



Indiana First Steps Early Intervention Personnel Guide

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Helpful Resources for Information and Forms:

Provider forms are located on the First Steps web page under Service Matrix/Provider Enrollment

Provider Agreements: <http://www.eikids.com/in/matrix/docs/enrollment.asp>

Provider Enrollment Update Form: <http://www.eikids.com/in/matrix/docs/pdfs/IN-CROProviderInfo-20090211.pdf>

First Steps Email Contact Address: Firststepsweb@fssa.in.gov

Indiana First Steps: <http://www.in.gov/fssa/ddrs/2633.htm>

Online Matrix: www.infirststeps.com

Early childhood Training Calendar: <http://www.earlychildhoodmeetingplace.org>

UTS Training Calendar: <http://www.utsprokids.org/>

Overview

Each state participating in Part C of the Individuals with Disabilities Education Act (IDEA) must establish qualifications to assure that persons providing early intervention services are adequately prepared and trained as defined in 34 CFR 303.361. Indiana's personnel standards are based on the belief that the needs of the state will best be met by a balance between high standards and the flexibility of individual providers to engage in personally meaningful professional development activities. The standards, therefore, are intended to be flexible and inclusive, rather than exclusive, with high standards being supported by ongoing professional training. Please refer to Attachment E of this guide for detailed agency requirements to support these standards.

The term "early intervention" refers to required services provided to eligible infants and toddlers with special needs and their families through the First Steps Early Intervention System. These requirements apply to all agencies and individuals enrolled and/or reimbursed as providers of any early intervention service through the First Steps Early Intervention System. Persons providing the following services, as delineated in the child's Individualized Family Service Plan (IFSP), must meet the early intervention personnel standards.

Please note: the qualifications listed in this document are for individual rendering providers. Agency requirements may be found in Attachment E.

Early Intervention Services

Individualized early intervention services are services determined through the evaluation and assessment process designed to meet the developmental needs of the eligible child and the family in order to enhance the child's development and the family's capacity to care and advocate for their child. Individualized services, as defined in 34 CFR 303.12(d), include the following:

1. Assistive Technology/Services
2. Audiology Services
3. Developmental Therapy (Special Instruction)
4. Health Services
5. Individual and Family Training, Counseling and Home Visits
6. Medical Services (Diagnostic/Evaluative Purposes Only)
7. Nursing Services
8. Nutrition Services
9. Occupational Therapy
10. Physical Therapy
11. Psychological Services
12. Service Coordination
13. Social Work Services
14. Speech/Language Pathology
15. Transportation
16. Vision Services
17. Other Early Intervention Services

Early Intervention Roles

It is imperative that individuals with a variety of educational and experiential backgrounds be utilized to provide early intervention services. Early Intervention Direct Service Providers and Service Coordinators can best be described utilizing three distinct roles:

Early Intervention Support

Persons who provide support services such as transportation and interpreter services, but are not directly involved in the implementation of early intervention services.

Early Intervention Associate

Persons possessing a high school diploma or GED with formal specialized training beyond the secondary level may enroll as an early intervention associate. Individuals must meet the requirements of their discipline to provide services as an associate. Associates assist in the provision of direct services to children and families under the direct supervision of an early intervention specialist from the area/discipline in which they are licensed. Associates must work within the scope of their license and its supervision requirements. Early Intervention Associates include Occupational Therapy Assistants and Physical Therapy Assistants.

Developmental Therapy Associates (DTAs) enrolled prior to August of 2009 were grandfathered into the system and may continue to practice as a DTA under the supervision of a credentialed Developmental Therapy Specialist. Effective October 1, 2010, all newly enrolled Developmental Therapy Specialists without one year of early intervention experience will be enrolled as a Developmental Therapy Associate. Upon successful completion of their supervised practice year, the Developmental Therapist may request specialist level designation.

Licensed Practical Nurses (LPNs) are no longer able to enroll at the Associate level under Nursing. LPNs enrolled into the System prior to August 2009 were grandfathered as Developmental Therapy Associates and may continue to practice as an Early Intervention Associate for Developmental Therapy under the ongoing supervision of a credentialed Developmental Therapy Specialist.

Early Intervention Specialist

Persons who meet entry level requirements for specialization in their discipline, as defined in the Entry Level Qualifications may enroll as early intervention specialist. Specialists design and implement early intervention services and may supervise early intervention associates within the area/discipline of their credential. Specialists practicing in the First Steps Early Intervention System include Audiologists, Developmental Therapy Specialists, Licensed Marriage and Family Therapists, Nurses (Registered Nurses), Nutritionists (Registered Dietitians), Occupational Therapists, Certified Orientation/Mobility Specialists, Physicians, Physical Therapists, Psychologists, School Psychologists, Service Coordinators, Licensed Social Workers, and Speech/Language Pathologists. **Please note that Developmental Therapy Specialists are enrolled as a Developmental Therapy Associate. Upon successful completion of their supervised practice year, the Developmental Therapist may request specialist level designation.**

THERE WILL BE NO WAIVERS OF THE PERSONNEL STANDARDS SET IN THIS DOCUMENT EXCEPT AS REQUIRED UNDER CFR 303.361(g). Providers who feel that their professional training should be considered as appropriate to provide early intervention services should contact First Steps via the website: Firststepsweb@fssa.in.gov.

All new enrollees and enrolled providers changing payee status must meet entry level qualifications. DTAs and LPNs changing agencies will lose their grandfathered status and will be required to meet the specialist level qualifications to continue as an enrolled early intervention provider.

Entry Level Qualifications for Early Intervention Personnel

***Please note – any provider specialty listed below with a (*) must enroll in First Steps through a participating First Steps multidisciplinary agency. Please refer to Attachment E for agency enrollment requirements.**

Audiologist: Master's and/or Doctorate degree and licensed through the Indiana Speech-Language Pathology and Audiology board as set forth in IC 25-35.6 and further defined in 880 IC 1-1; or those in the Clinical Fellowship Year (CFY) working toward licensure under the supervision of a licensed Audiologist. Those in their CFY must submit the name, address and copy of the license of their supervisor at time of enrollment.

