



Frequently-Asked Questions: Forms

For additional information, please see the [EI Forms training module on MyLearning](#)

EI-01 PWN and Consent for Developmental Screening

Q: Should a PWN/consent be sent ahead of time? For example, if I speak to a parent on 7/1/19 and schedule a welcome visit on 7/5/19, should I send a PWN/Consent for Screening on 7/1/19? Should I wait for the visit? If the form is sent ahead and a waiver of timeline would not be necessary, but the parent does not sign or return until the welcome visit, is the waiver of timeline now necessary?

A: As noted in the forms training, this form may be sent ahead (mailed or emailed) or given directly to the parent. It is up to the EISC to make that decision about whether to send or give in person. That choice is documented in the SC use box in the top right of the form. Permission may not be obtained for screening or other activity WITHOUT FIRST PROVIDING PWN (which includes an explanation of the purpose of the activity). AND waiver of the 10-day requirement of the Prior written notice should only be offered when a provider is available to complete the activity prior to the 10 days elapsing. The waiver of timeline always is relevant. Per the question, if the form were mailed on 7/1/19, the activity could not occur until 10 days have elapsed. The screening could not be administered on 7/5 UNLESS the parent wants the screening to occur before the 10 days have elapsed. In that case, the parent would need to complete the Waiver of timeline, or the screening would need to wait until July 11th, or after.

Q: If the parent decides to have the waive the 10 days and the screening occurs, do we need to have these forms as carbon copy so we can give them a copy right there or can we email or mail it after the visit?

A: A copy must be provided to the parent prior to the activity.

Q: Would this form need used for public screening events?

A: This form is required whenever the EI system proposes to conduct a developmental screening for a child who has been referred to EI.

Q: If the referral comes in with a specific developmental concern, should we bypass the PWN of screening altogether, or wait until the SC has the first

visit and determines that there is a valid concern requiring evaluation/assessment?

A: Yes. Anytime there is a developmental concern, the EI system should provide PWN and obtain consent for an evaluation.

Q: The tool is the ASQ for screening, correct?

A: Both the ASQ and the ASQ SE are required to conduct a developmental screening for children referred to EI.

Q: So, we don't ask about the waiver over the phone when we call to schedule initial visit?

A: No; PWN must FIRST be given and consent must be in writing and waiving must be in writing. None of these activities are conducted by phone.

Q: If we send PWN for screenings in the mail and schedule 10 days out from the day we call them, is that enough time to go ahead and do the screening at the first visit?

A: Technically, 11 days from the date the form sent (not from the date of the call). At the visit, you must still obtain consent for the screening in writing using the form.

Q: You are using the word "screening". Does this refer to the vision, hearing and nutrition screenings, or to the Evaluation and Assessment?

Answer: No. This refers to Developmental Screening. See definition in rule 5123-10-02. The required activities for vision, hearing and nutrition are now included in the evaluation and assessment process.

Q: So, we are doing the form 2X, partly when we mail and again when we do a face to face visit? This really isn't friendly for our 45- day timeline at all.

A: There are options on mailing or giving the form. The waiver of timeline is provided. Developmental screenings should only occur when there are no developmental concerns.

Q: What if the EISC sends the PWN/Consent on 7/1/19 for an initial visit on 7/15/19, but the parent does not sign and return. Since it is signed on 7/15/19, but was sent in a timely manner, does the waiver of timeline need to be signed?

A: In this scenario, the PWN was provided on 7/1. That requirement has been met. On 7/15/19, consent must be obtained. No waiver is needed because more than 10 days have already elapsed since PWN was provided to the family.

EI-02 PWN and Consent for Child Evaluation and Assessment

Q: This question is an example of several questions we received related to the correct sequence of events. To answer these, let's walk through an example.

