

<b>POSM Protocol R1-08: Local Self-Monitoring</b>	
<b>Category</b>	Administration
<b>Purpose</b>	Localities monitor local Part C compliance and strive to facilitate continuous local improvement to better serve the needs of infants and toddlers with disabilities and their families.
<b>IDEA Foundation(s)</b>	<p><a href="#">34 CFR 303.700</a> specifies that the state must monitor compliance with regulatory requirements to include self-monitoring and continuous improvement related to improving early intervention results for infants and toddlers with disabilities.</p> <p>→ In its evaluation, the SLA would expect to find written policies and procedures that delineate responsibility and provide guidance for ensuring contract requirements are met, as well as confirmation and clarification of policies and procedures during interviews and through the provider survey.</p>
<b>Local Part C Contract Requirement(s)</b>	<ul style="list-style-type: none"> <li>2.1.2.b.(7) – Working in partnership with the DBHDS to ensure compliance with federal and state regulatory requirements; including monthly monitoring by the local system to assure timely initiation of services and the 45-day timeline; at least quarterly reviews of records to assure that transition requirements are met; and at least quarterly monitoring of timelines and accuracy of data.</li> <li>2.1.2.b.(8) – Facilitating continuous local system improvement through collection, use and interpretation of data (e.g. record reviews, state early intervention data system, etc.), including at least quarterly review of sufficient records that verify that all practitioners, including service coordinators and contracted staff, are correctly implementing eligibility requirements, assessment and evaluation requirements, IFSP requirements, procedural safeguard requirements, documentation requirements and providing evidence based supports and services.</li> </ul>
<b>Responsible Party</b>	Part C monitoring team
<b>Frequency and Method</b>	1x/POSM cycle; desk audit and interview(s)
<b>Data Source(s)</b>	<ul style="list-style-type: none"> <li>Documentation provided by locality [e.g., local policies and procedures]</li> <li>Interview(s)</li> <li>POSM Provider Survey</li> </ul>

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<b>Amount of Data</b>	<ul style="list-style-type: none"> <li>• Documentation varies by locality; identified during POSM planning call w/ locality and throughout discovery</li> <li>• Interview(s); varies by locality; determined by Part C monitoring team with LSM input to ensure local representativeness across families and providers</li> </ul>
<b>Compliance Criteria</b>	<p>Evidence of requirement(s) as demonstrated by:</p> <ul style="list-style-type: none"> <li>• Written policies and procedures that delineate responsibility and provide guidance for ensuring contract requirements are met.</li> <li>• Verbal confirmation and clarification of policies and procedures through interviews.</li> </ul>
<b>Monitoring Summary</b>	<p>The Part C monitoring team will review documentation provided by the locality that supports meeting contract requirements. During the LSM interview, team members are listening for commonalities of experience that support case review findings and/or inconsistencies that may indicate the need for further technical assistance and follow-up.</p>
<b>Required Action(s)</b>	<ul style="list-style-type: none"> <li>• If documentation and interviews meet compliance criteria, no further action(s) required.</li> <li>-OR-</li> <li>• If documentation and/or interviews do not meet compliance criteria, the locality must within ninety (90) days of notification of finding(s) develop and subsequently implement procedures to meet requirements.</li> </ul>
<b>Revision History</b>	<ul style="list-style-type: none"> <li>• Original: 2024-10</li> <li>• Revised: 2025-08 <ul style="list-style-type: none"> <li>○ IDEA Foundation(s): ADDED detailed descriptions</li> <li>○ IDEA Foundation(s): ADDED “<i>In its evaluation...</i>” to item(s) for additional context</li> <li>○ Data Source(s): ADDED “<i>POSM Provider Survey</i>”</li> <li>○ Compliance Criteria: REMOVED “(above)”</li> <li>○ Table: Formatting changes</li> <li>○ Footer: Specified ORIG date; added REV date</li> <li>○ Monitoring Summary: Specified interviewee as LSM</li> </ul> </li> </ul>