***Developmental Therapy (Specialized Instruction):** Specialized Instruction is a required service of IDEA, Part C. Indiana designates its providers of specialized instruction as Developmental Therapists. Since there is no one pre-service academic degree for this category, the state has defined multiple categories of Developmental Therapy, each with its own entry level qualifications. **In addition to the academic requirement, all Developmental Therapists are enrolled at the associate level. Upon successful completion of a supervised year of practice, the Developmental Therapist may request specialist level enrollment.** (Refer to Supervision section, page 10)

***Developmental Therapy - Early Childhood Specialist (DT-EC):** Bachelor's, Master's and/or Doctorate degree in early childhood or special education (with an early childhood focus) is required. Those with related degrees in child development including certified Child Life Specialists, early intervention or nursing (MSN with a pediatric major) and who have completed thirty (30) hours of academic child development coursework may also be considered. All developmental therapy enrollees are enrolled at the associate level and must work for 12 months (with a child caseload) under the direct supervision of an enrolled, credentialed developmental therapy specialist and submit name, address and credential letter of their supervisor at time of enrollment. After completion of one year of supervised practice, the Developmental Therapist may request specialist status. **Please note that effective October 1, 2010 the following changes were made: 1) First Steps no longer accepts a bachelor's, master's or doctorate degree in elementary or secondary education as an acceptable entry level qualification for Developmental Therapy; 2) Nurses enrolling as Developmental Therapist are required to have a master's degree with a pediatric major.**

***Developmental Therapy – Focus Area Communication (DT-C):** Bachelor's degree in Communication Disorders, (including a Bachelor's degree in Speech and Language) is required. The DT-C will only work with children and their families who are experiencing an otherwise non-specific general delay in communication development. Effective October 1, 2010, all new Developmental Therapists are enrolled at the associate level. The DT-C must work for 12 months (with a child caseload) under the direct supervision of an enrolled, credentialed developmental therapy specialist or Speech Language Pathologist. The DT-C must complete Attachment B and submit name, address and credential letter of their supervisor at time of enrollment. After completion of one year of supervised practice, the DT-C may request specialist status.

***Developmental Therapy – Focus Area Hearing Impaired (DT-HI):** Bachelor's, Master's and/or Doctorate degree in special education/hearing impaired or deaf education. SKI-HI training is recommended, but not mandatory. This provider should have expertise to work with children and their families to address a variety of communication needs for children who are deaf or hearing impaired. This should include amplification and other technology needs, knowledge of communication opportunities and language development, including oral auditory, American Sign Language (ASL) and Signed Exact English. The DT-HI who does not also meet the entry level qualifications of a Developmental Therapy Early Childhood Specialist, may only provide services and address hearing and communication needs for children who are deaf or hearing impaired. Effective October 1, 2010, all new Developmental Therapists are enrolled at the associate level. The DT-HI must work for 12 months (with a child caseload) under the direct supervision of an enrolled, credentialed developmental therapy specialist, Audiologist or Speech Language Pathologist. The DT-HI must

complete Attachment B and submit name, address and credential letter of their supervisor at time of enrollment. After completion of one year of supervised practice, the DT-HI may request specialist status.

***Developmental Therapy – Focus Area Vision Impaired (DT-VI):** Bachelor's, Master's or Doctorate degree in Orientation & Mobility, early childhood or elementary special education, early childhood education, nursing (MSN with pediatric major) with additional licensing, certification and experience in vision impairments is required. This category excludes, Optometrists and Ophthalmologists, who enroll as Vision Specialists. The DT- VI, who does not also meet the entry level qualifications of a Developmental Therapy Early Childhood Specialist, may only provide services and address vision needs for children who are blind or visually impaired. Effective October 1, 2010, all new Developmental Therapists are enrolled at the associate level. The DT-VI must work for 12 months (with a child caseload) under the direct supervision of an enrolled, credentialed developmental therapy specialist. The DT-VI must complete Attachment B and submit name, address and credential letter of their supervisor at time of enrollment. After completion of one year of supervised practice, the DT-VI may request specialist status.

Interpreter Specialist: Certified as an interpreter for a specific language, including American Sign Language, by the American Translators Association (ATA), Registry of Interpreters for the Deaf (RID) or other similarly recognized organization. Credentialing is not required for this specialty.

Interpreter: Non-certified individual who is fluent in a foreign language, including ASL and is able to translate on behalf of a provider, service coordinator and/or family. Credentialing is not required.

Nurse (Registered): Diploma, Associate's, Bachelor's, Master's and/or Doctorate degree in Nursing and licensed as a Registered Nurse (RN) by the Indiana Professional Licensing Agency, State Board of Nursing. Nurse may also include Pediatric Clinical Nurse Specialist and/or Pediatric Nurse Practitioner.

Nutritionist: Bachelor's, Master's and/or Doctorate degree and certified as a Registered Dietitian by the Indiana Professional Licensing Agency, Dietitians Board.

***Occupational Therapist:** Bachelor's, Master's and/or Doctorate degree in Occupational Therapy and licensed in Indiana as an Occupational Therapist by the Occupational Therapy Committee of the Indiana Professional Licensing Agency; or those with a temporary license working under the supervision of a licensed Occupational Therapist who must submit the name, address and copy of license of supervisor at time of enrollment.

***Occupational Therapy Assistant:** Associate's or Bachelor's degree in Occupational Therapy and certified as an Occupational Therapy Assistant (COTA) by the Indiana Occupational Therapy Committee of the Indiana Professional Licensing Agency. Must work under the supervision of an enrolled, Licensed Occupational Therapist as referenced in IC 25-23.5-2-5 and 844 IAC 10-5.5, and submit the name, address, and a copy of the license of their supervisor at the time of enrollment and annually.

Orientation/Mobility Specialists: Master's and/or Doctorate in Orientation & Mobility and certification as an Orientation/Mobility Specialist from the Association for Education and Rehabilitation of the Blind and Visually Impaired (AER) or the Academy for Certification of Vision Rehabilitation and Education Professionals (ACVREP). The Orientation/Mobility Specialist enrolls as a Developmental Therapy - Vision Impairment Specialist.

***Physical Therapist:** Bachelor's, Master's and/or Doctorate degree in Physical Therapy and licensed by the Physical Therapy Committee of the Indiana Professional Licensing Agency as a physical therapist; or those possessing a temporary license working under the supervision of a licensed Physical Therapist who must submit the name, address and copy of license of supervisor at time of enrollment.

***Physical Therapy Assistant:** Associate's or bachelor's degree in Physical Therapy and certified by the

Physical Therapy Committee of the Indiana Professional Licensing Agency as a Physical Therapy Assistant. Must work under the direct supervision of an enrolled licensed Physical Therapist as referenced in IC 25-27-1 and 844 IAC 6 and submit the name, address, and a copy of the license of their supervisor at the time of enrollment and annually.

Physician: Doctorate in Medicine or Osteopathic Medicine and licensed by the Indiana Medical Licensing Board as a Medical Doctor or Osteopathic Physician. Certificate of completion of the physician's orientation to the First Steps Early Intervention System through the Unified Training System (UTS) must be submitted at the time of enrollment. Credentialing is not required.

Psychologist: Doctorate degree in psychology and licensed by the State Psychology Board of the Indiana Professional Licensing Agency as a Health Services Provider in Psychology (HSPP) or as a Psychologist, without the HSPP endorsement, who is currently practicing under the supervision of a n HSPP for the purpose of qualifying for the endorsement, or a psychologist who holds a limited license issued under IC 25-33-1-18 and practices within the scope of the psychologist's limited license.

School Psychologist: Master's and/or doctorate degree in educational/school psychology and holds an Independent Practice Endorsement, (IC 20-1-1.9-1 through IC 20-1-1.9-6) and practicing within the scope of the school psychologist's license and endorsement.