A: A child is referred to your agency on July 1. You call the parent on July 2 to set up the first visit. This visit is scheduled for July 9. On July 9, you visit the parents, explain EI, and explain the evaluation process. You provide PWN for the evaluation. The earliest the evaluation could be scheduled would be July 20, unless the parent waived the 10-day PWN. If the parent waived the 10-day PWN, the evaluation could be conducted at any time, including July 9. Prior to conducting the evaluation, you would obtain consent from the parent to complete the evaluation. An example using a screening would be handled identically to the evaluation example. NOTE: A parent must give consent in WRITING, per the definition of consent.

Q: DODD is saying that we need to wait 10 days before completing the activity and DODD was using the example as "sign on the 1st provide the activity on the 11th. How do we count the 10 days?

A: The day you provide the PWN is day one. Count 10 days. Conduct the activity on the 11th day or later. Note: the 10 days is for the PWN. It is not 10 days after consent is provided.

Q: If we complete HEA-8018 prior to 7/1/19, but evaluation and/or child assessment does not happen until after 7/1/19, does EI-02 need to be completed?

A: Any activity required for obtaining consent or giving PWN prior to July 1 may be done using the forms and processes in effect prior to July 1, 2019.

Q: Can any EI team member gain consent from the parent for evaluation, or just the Service Coordinator?

A: Generally, it is expected that the EISC will provide PWN and obtain consent from the parent prior to an evaluation being conducted. However, a member of the evaluation team could provide PWN and obtain consent. It remains the responsibility of the EISC to ENSURE the PWN is provided and parent consent is obtained prior to the evaluation (see 5123-10-02, (F)(3)).

Q: EI-02 would not be used if say another provider is coming in for a consultation then since that would be part of ongoing planning? Right?

A: Correct.

Q: So, are we actually doing 2 PWN's? one for screening and then if need to go on for eval do another?

Answer: Yes, if you are proposing to conduct both activities.

Q: If the team is available for evaluation/assessment prior to the 10 days, but the parent declines and wants the full 10 days (as is their right), then does that waive the 45-day timeline?

A: If the parent does not waive the 10-day requirement for PWN, the activity may not occur until the 10 days have elapsed.

Q: When do the PWN notice forms for evaluation, assessment need to be given to the family? The date they sign, prior to the event or can they be attached to the IFSP at the 45-day timeline?

A: They must be given at least ten days prior to the activity being proposed.

EI-03 Prior Written Notice and Consent for Family-Directed Assessment

Q: For both EI-02 and EI-03, do we need to complete annually?

A: These need to be completed anytime a child evaluation or assessment (EI-02) or FDA (EI-03) is conducted. As every child and family will have an annual assessment, they will be completed at least annually. It is not necessary for ongoing assessment for program planning.

Q: Does the parent signature on these forms expire? Is one form enough until the child turns three?

A: These PWN and consent forms are for very specific activities with specific timelines. So, while the consent does not technically “expire,” the consent is ONLY valid for the activity that was described by the EISC.

Q: Do we need to get a new signature every time we complete an assessment?

A: Yes, for the annual assessment. No for ongoing assessment for program planning.

Q: If a parent only wants a screening and no evaluation because there is no concern for delay or disability...does EI-03 need to be signed as I do not consent to family directed assessment, or EI-02 for evaluation?

A: If only a developmental screening is proposed, then no other forms are needed (only EI-01).

Q: Will you please confirm this would also mean any evaluation or assessment completed outside of initial or redetermination? i.e.: the SLP and parent would like to complete a CAAP-2. Do we need EI-02?

Answer: Is the assessment for ongoing assessment purposes? If so, no PWN is needed for ongoing assessment for program planning.

EI-05 Consent to Use Insurance for Early Intervention Services

Q: There are two sections. It is assumed a “yes/no/child does not have insurance” would be checked for both sections. Is it necessary for the parent to sign on both sections or can the parent not sign on the section if the box “my child does not have public/private insurance” is checked?

A: There are now two separate sections: one for private insurance and one for public insurance. Both sections need to be completed.

