SERVICE: Please insert the Month and Year of services being billed for
4. DESCRIPTION: Type of service provided and whether individual or group
5. PRICE PER UNIT: Ex. Individual Speech would fill in \$65.00
6. TOTAL: This is the total amount for all types of Related Services being billed for.
7. CERTIFICATION: Fill in all blank lines with appropriate information
8. SIGNATURE: This must be an original signature on the 'Signature of claimant' line.

COUNTY OF HERKIMER

APPENDIX O

Dated _____, 2 _____

To _____ Claimant

Address _____

Read Carefully Instructions to Claimants on Back of This Bill

	BILL FOR MERCHANDISE, ETC.	PRICE PER UNIT		AMOUNT CLAIMED		AMOUNT ALLOWED	
DATE OF DELIVERY	Description of Goods						
DATE OF SERVICE	Nature of Services and Name of Person Performing Same						
Total:				0			

I HEREBY CERTIFY that the above named articles, in the quantities and of the qualities specified were delivered to me upon the dates indicated; and that the services have been rendered by the persons named for the purpose and at the times indicated; and that such articles and services were for the sole use and benefit of the County of Herkimer.

TAX EXEMPT

Form No. 2

To be signed by the County Officer in Charge

**COUNTY OF HERKIMER
PAYMENT CERTIFICATION**

_____ certifies that he/she is the

_____ of the _____
(President / other officer / member) (Name of Corporation or "firm of . . . ")

the claimant mentioned in the within claim, and is duly authorized to execute the

certification for the period of _____ and amount _____

That he/she knows of his/her own personal knowledge that the items of such bill are correct, that the disbursements and services charged therein have been, in fact, made or rendered and that no part of the amount claimed has been paid or satisfied; that the labor charged for has been actually performed at the time and by the persons therein set forth; that the articles charged there have been actually furnished and delivered to the person receipting therefore for the use and benefit of the County of Herkimer at the times set forth; that the prices charged are the prices agreed upon or are the usual local current prices of labor, materials or articles of like character or quality; that the said bill is just and true in all respects and that no person is either directly or indirectly interested in the proceeds or profit of the within bill except claimant hereinbefore named.

Signature of Claimant

Tax Exempt