Service Coordinator: Recommended entry level is a bachelor's degree in a related field of study. Service/Intake Coordinators are employed directly by the SPOE and the SPOE's fiscal agent is responsible for screening and hiring its staff. Service/Intake Coordinators must work under the direct supervision of an experienced Service Coordinator and the SPOE Director. Once hired, all Service Coordinators must complete the required Service Coordination training (SC101, SC102 and SC103) and must credential at the specialist level within two years of hire. All Service Coordinators must be enrolled through a First Steps System Point of Entry office.

Social Worker: Master's and/or doctorate degree in Social Work and licensed as a clinical social worker (LCSW) under IC 25-23.6, or an MSW level social worker working toward licensure who must submit the name, address and copy of license of supervisor at time of enrollment.

***Speech Language Pathologist:** Masters and/or doctorate degree in Speech Language Pathology and licensed as a Speech Language Pathologist by the Indiana Speech Language Pathology and Audiology Board; or those who have registered with the State of Indiana for the Clinical Fellowship Year (CFY) working toward licensure under the supervision of a licensed Speech Language Pathologist who must submit the name, address and copy of license of supervisor at time of enrollment.

Transportation Provider/Common Carrier (Non-Ambulatory): All providers of transportation for eligible children must have documentation of a valid Indiana driver's license from the Bureau of Motor Vehicles and proof of required vehicle insurance. Common Carriers must have appropriate license from the Indiana Bureau of Motor Vehicles and maintain liability insurance as specified in their license and the CRO Provider Agreement. Transportation providers are not required to complete orientation to First Steps or to credential.

Vision Specialist: Vision services shall only be performed by personnel who meet state approved licensing certification. The Vision Specialist is restricted to Doctors of Optometry and Ophthalmology. **Orientation & Mobility Specialists, special education teachers and nurses with low vision training and/or experience with infants and toddlers who are vision impaired, must enroll as Developmental Therapists under Developmental Therapy – Focus Area - Vision Impaired category.**

Professional Conduct Guidelines

Each provider must adhere to professional conduct guidelines set forth by the Indiana Family and Social Services Administration/Division of Disability and Rehabilitative Services/Bureau of Child Development Services.

In order to maintain the highest standards and quality of care, the Division of Disability and Rehabilitative Services/Bureau of Child Development Services has outlined minimum standards of practice. Providers are expected to maintain the utmost professional behavior while representing the First Steps System. Providers not adhering to these guidelines may be dis-enrolled.

- Providers are expected to meet and maintain all licensing, credentialing and ethical codes as established by individual licensing agencies, as well as through First Steps.
- Services will only be provided when skilled intervention is necessary.
- Services may only be provided with the parent or other primary caregiver present and actively involved.
- Services provided must be designed to assist the child or family in addressing outcomes as outlined in the IFSP.
- Services are provided as established in the IFSP and as scheduled with the parent/caregiver.
- Providers are required to notify parents/caregivers in advance if they will miss or be late for a session. If advance notice is not possible due to unforeseen circumstances, immediate notification is required. Lack of notification of missed or late sessions, similar to a no-call, no-show, may be grounds for termination of the provider agreement.
- Providers (including Service Coordinators) may not bring children/minors or other individuals not directly involved in the provision of care of the child, early intervention services or the residence of the child or family. Doing so would be considered a breach in confidentiality and would interfere with the provider's ability to perform his/her job. Parents may not be asked to waive this policy. With prior consent of the family, new service providers, new service coordinators, therapy students gaining required practical experience and who are supervised by the specialist level therapist or SC supervisors, and state staff and/or contractors reviewing service provision are excluded from this provision.
- No provider in the system may solicit business from parents or caregivers.
- Providers may not solicit business for their agency, other providers, spouse or immediate family.
- Providers may not sell or market products while representing First Steps.
- Providers may not lobby or attempt to influence families within the system while representing First Steps.
- Conduct and attitudes must portray the values of the First Steps System and that of family-centered care. Services shall be family-centered, inclusive, and culturally competent.
- Providers must maintain professional relationships and boundaries with families served within the First Steps System. Providers may not provide services to members of their immediate family or individuals in which a professional relationship would be compromised.
- Providers and Service Coordinators must maintain professional conduct with other providers and service coordinators, SPOE staff, lead agency staff (including State Program Consultants and contractors), lead education agency staff, administrators, and First Steps Stakeholders.

Early Intervention Personnel Requirements

Entry Level Qualifications: Individuals must meet minimum entry level qualifications for the role of specialist, associate, or support staff in their discipline and service category as evidenced by documentation of the required academic training and/or state approved or recognized certification, licensing, registration, or other requirements for their discipline. Any academic coursework being considered as part of the entry level qualifications MUST be from an accredited university or college. Documentation of minimum entry level qualifications must be submitted as part of the provider enrollment, in addition to proof of liability insurance and a criminal history background inquiry conducted within the past 12 months.

Enrollment: All potential providers must complete the Direct Service Provider Orientation (DSP 101) before enrolling as a provider in First Steps. DSP101 is a distance learning, self-paced training. Potential providers are allotted 45 days from the date of registration to complete the training, pass the competency assessment and submit all documentation. Each participant is allowed two attempts to pass DSP 101. Those failing to pass with an 80% or higher score on the second attempt must wait 6 months before re-registering for this course. Those failing to pass after completing the course for a second time are referred to the state First Steps office to determine if further testing will be allowed. Those not passing DSP 101 may not enroll as a provider in First Steps, even if they meet other minimum requirements for enrollment.

Service Coordinators are hired as employees of the System Points of Entry. All new Service Coordinators must complete the Service Coordinator Orientation (SC 101) within one month of hire. Service Coordinators are allowed two attempts to pass SC 101. Those failing to pass with an 80% or higher score are referred to the state First Steps office to determine if further testing will be allowed.

Annual Mandatory Training: Once enrolled all early intervention providers must complete additional training as required for their role in the early intervention system. This includes the provider orientation follow up courses DSP 102 and 103 and the Service Coordination follow up courses SC 102 and SC 103. Additionally, all Indiana early intervention providers and service coordinators are required to complete one First Steps Core Training (FSCT) annually. These requirements are outlined in Attachment A. These trainings must be documented in the provider's UTS Training profile.

Initial Credentialing: All providers and service coordinators must credential within two years of enrollment. Credentialing assures families that each enrolled provider has met additional qualifications related specifically to the provision of child and family services within the framework of the First Steps Early Intervention System.

As part of the credentialing process, all associate and specialist personnel are required to document credit points earned through portfolio activities. These credit points are earned in competency areas that represent bodies of knowledge and/or skills that are considered critical to the implementation of quality early intervention services across all disciplines. Please refer to the Early Intervention Credentialing Process in this guide (page 11). Supporting documentation for all activities listed on the *Initial Credentialing* must be available on request for quality review and maintained by the provider for a period of five years after the initial credential date.