Q: Does this need reviewed with parent at EVERY IFSP review?

A: As stated in the forms training (on [MyLearning](#)), this form must be completed in the first 45 days (prior to the initial or during an IFSP meeting), and within 45 days of the annual IFSP.

EI-06 Consent for Release of Records and Exchange of Information

Q: Please explain the difference between pages one and two. Must both be filled out? Typically, how many ROIs might a child have? Is one ROI with multiple agencies/people sufficient if parent agrees?

A: You complete the very top of the front side of the form with the necessary demographic information. You then explain the activity using the information in the first paragraph. The front side of the form is used to release *information that is part of the EI record*. The back side of the form is used to *share information* that is not part of the EI record (e.g., to discuss the contents of an IFSP with a child’s physician). Depending on what the parent wants to share, one or both sides of the form will be completed and signed.

Q: The box on the top right corner, “Service Coordinator Use only;” when is this box completed? What is the purpose?

A: The EISC records the date the form received from other EI qualified personnel (WHEN APPLICABLE). The EISC case notes are supporting documenting about origin of form (e.g. POLR provider or primary service provider). Additional details are available in the forms training.

Q: On page 2 in the first box regarding consent for release/exchange of information orally, in writing or electronically, what are some examples of what would be filled in to answer the question of “the following information?”

A: This will vary by situation. The description and level of detail should match what is necessary to meet the need of why the parent wants to share the information.

Q: If we are only using one page (just wanting to send another provider an email update, but not the IFSP or any assessments), do we cross out the boxes on the first page or write N/A?

A: Write N/A in the parent signature section and leave the rest of the form blank.

Q: Please review again the difference between a qualified EI provider and a participating agency.

A: Participating agency is a little broader than just EI service providers and includes Central Intake and DODD.

Q: This form EI-06 does not need signed in regard to transition and sharing via the quarterly LEA reports, right? We are not releasing any records with that report. Are the LEAs considered a participating agency?

A: In order to share information with the LEA in the quarterly LEA report, you must obtain parent consent using form EI-07 (top half). LEAs are not considered a participating agency, so consent must be obtained using EI-06 to share any information with an LEA.

Q: If a family is involved with HMG HV program, should we have a consent signed? Not sure if that program piece falls under an EI provider. Does it make a difference if the EI program and HV program are at the same agency?

A: Parents must provide written consent to RELEASE or share any information with the HV program personnel. This applies even when the programs are in the same agency.

Q: Does EI personnel include contracted POLR providers?

A: Absolutely.

Q: Does a separate consent need to be completed for each entity records are released to or shared with...e.g. separate for school district, physician, etc. or just one "blanket" release?

A: It depends on the parent preference. Please review the language in the explanation section of the form. Sometimes parents will not want all providers knowing to whom consent has been given.

Q: Is there a list of all providers that we do not need consent/release for?

Answer: Anyone part of the EI system (EI service provider and participating agency as defined in 5123-10-02).

Q: Would an EI-06 need to be completed in order to share a copy of the IFSP with the LEA? EI-07 does not have this listed.

A: Yes. Parent consent must be obtained using EI-06 to release records to the LEA.

Q: Is the form EI-06 HIPAA compliant? Some larger hospitals such as Akron Children's and Nationwide didn't accept our previous release of information form and required we fill out their form. Will this consent form work for them as well? Or will a separate release of information still be necessary?

A: This is an EI form only. Page one of this form is required for EI to release records to others – so you should be able to release EI records to a hospital if that is what the parent wants, and the hospital should accept them. Generally medical facilities will require use of their own form for THEM to release records to others, including to EI. So, the parents will typically need to request, via some other form, the medical facility to release their records to EI.

EI-07 Consents for Transition

Q: If a parent checks they do not give consent for a TPC, then the child has no transition planning? Previously, all children were required to have a TPC whether the school district was invited or not.

