

To: Service Providing Agencies, Service Coordinators and all Early Intervention Service Providers

Date: 03-27-2024

Subject: Record Review Report / Prior Written Notice

This bulletin is meant to:

Provide guidance and assistance to enhance knowledge, confidence, and performance of IDEA, Part C, AzEIP policies and procedures, and State initiatives including:

- Technical assistance on the process for reviewing medical records/documentation to identify if a child meets AzEIP eligibility criteria based on an AzEIP established condition or a significant developmental delay
- Requirement that a family must receive Prior Written Notice (PWN) before a child can be identified as eligible for AzEIP
- Introduce the new Record Review Report / Prior Written Notice form
 - Documentation identified on the form should be documented by the provider completing the record review. The form is highly recommended to be utilized to ensure all information is documented.

Completion of the Record Review

Record Review may be completed:

- During the Initial Planning Process (IPP)
- When updating eligibility following Informed Clinical Opinion (ICO)

If records are not available, the Service Coordinator (SC) obtains a copy of the child's medical records/documentation by:

- Family providing documentation to the SC
- SC requesting the family's consent on the Authorization to Disclose Protected Health Information ([GCI-1020A](#), [GCI-1020AS](#)) in order to obtain records

SC assesses documentation to confirm that medical records/documentation includes:

- Child's name
- Date of document
- Identity of the diagnosing professional and/or facility. *(Note: for a DDD application, the professionals signature must also be included)*
- Diagnosis of medical condition or developmental delay

One of the following core team members may determine eligibility based upon medical or other records prepared or authorized by a qualified physician, audiologist or other professional:

- Developmental Special Instructionist (DSI)
- Occupational Therapist (OT)
- Physical Therapist (PT)
- Speech Language Pathologist (SLP)
- Social worker (SW)
- Psychologist (Psych)
- Teacher of the Visually Impaired (TVI)
- Teacher of the Deaf/Hard of Hearing (TOD).

The TVI or TOD determines ASDB eligibility and may determine AzEIP eligibility of a significant visual impairment or hearing difference.

Core Team member reviews the medical records/documentation to determine if the child meets AzEIP eligibility criteria through the identification of a:

- Diagnosis of an AzEIP established condition (*Please refer to the [AzEIP Eligibility Criteria for Established Conditions Technical Assistance Bulletin - 11/29/2023](#)*),
OR
- A significant developmental delay (50%)
 - Record documenting the delay must be not more than 6 months old
 - Record documenting the delay must have been established using an AzEIP approved evaluation instrument

Completion of the Record Review Report / Prior Written Notice Form

After record review is complete, the core team member:

- Completes page 1 of the [GCI-1157A: Record Review Report / Prior Written Notice](#) form
- Sends Record Review Report / Prior Written Notice form to the SC with page 1 completed
- Documents service delivery on their Provider Contact Log including start time, end time and duration
 - Record reviews are billed for the actual time taken to review the records and complete the Record Review Report (up to one hour for one provider)
 - The date on line 15 of the Record Review Report form should match the providers Contact Log and the date billed in I-TEAMS

When ASDB reviews records, the ASDB provider:

- Determines eligibility for ASDB and if child meets AzEIP eligibility criteria
- Completes page 1 of the [GCI-1157A: Record Review Report / Prior Written Notice](#) form for every record review completed by ASDB. (Including when the child is determined not eligible for ASDB)
- Sends Record Review Report / Prior Written Notice form with page 1 completed to the SC

Upon receiving the Record Review Report / Prior Written Notice form for a child that meets AzEIP eligibility criteria, the SC:

- Discusses with the family
 - The child meets AzEIP eligibility criteria and the team proposes to identify the child as eligible for AzEIP
 - Child and Family Rights in Arizona Early Intervention Program
- Completes the Prior Written Notice section of the Record Review Report / Prior Written Notice form
- Provides a copy of the Record Review Report / Prior Written Notice form and the Child and Family Rights in the Arizona Early Intervention Program booklet to the family.

If a child does not meet AzEIP eligibility criteria after a review of the child's records, the team conducts a multidisciplinary developmental evaluation to determine if the child meets AzEIP eligibility criteria.

Resources and Tools:

[AzEIP Policy Manual](#)

[AzEIP Procedure Manual](#)

[AzEIP Eligibility Criteria for Established Conditions TA Bulletin](#)

New Forms:

[Record Review Report / Prior Written Notice GCI-1157A](#)

Acronym Key:

- ADES - Arizona Department of Economic Security
- ASDB - Arizona State Schools for the Deaf and the Blind

Arizona Early Intervention Program Technical Assistance Bulletin

- AzEIP - Arizona Early Intervention Program
- DDD - Division of Developmental Disabilities
- DSI - Developmental Special Instructionist
- ICO - Informed Clinical Opinion
- IDEA - Individuals with Disabilities Education Act
- IPP - Initial Planning Process
- I-TEAMS - Infant-Toddler Electronic- Administration & Monitoring System
- NAS - Neonatal Abstinence Syndrome
- NOWS - Neonatal Opioid Withdrawal Syndrome
- OT - Occupational Therapist
- Psych - Psychologist
- PT - Physical Therapist
- PWN - Prior Written Notice
- SC - Service Coordinator
- SLP - Speech and Language Pathologist
- SW - Social Worker
- TOD - Teacher of the Deaf/Hard of Hearing
- TVI - Teacher of the Visually Impaired