Annual Re-credential: Once credentialed, all enrolled associate and specialist level providers and service coordinators must annually document a minimum of three credential points of portfolio activities related to the early intervention competency areas. Supporting documentation for all activities listed on the *Continual Professional Development Annual Credentialing* must be available on request for quality review and maintained by the provider for a period of five years after the initial and annual credential dates.

Supervision

Developmental Therapy Specialists: All newly enrolled Developmental Therapy Specialists must be supervised by a credentialed Developmental Therapy Specialist for a period of one year from the date of their first service authorization. Supervisors for newly enrolled Developmental Therapy Specialists must:

- A. have at least one (1) year experience, be credentialed and actively working in the First Steps System with a caseload.
- B. conduct monthly face to face meetings with supervisee to review treatment plans, intervention strategies, family face to face notes and progress notes.
- C. document face to face supervisor meetings which include a summary of topics discussed, recommendations, action plans and training provided (see Attachment C: Sample Supervision Face to Face Summary Form).
- D. submit Service Provider Supervisor Agreement – Attachment B

Developmental Therapy Associates: Associate level Developmental Therapists enrolled prior to August 1, 2009, and lacking a Bachelor's degree to meet entry level requirements were grandfathered into the system. They may continue to practice as a Developmental Therapy Associate, but must work under the continuous, direct supervision of an enrolled credentialed Developmental Therapy Specialist and must submit name, address and credential letter of their supervisor at time of enrollment and annually. The Associate must submit Attachment B annually with their re-credential application.

DTAs changing enrollment status, (moving from one agency to another agency) will lose their grandfathered status and will be required to meet the specialist entry level qualifications to continue as an enrolled early intervention provider in the First Steps System.

Supervision - Other Licensed and Certified Providers: The licensing and/or certification supervision requirements contained in legislation and overseen by the Indiana Professional Licensing Agency must be followed by all Associate providers. Licensed and/or certified early intervention providers must be cognizant of their licensure/certification rules and abide by said rules at all times while enrolled as a First Steps provider. Additional licensing information can be found at the Indiana Professional Licensing Agency website at: <http://www.in.gov/pla/>. Supervisors are not required to be enrolled or credentialed in First Steps.

Nurse (Licensed Practical Nurse): Licensed Practical Nurse (LPN) licensed by the Indiana State Board of Nursing enrolled prior to October 1, 2010 may work under grandfather status but must work under the continuous, direct supervision of an enrolled, credentialed Registered Nurse and must submit name, address and credential letter of their supervisor annually. The LPN must submit Attachment B annually with their re-credential application.

LPNs changing enrollment status, (moving from one agency to another agency or moving from an agency to an independent, will lose their grandfathered status and will be required to meet the specialist entry level qualifications to continue as an enrolled early intervention nursing provider in the First Steps System.

Early Intervention Personnel Credentialing Process

Regulations to Part C of the Individuals with Disabilities Education Act (IDEA) require that:

1. Early intervention services are provided by qualified personnel (303.12) (a)(3)(ii)), and
2. Statewide systems have policies and procedures related to personnel standards (303.361(b)).

All enrollment and credentialing is processed by the Central Reimbursement Office (CRO). At enrollment into the First Steps System, providers are required to submit documentation of 1) an Indiana state criminal history check within the year, 2) a current professional liability insurance certificate, and 3) a copy of their current license with status verification and expiration date* (if applicable). These documents must be current at all times. Providers must submit updated license and insurance copies to the CRO as soon as these are renewed. Providing First Steps services without a current license (when a license is required) or liability insurance will result in a financial payback and may affect the provider's status with the licensing agency. All providers and service coordinators must also submit an annual Provider Update and Attestation Statement. Initially this is done one year after enrollment and then with the provider/service coordinator's initial or annual credential.

The Indiana First Steps System employs a credentialing process to assure the quality of personnel providing services to families. Credentialing is a process of accumulating points earned through education, experience and in-service training/conferences. The practice of early intervention requires very specific knowledge and skills that change and develop over time and are not adequately presented in most pre-service training programs. Early intervention specialists and associates (with the exception of Interpreters, Physicians and Transportation) who provide direct services to children and families in their home or community settings must obtain a First Steps Early Intervention credential within the first two years of enrollment. After obtaining their initial credential, providers and service coordinators must re-credential annually.

While Providers and Service Coordinators must credential within two (2) years of their enrollment date, they may choose to apply for an Early Intervention credential anytime after enrollment once they have obtained the following credential points:

- 15 points for an Early Intervention Specialist, or
- 10 points for an Early Intervention Associate

After submission of a credential application, the CRO will issue an Early Intervention Credential that matches the applicant's request or a letter requesting clarification or additional documentation.

Please note: Although you may only **enroll** as either a service provider or a service coordinator, you may apply simultaneously for an Early Intervention **credential** in any discipline for which you qualify.

***Licensed/Certified Providers:**

A copy of your *current* Indiana professional license or certification must be maintained in your personnel file at the CRO. All licensed/certified providers must submit a copy of their license/certification with a license status verification showing the exact expiration date to maintain enrollment status through First Steps. License verification can be obtained at www.ipla.in.gov.

Indiana First Steps Provider Update and Attestation Statement

Name: _____ Date Submitted _____

Address: _____

Phone: (____) _____ Cell (____) _____ Fax: (____) _____

E-mail address: _____

Discipline: _____ NPI# (If applicable): _____

Early Intervention Specialist

Early Intervention Associate

Check one box below:

- Non-credentialed Provider/Service Coordinator First Year Attestation Page and Annual Update** (Attach a copy of My Trainings and My Quizzes to document mandatory training requirements.)
- Initial Credential Application and Annual Update** (Attach Initial Credential Packet)
- Annual Re-Credentialing Application and Annual Update** (Attach Annual Credential Packet)

Please complete the following information and attach supporting documents:

License Type & Number#: _____ **Expiration Date:** _____

*If applicable, please attach a copy of the license and status verification page from IPLA.

Insurance Information: Insurance Agency: _____

Phone: (____) _____ **Policy#:** _____

Expiration Date: _____

*Please include a copy of the certificate of insurance.

Current Criminal History Inquiry: Date of inquiry: _____

*Please include a copy of the Indiana State police inquiry (<http://www.in.gov/ai/appfiles/isp-lch/>). If you live outside of Indiana, you must submit one inquiry for Indiana and one for your state of residence. City and County inquiries will not be accepted.

I hereby swear or affirm under the penalties of disenrollment that I understand and have met the continuing education requirements for renewal and have answered the questions true to the best of my knowledge.

Signature

Date

Submit to: **Indiana First Steps Provider Enrollment**
CSC Covansys
P.O. Box 29160
Shawnee Mission, KS 66201-9160

Provider Enrollment: 1-866-339-9595 Option 2

Credential Activities and Documentation

Credentialing is a process of accumulating points in designated areas as outlined on the Current Summary of Activity forms. Points are earned through experience, trainings, in-service activities, education and other proposed tasks as outlined below.