A: If a parent does not give consent to hold a TPC, no TPC will be held. The IFSP transition outcome is, however, required for all children and we would expect all EI providers to facilitate a smooth transition to the child's next learning environment.

Q: EI-07 is now completed closest to child's 2nd birthday instead of closest to age 18 months?

A: the top section.... yes. This is a change from current rule. See 5123-10-02, (L)(1).

EI-10 Prior Written Notice of Exiting

Q: If the exit cannot occur until at least ten days prior to the PWN, then it is no longer the date a child is found to be ineligible or screened out or a parent declines services; correct? (e.g. a child is screened out 7/1/19. Exit date becomes 7/11/19. A child is found ineligible or not in need of services on 7/1/19. Exit date is 7/11/19. A parent states they no longer want services on 7/1/19. Exit date is 7/11/19.)

A: The exit may not occur until 10 days AFTER the PWN. Yes, correct. There is no longer a “determination of not in need of services.” All children determined eligible are PRESUMED to be in need of services. These examples are close to correct. But actually the 10 days start when the PWN is sent or given to the parent, not necessarily the date the child, say, is found to be ineligible as the PWN might be sent on a different date (e.g. the team might need several days to write up the report).

Q: Is this ten days from the date above, or from when the PWN is sent? For example, I am at a periodic IFSP review on 7/1/19, and the family states they no longer want services. This is unanticipated. I cannot send the PWN of Exit until 7/3/19 due to scheduling and appointments. Is the exit date then 7/13/19 because it is ten days from when the PWN of Exit was sent?

A: You have grasped the concept. The exit date would be 7/14.

Q: Which box is selected if the child is exiting due to moving to another county in Ohio and needs to be transferred? Clearly there is no option to waive 10 days' notice for this, so is it correct to assume we will let the parent know the transfer will occur after 10 days?

A: A transfer in and of itself is not necessarily an exit from the EI system. In some cases, families will leave the EI system because of loss of contact or a desire to stop services while they move and then wish to re-engage with EI in a new county. In these cases where the family has left the EI system, PWN of exit is required. If a family is simply changing counties and is planning a seamless transfer, PWN of exit is not required because the family is not leaving the EI system.

Requirements for transfer may be found in 5123-10-02, (P) (4)

Q: Does the box “your child does not meet the eligibility requirements for EI services” apply for re-determination of eligibility as well?

A: Yes.

Q: Confirming that EI-09 and EI-10 can be sent together.

A: Correct.

Q: What happens if the family is moving to another state?

A: In this scenario, you would check the “your child moved out of the state of Ohio” on form EI-10.

[EI-11 Prior Written Notice of Proposed Change to IFSP](#)

Q: Can any team member fill this out?

A: Yes, it is designed to be completed by EI personnel proposing a change of EI service.

Q: Are we required to wait ten days for new/change to services? Is there any way to offer services sooner (higher/lower frequency of visits/adding SLP and the provider has the availability to go out on the next visit)? If there is a way we can offer the change in service sooner than 10 days, please provide an example.

A: Adding, decreasing or discontinuing EI services on the IFSP (grid) requires PWN. Exception is when a one-time support from an SSP is needed to support a PSP. Services may ONLY start sooner than the 10 days required in PWN if the parent wants to waive the timeline. That decision is up to the parent and is optional.

Q: So just to clarify we need the PWN EI-11 and EI-13 for the initial IFSP?

A: Correct. You will use EI-13 PRIOR to the IFSP meeting (as a meeting notice form). You will then provide PWN using EI-11 for any services you begin, end or change.

Q: For EI-11, if the parent DOES waive 10-day wait, would the proposed date of change box still say 10 days later or reflect the earlier date the parent had agreed upon?

A: If the parent waives the 10-day PWN and the provider is available to begin services within 10 days, the projected start date on the IFSP would also match.

Q: EI-11 says "EI service provider" initiates change then PWN is needed. If parent requests to change outcome or frequency/duration does PWN have to be completed?