Portfolio Activities and Credit Points

Activity	Credential Point Equivalent	Maximum Points
<p><u>Experience</u> in Early Intervention Birth to six years for initial and birth to three years in First Steps for annual re- credential</p>	<p>*1 year = 1 point. For initial credential must calculate percent of time worked in birth to six years.</p> <p>*For annual re-credential you must prorate if working part time in First Steps.</p> <p>1-10 hours per week - .25 points 11-20 hours per week - .5 points 21-30 hours per week - .75 points 31-40 hours per week - 1.0 point</p>	<p>5 points for initial credential</p> <p>1 point for annual</p>
<p><u>State Required Training</u> First Steps Orientation Courses DSP 101, 102 & 103 and SC 101, 102 & 103 First Steps Core Training Training Times</p>	<p>10 Contact Hours = 1 Point 1 Contact Hour = 0.1Point</p> <p>0.2 points per Training Times issue</p>	<p>No Maximum</p>
<p><u>In-service Activities</u> Conferences/Workshops, applicable to children birth to six years.</p>	<p>10 Contact Hours = 1 Point 1 Contact Hour= 0.1 Point</p>	<p>5 points for initial credential No maximum for annual</p>
<p><u>Education</u> Academic Coursework required for entry level enrollment and/or early childhood competencies (birth to six years)</p>	<p>1 Academic Credit Hour through an accredited college or university = 1 Point</p>	<p>5 points maximum for coursework completed 10 years or more prior to application</p> <p>Unlimited points for coursework completed less than 10 years prior to application</p>
<p><u>Other Proposed Tasks</u></p>	<p>1 task = 1 point for professional activities 1 hour = 0.1 point for independent studies</p>	<p>5 points</p>

Activities and Supporting Documentation for Credentialing

Documentation of training and skill development in competency areas and of the credentialing activities is done through the *Current Summary of Activity* forms, which document where a provider/service coordinator assigns credential points earned to each of the competency areas. Although flexibility is provided to tailor learning experiences that are critical to the professional growth of each individual provider, **a minimum of one credit point must be earned and documented in each competency area only for Initial Credentialing**. (See pages 16-18 for Competency Area descriptions.)

The **Current Summary of Activity** form is completed using a portfolio approach for documenting training and skill development. The following portfolio activities may be used to earn credit points.

Experience:

1. **Initial Credential** – a maximum of 5 points for experience directly related to the provision of early intervention and related services for children birth to six years. Service Coordinators and Service Providers may also count relevant experience as a family member of a child with special needs (**for initial credential application only**). One year of experience may be counted for each calendar year that an individual works full time providing early intervention services. You must prorate if working less than full-time and for experience not in early intervention (birth to six years).
2. **Annual Credential** – a maximum of 1 point for experience directly related to the provision of early intervention services for children birth to three years. Experience must be in early intervention and for infants and toddlers, birth to three years. You must prorate if working less than full-time or for experience not in early intervention. See Portfolio Activities and Credit Point chart on previous page.
3. **Documentation** –
 - a. **Initial** – A resume, letters from agency supervisors, signed statement of experience noting average number of hours worked per week in early intervention or related services for children birth to six years
 - b. **Annual** – Letter from agency supervisor and/or signed statement with average caseload and hours worked per week in early intervention for infants and toddlers, birth to three years.

State required training includes all required orientation training, annual First Steps Core Training and the quarterly Training Times assessment or other training the state deems mandatory by all First Steps providers. (See Attachment A) Documentation for state required training is a copy of My Trainings and My Quizzes pages from the provider's/service coordinator's UTS Training profile.

In-service activities:

1. **Initial Credential** - may be earned through attendance at conferences, workshops, seminars, and other similar activities sponsored by the Cluster SPOE/LPCC, Indiana's Unified Training System, national, state, and local professional organizations and other training entities. The relationship of the in-service training to early intervention competency areas should be documented through written training goals and learning objectives. Personnel may document **only those activities occurring within the last ten (10) years**, which were directly related to their individual professional development and related to Early Intervention competency areas. **Training offered within an employing agency that focuses only on agency issues may not be used for credit points.** A maximum of 5 points may be used for initial credentialing.
2. **Annual Credential** - may be earned through attendance at conferences, workshops, seminars, and other similar activities sponsored by the Cluster SPOE/LPCC, Indiana's Unified Training System, national, state, and local professional organizations and other training entities. The relationship of the in-service training to early intervention competency areas should be documented through written training goals and learning objectives. **Training offered within an employing agency that focuses only on agency issues may not be used for credit points.** Training must have occurred within the provider's current credential year. There is no maximum point limit.

3. **Documentation** - Certificates of attendance or agendas that outline topics relating to early intervention competencies for the birth to six population, with date, speakers, location and time noted for each.

Academic coursework:

1. **Initial credential** - must be earned through formal study at an accredited post-secondary institution. Course descriptions and syllabi should reflect a cohesive body of knowledge related to one or more of the early intervention competency areas. Instructional activities must provide the equivalent of at least ten contact hours per unit of academic credit offered. For initial credentialing, a five-point maximum applies to coursework completed ten (10) or more years prior to the date of submission of the credentialing application. Unlimited points may be utilized for related coursework completed less than 10 years from date of submission of the credentialing application.
2. **Annual Credential** - must be earned through formal study at an accredited post-secondary institution. Course descriptions and syllabi should reflect a cohesive body of knowledge related to one or more of the early intervention competency areas. Instructional activities must provide the equivalent of at least ten contact hours per unit of academic credit offered. **Course work must be completed within the provider's current credential year.**
3. **Documentation** –
 - a. **Initial credential** – If degree was completed 10 or more years ago, submit a copy of the University diploma for the provider's entry level degree. If degree is less than 10 years submit university diploma for the provider's entry level degree and university transcripts and course syllabi for all related courses used for credential points.
 - b. **Annual credential** - University transcripts and course syllabi for each related courses used for credential points.

Other Proposed Tasks:

1. **Initial and Annual Credentialing** – Professional research, presentations and training includes activities specific to early intervention and children, birth to six years, such as: independent study, research, conference presentations and teaching activities, development of professional products, submission of articles to professional journals and other special projects leading to increased professionalism. These activities are only worth the actual time spent completing the task, not to exceed 1 point per activity, with a maximum of 5 points.
2. **Initial and Annual Credentialing** – Self study activities include reading books and watching videos relevant to Early Intervention for infants and toddlers, birth to six years. Providers may claim the amount of time needed to complete the task. Providers are required to write a one-page report summary and keep it as supporting documentation. **For annual credentialing the task must have been completed during the provider's current credential year.** These activities are only worth the actual time spent completing the task, not to exceed 1 point per activity, with a maximum of 5 points.
3. **Documentation** – Initial and Annual includes a detailed task description and supporting documentation. Include date, topic, persons involved and activities. For self-study, a one page summary with title, author, date of activity and a one page summary.

Supporting documentation to verify all credential activities must be kept on file with the provider/service coordinator for a period of 5 years. Providers and service coordinators are subject to random quality review credential audits. Those chosen for review must produce copies of all supporting documentation.

Competency Areas for Direct Service Providers

The following competency areas represent bodies of knowledge and/or skills considered critical across all early intervention disciplines:

Foundations of Early Intervention: Information and experience that promote understanding about the history of early intervention, underlying philosophies of early intervention including family centered practices, Individualized Family Service Plans, team process skills, and early intervention service coordination. Providers will demonstrate:

1. a basic knowledge of relevant federal and state legislation and related public agency policy
2. understanding of standards and rules and their impact on services and families
3. the ability to implement procedural safeguards to ensure delivery of appropriate services
4. a basic knowledge of the history and philosophy of early intervention
5. knowledge of Indiana's First Steps system/procedures, i.e. SPOE, CRO, LPCC, service delivery, service coordination
6. knowledge of research in the area of early intervention practice and efficacy
7. the ability to describe the purpose, importance and limitations of early identification, screening and evaluation, including the issues of bias and testing
8. understanding of early intervention theories and their implications

Infant and Toddler Typical and Atypical Development: Information and experience that promote an understanding of typical and atypical physical, cognitive, social/emotional and communication development of infants and toddlers. Providers will demonstrate:

1. understanding of content and range within child developmental domains
2. understanding of etiology and characteristics of common developmental disabilities
3. understanding of the potential impact of a disability's characteristics on a child's needs
4. understanding of child development theories and their implications
5. the ability to describe the common risk factors for developmental dysfunction

Infant/Toddler and Family Assessments: Information and experience that promote an understanding of the techniques and procedures for family-centered infant and toddler evaluation and assessment. Also includes activities that promote an understanding of the process by which families may be supported to identify their strengths, concerns and priorities. Providers will be able to:

1. identify valid and reliable state approved screening and evaluation procedures and instruments
2. identify valid and reliable state approved screening and evaluation tools appropriate to age, population, and physical environment
3. demonstrate ability to discuss with parents the purpose of selected screening and evaluation procedures, as well as due process and procedural safeguards as they apply to identification, screening, and evaluation
4. demonstrate the ability to administer and score a variety of approved screening and evaluation tools which measure development across the range of developmental domains
5. demonstrate competence in interpreting results of screening and evaluation in terms of a child's functional capabilities
6. demonstrate competence in gathering information through family interview as a component of the screening and evaluation of the infant and toddler, and the identification of family concerns, priorities and resources
demonstrate the ability to communicate with parents in a clear, concise, respectful and sensitive manner the results of screening and evaluation activities and subsequent recommendations, taking into account parental response to the information given

7. demonstrate competence in adapting the environment in which the screenings and evaluations take place, using specialists when appropriate
8. demonstrate competence in referral processes and procedures to other professionals and community resources when indicated by results of screening and evaluation
9. demonstrate ability to coordinate and participate in team meetings

Early Intervention Service Delivery Strategies: Activities that promote familiarity with research, current trends, and best practices related to the provision of discipline specific early intervention services to young children with special needs. Providers will design, implement and evaluate appropriate services for a child within a collaborative relationship with parents/caregivers and community providers and demonstrate:

1. the ability to facilitate appropriate and stimulating learning opportunities that will enhance children's learning and positive behaviors
2. the ability to effectively communicate with children (including access to alternative communication systems when appropriate)
3. the ability to integrate therapeutic practices into learning environments in ways that support learning and encourage autonomy in children (i.e., integration of medical routines written or parents/caregiver by medical staff; integration of augmentative communication strategies; integrations of therapeutic activities)
4. positive social interactions with children
5. the ability to develop an IFSP based on assessment information, to implement and evaluate progress on IFSP goals through a variety of strategies in homes and community settings
6. the ability to embed goals/objectives into daily activities/routines at home and other natural environments
7. the ability to problem solve with the family around issues of a child's management of behaviors and environmental stimuli
8. the ability to teach parents/caregivers how to implement specific programs, routines and procedures with a child
9. the ability to use adaptive techniques/equipment as directed to promote acquisition of skills and active participation in age appropriate activities
10. developing competence in conducting home visits to serve as a source of support and a resource to families
11. competence in developing an IFSP in partnership with team members consistent with state standards and federal guidelines

Family Partnership and Support Strategies: Activities that promote an understanding and recognition of the family as the major long-term influence in a child's life, and support strategies for families acknowledging their diversity and individual hopes and plans for their child. Providers will demonstrate:

1. the ability to apply family guided services and work in partnership with families, mutually exploring options, soliciting input about what they want for their child, and respecting choices
2. the understanding about family relationships, including working with siblings, and how a disability can affect those relationships
3. respect, understanding and responsiveness to the family within the context of their culture, ethnicity and unique family circumstances, i.e., parents with developmental disabilities, foster parents, grandparents as parents, teen parents, gay/lesbian parents
4. leadership in supporting parents as they advocate for their children
5. an understanding of their role in sharing information with families, including philosophies of various services, in a timely manner and communicates effectively with them
6. active involvement of families in the design and implementation of policies and/or procedures which reflect a value of family guided services
7. a flexible menu of involvement/participation/support opportunities for families regarding the identification, implementation and evaluation of child and family outcomes/goals
8. the ability to assist families in assessing information and gaining skills to functions successfully within their community

9. recognition of and respect for the coping strategies that the family demonstrates
10. understanding of adult learning styles and basic skills in teaching adults
11. competence in conducting family interviews using attending and listening skills
12. knowledge of characteristics of adult mental health problems and their impact on the parent-infant relationship (e.g., substance abuse, domestic violence, psychiatric diagnoses)
13. knowledge of the effects of environmental risk factors on the parent-infant relationship (e.g., homelessness, poverty, stress)

Team Relationship Skills: Activities that promote positive team communication in a manner that ensures an unduplicated, family-centered, comprehensive, coordinated, community-based system of services. Team relationships will be in concert with the identified concerns, priorities and preferences of the family. Providers will demonstrate:

1. effective communication with a variety of audiences, i.e. families, EI providers, community providers, using jargon-free terminology to provide essential EI information
2. skills to function as a direct service provider and consultant to other disciplines and agencies
3. understanding of related service providers and community providers, their rules, regulations and requirements, and act with the ability to network to advocate and create increased options for the child and family
4. understanding of different team formats, i.e. multidisciplinary, transdisciplinary, their strengths and limitations
5. the ability to use good communication skills and productive problem solving strategies as a collaborative team member
6. the ability to negotiate divergent team expectations and resolve conflicts/crises

**Initial Credentialing Checklist
First Steps Direct Service and Service Coordinators**

Name of Provider: _____ NPI #: _____

Please be sure all required information below is returned complete in order to expedite your initial credentialing with First Steps.

1. () Completed Attestation Page/Annual Update (Page 12 of the Personnel Guide)
2. () Copy of My Trainings and My Quizzes to document mandatory training requirements
3. () Copy of Current License if applicable
4. () Copy of Liability Insurance Certificate
5. () Current Criminal History Inquiry
6. () Completed Grid documenting your 10 or 15 points (Page 20 for Direct Service Providers and Page 21 for Service Coordinators of the Personnel Guide)
7. () Completed/Updated Attachment B: Service Provider Supervisor Agreement

Signature: _____ Date: _____

Mail all checked items along with this cover sheet to the address below. We cannot accept photocopies of signed documents or signed documents via fax. Documents with original signatures must be submitted. Please submit to:

**Indiana First Steps Provider Enrollment
c/o CSC
P.O. Box 29160
Shawnee Mission KS 66201-9160
Telephone: 1-866-339-9595 Option 2**

Current Summary of Activity for Direct Service Providers INITIAL Credentialing

Name: _____ Submission Date: _____

Address: _____

Phone: (____) _____ Fax: (____) _____ Email: _____

The early intervention credential requires a minimum of 1 point in each competency area. Total points must equal 10 points for an Early Intervention Associate or 15 points for an Early Intervention Specialist.

	Date	Activity (name of conference, course, task or experience) Early Intervention Competencies Year: _____	Brief description	Competency Points (For each training, apply appropriate point value to the corresponding competency)						
				Foundations	Development	Assessments	Family Partnership	Team Relations	EI Strategies	
Experience (max. 5 points)										
State Training		DSP 101								
		DSP 102								
		DSP 103								
		First Steps Core Training								
		Training Times (list test date)								
		Training Times (list test date)								
		Training Times (list test date)								
		Training Times (list test date)								
In-service Conferences Workshops (max. 5 points)										
Education (max. 5 points for credits over 10 years)										
Other Proposed Tasks (max. 5 points)										
			Total points per competency area:							

TOTAL POINTS: _____

Summary of Activity for Service Coordinators - INITIAL CREDENTIAL

Name: _____ Cluster: _____ Date: _____

A minimum of one point must be earned in each of the following competency areas with a total of 15 points to become an Early Intervention Specialist in Service Coordination. **** Please use one sheet for each year.**

Competency Areas for Service Coordination

1. Knowledge of community resources including the ability to obtain information based upon individual family needs.
2. Knowledge and understanding of the principles and practices of family centered care.
3. Ability to communicate in written and oral manner.
4. Knowledge of early intervention assessment/evaluation instruments that are designed to assess family needs, resources, priorities and concerns.
5. Knowledge of Indiana's due process and procedural safeguards, regulations, policies and practices regarding infants and toddlers eligible for Early Intervention.
6. Knowledge of Part C regulations.
7. Knowledge of transition including but not limited to the transition from Part C to other services when eligibility for Part C terminates.
8. Knowledge of financial resources available for individuals participating in the Part C program.
9. Participation in the quality review of the cluster's Early Intervention records in collaboration with the Quality Review-Focused Monitoring process.

	Date	Activity (Name of conference, course, task, or position)	Early Intervention Competencies Year: Brief Description of Activity	Community Resources	Family Centered Care	Communication	Assessment	Procedural Safeguards	Part C Regulations	Transition & Part B	Financial Case Mgmt.	Quality Review	Section Total
Experience													
State Required Training		SC101											
		SC102											
		SC103											
		First Steps Core Train											
		Training Times											
		Training Times											
		Training Times											
Conference													
Academic Credits													
Other Tasks													

TOTAL POINTS: _____

**Annual Re-Credentialing Checklist
First Steps Direct Service and Service Coordinators**

Name of Provider: _____ NPI #: _____

Please be sure all required information below is returned complete in order to expedite your annual credentialing with First Steps.

1. () Completed Attestation Page/Annual Update (Page 12 of the Personnel Guide)
2. () Copy of My Trainings and My Quizzes to document mandatory training requirements
3. () Copy of Current License if applicable
4. () Copy of Liability Insurance Certificate
5. () Current Criminal History Inquiry
6. () Completed Grid documenting your 3 points (Page 23 for Direct Service Providers and Page 24 for Service Coordinators of the Personnel Guide)
7. () Completed/Updated Attachment B: Service Provider Supervisor Agreement

Signature: _____ Date: _____

Mail all checked items along with this cover sheet to the address below. We cannot accept photocopies of signed documents or signed documents via fax. Documents with original signatures must be submitted. Please submit to:

**Indiana First Steps Provider Enrollment
c/o CSC
P.O. Box 29160
Shawnee Mission KS 66201-9160
Telephone: 1-866-339-9595 Option 2**

**Current Summary of Activity for Direct Service Providers
ANNUAL Credentialing**

Name: _____ Submission Date: _____

Address: _____

Phone: (____) _____ Fax: (____) _____ Email: _____

Credential Dates - From: _____ to _____

Total credential points must equal 3 points for an Early Intervention Associate OR an Early Intervention Specialist. There are no minimum required points for each competency area.

	Date	Activity (name of conference, course, task or experience)	Brief description	Competency Points (For each training, apply appropriate point value to the corresponding competency)					
				Foundations	Development	Assessments	Family Partnership	Team Relations	EI Strategies
Experience (max 1 points)									
State Training		First Steps Core Training							
		Training Times (list test dates for the year)							
		Training Times (list test dates for the year)							
		Training Times (list test dates for the year)							
		Training Times (list test dates for the year)							
In-service Conferences Workshops									
Education									
Other Proposed Tasks (max. 5 points)									
			Total points per competency area:						

TOTAL POINTS: _____

Summary of Activity for Service Coordinators - ANNUAL CREDENTIAL

Name: _____ Cluster: _____ Date: _____

Credentialed Service Coordinator Specialists must document 3 points related to the competency areas. There is no minimum point requirement for any category.

Competency Areas for Service Coordination

1. Knowledge of community resources including the ability to obtain information based upon individual family needs.
2. Knowledge and understanding of the principles and practices of family centered care.
3. Ability to communicate in written and oral manner.
4. Knowledge of early intervention assessment/evaluation instruments that are designed to assess family needs, resources, priorities and concerns.
5. Knowledge of Indiana's due process and procedural safeguards, regulations, policies and practices regarding infants and toddlers eligible for Early Intervention.
6. Knowledge of Part C regulations.
7. Knowledge of transition including but not limited to the transition from Part C to other services when eligibility for Part C terminates.
8. Knowledge of financial resources available for individuals participating in the Part C program.
9. Participation in the quality review of the cluster's Early Intervention records in collaboration with the Quality Review-Focused Monitoring process.

	Date	Activity (Name of conference, course, task, or position)	Early Intervention Competencies Year: _____	Brief Description	Community Resources	Family Centered Care	Communication	Assessment	Procedural Safeguards	Part C Regulations	Transition & Part B	Financial Case Mgmt.	Quality Review	Section Total
Experience														
State Required Training														
		First Steps Core Training												
		Training Times												
		Training Times												
		Training Times												
Conference														
Academic Credits														
Other Tasks														

TOTAL POINTS: _____

Attachment A

State Required Trainings

1. Professional Development for Associate and Specialist Direct Service Providers:

- a. Complete DSP102 within 3-6 months of enrollment date
- b. Complete DSP103 within 6-12 months of enrollment date
- c. Complete one (1) First Steps Core Training annually
- d. Complete four (4) quarterly "Training Times" newsletter assessments through UTS, annually
- e. Additional trainings related to the core competencies as needed, to complete your 10 or 15 points for initial credentialing or 3 points for annual re-credentialing.

2. Professional Development for Specialist level Service Coordinators:

- a. Complete SC101 within one (1) month of employment date
- b. Complete SC102 within 3-6 months of employment date
- c. Complete SC103 within 6-12 months of employment date
- d. Complete one (1) First Steps Core Training annually
- e. Complete four (4) quarterly "Training Times" newsletter assessments through UTS, annually
- f. Additional trainings related to the core competencies as needed, to complete your 15 points for initial credentialing or 3 points for annual re-credentialing.



First Steps

(Attachment B)

Direct Service Provider Supervision Agreement

- All Developmental Therapy Specialists who lack one year of documented early intervention experience with infants and toddlers, birth to three years of age are enrolled as Developmental Therapy Associates and are required to engage an enrolled, credentialed supervisor in their same discipline for a period of one year from the date of their first child authorization. A copy of the supervisor’s credential letter must be attached to this form and submitted with the provider’s enrollment packet. This form must be completed and submitted with annual credentialing packets and with Attachment D when the end of supervision is being recommended.
- All Developmental Therapy Associates, practicing under grandfather status, are required to maintain ongoing supervision for as long as they are enrolled in the First Steps Early Intervention System. All supervisors must be enrolled in the First Steps System, with an active caseload and at least one year of First Steps experience in the discipline in which they are supervising. A copy of the supervisor’s credential letter must be attached to this form and submitted to the CRO with the provider’s annual update and re-credential packet.
- All Direct Service Providers who require supervision as part of their professional licensing and/or certification must follow the licensing rules of their profession as set out in Indiana Code and/or certification requirements of their professional associations. The Indiana First Steps System requires the provider to submit this form with a copy the supervisor’s license on enrollment and with the provider’s annual update and credential packets.

Supervision Certification for Specialist and Associate Direct Service Providers

Provider Name: _____ Discipline: _____

Supervisor Name: _____ Discipline: _____

Supervisor Address: _____

Supervisor Email: _____ Supervisor Phone: _____

License#: _____

Supervisor Credential Letter attached

Supervisor License and IPLA status verification page attached, if applicable.

Supervisor Signature

Date

Provider Signature

Date



First Steps

(Attachment D)

End of Supervision Recommendation

Provider Name: _____ Phone: () _____

Discipline: _____ Enrollment Date: _____

Supervisor Name: _____ Phone: () _____

Discipline: _____ Email address: _____

Current Caseload#: _____ Cluster: _____ Counties Served: _____

Recommendation:

Provider has completed one year of supervision and no longer requires supervision.

Provider would benefit from an extension of the supervision period due to: _____

Provider should be referred to state staff for final determination of enrollment status.

Supervisor's Signature

Date

Copies of each monthly report for the supervision year must be attached to the End of Supervision Recommendation form.



First Steps

(Attachment E)

Requirements for Multidisciplinary Agencies

The following minimum requirements must be demonstrated in order for an agency or business to be approved for enrollment in First Steps:

Agencies MUST:

- Register the business with the Indiana Secretary of State
 - Be in good standing with Department of Workforce Development (DWD) and the Indiana Department of Revenue
 - Maintain enrollment with a minimum of ****ten** First Steps providers within each service area. Of the ten providers, two must be from each of the following disciplines:
 - Developmental
 - Occupational
 - Physical
 - Speech Therapy.
- **Providers enrolled with a multidisciplinary agency and counted as part of the minimum providers for the agency, MUST be working as at least .25 FTE.**
- Have the ability to obtain and provide all other required services through employment, written agreement or contract with the exception of Service Coordination 470 IAC 3.1-1-26
 - Successfully demonstrate the ability to bill insurance and/or documentation of satisfactorily completing approved Third Party Liability (TPL) training
 - Have a physical location of business accessible and open to the public at least five days per week during normal business hours (Monday – Friday, 8:30 A.M – 5:00 P.M.)
 - Have an agreement to work within specific service areas to ensure that all areas of the state have adequate access to services
 - Have a Quality Assurance structure with written policies and procedures to meet all contractual obligations, including but not limited to compliance with Family Educational Rights and Privacy Act (FERPA) and Health Insurance Portability and Accountability Act (HIPAA)
 - Have established procedures to ensure quality fiscal controls and billing, with knowledge of coding and therapy terminology
 - Have a structure that provides staff support, continued education and mentoring for providers, with a clear line of authority and supervision of compliance of guidelines and quality of work, defined as:

Documentation

- Ensure face-to-face sheets used by all providers meet State requirements.
- Maintain original billing documentation in a central and secure location.
- Monitor face-to-face sheets to ensure completeness, appropriate use of ICD-9 codes, and justification of services billed.
- Track submission of progress reports to ensure timeliness, use of correct format, and justification of service level provided.
- Assist providers with completion of enrollment, credential, and re-credential paperwork.

Training/Education

- Provide mentoring for new and inexperienced providers.
- Monitor provider compliance with completion of Training Times and First Steps Core Training.
- Provide State-directed trainings within a specified time frame.
- Conduct semi-annual trainings related to service delivery topics.
- Educate providers regarding written SPOE procedures for the respective service area.
- Communicate expectations for appropriate service levels, including clear guidelines for reduction and discharge.

Quality Assurance

- Maintain regular communication between a designated agency supervisor and SPOE to discuss and resolve concerns and issues.
- Participate on the Local Planning and Coordinating Council (LPCC).
- Establish plan for measuring family satisfaction with service provision.
- Review levels of service provision at least quarterly and provide feedback, when appropriate.
- Present a concrete plan for ensuring that services are available in all parts of the service area, including remote and historically underserved areas
- Maintain written procedures for compliance with the Health Insurance Portability and Accountability Act (HIPAA) and the Family Educational Rights and Privacy Act (FERPA).
- Implement corrective action plans and subsequent monitoring for providers who are found to be out of compliance with HIPAA, FERPA, or any First Steps regulations stated in the following sources: Rider A - Provider Agreement, Procedural Safeguards, Personnel Guide, Indiana's Best Practices for Early Intervention, Professional Conduct Guidelines, and SPOE Procedures.
- Designate a single agency administrator for communication with State employees and contractors regarding complaints and other quality issues.