A: The request from the parent would trigger an IFSP review. After the team comes together for the review, if the frequency of the service is changed, PWN would be provided prior to making the change. PWN is not required to change an outcome.

EI-13 IFSP Meeting Notice

Q: Can you clarify how this works with transition?

A: This notice is given to the family and other participants inviting them to the TPC (last box). At least one other box will also be checked, indicating whether the IFSP meeting is initial, annual or periodic review.

Q: So, we will need to send this form (EI-13) along with a PWN form for most and maybe all IFSP meetings?

A: The EI-13 meeting notice form must be sent prior to any IFSP meeting. The EI-11 PWN form will be provided at any IFSP meeting when there is a change to a service.

EI-14 Professional Referral Follow-up

Q: If the professional referring the child to EI is within the EI system, do we still need specific consent to send the referral follow-up?

A: As long as the referring entity meets the definition of "participating agency," no consent for follow up is needed.

Q: If a parent signs consent to share information for referral follow-up, does the parent also need to complete a separate ROI form?

A: For referral follow up, NO RECORDS are released. If the parent wants records to be released, then EI-06 will be required.

EI-15 Determination of Parent Ability to Pay for Early Intervention Services

Q: Are we still completing EI 15 at initial visit?

A: This form must be completed at a minimum, prior to the initial and each annual IFSP.

Q: So EI-05 and EI-15 will both be completed with families at the initial visit? or is EI-05 only used if we get close to the 55 units of service?

A: Both public and private insurance are part of the EI system of payments. Both, where applicable, and with parent consent, must be accessed PRIOR to using POLR (Part C) funds. Therefore, this form must be completed prior to the initial and annual IFSPs at a minimum.

Other/General

Q: With all these new timelines are we having more than 45-day timeline to complete everything or still will be 45 days?

A: The timelines have not changed. The requirements for PWN and consent have not changed. The forms have changed, but we believe these provide more detailed information and have provided training on the forms in advance. The EI Consultants will continue to be available to support local EI programs during the transition.

Q: If the parent chooses NOT to waive for each individual activity, evaluation, FDA, IFSP, and we are beyond the 45-day timeline- will that be an acceptable NCR?

A: The 45-day timeline applies even if the parent does not waive PWN and exceeding the 45-day timeline in this situation is *not* an acceptable non-compliance reason. The 45-day timeline and PWN requirements have not changed from the earlier rules.

Q: Will EIDS have a tickler system to alert a SC that you are exiting prior to 10 days or a waiver is needed?

A: Not at this time.

Q: How do we maintain a copy if we need to give the family a copy? On all of these forms, do the parents keep one and we keep one? or do we have them sign and we keep it?

A: Refer to the forms training. A blank copy may be given to the parent as it is only the PWN of which the parent must have a copy.

Q: Could you explain why there is a 10 day wait....it doesn't make sense to me.

Answer: This is a federal requirement and part of parent rights.

Q: It looks like most of these new forms will be completed at the initial visit, is that true?

Answer: Many of them will – check the [PWN and Consents Crosswalk](#).

Q: Will the forms also be in Spanish?

A: Yes.

Q: What happens if they lose the form after mailed and we do not get it back?

A: The responsibility is on the EI personnel to **provide PWN** and DOCUMENT that PWN is provided. The parent does not send the PWN form back to the SC. Obviously, the parent consent must still be obtained in writing, but this may be done at a later date.

Q: Currently POLR providers ask for policy numbers and card holders name and DOB. Is this the SC's responsibility or the POLR providers responsibility to obtain?

A: Part of the EISC's responsibility is to coordinate funding for EI services. This may include facilitating the transfer of insurance information to a provider.

Q: Do you tell the parent about the 10-day waiver over the phone when you are scheduling it?

A: You may explain PWN over the phone, but you can only obtain consent in writing, and parent waiver must also be in writing.

Q: What if you wait until the visit to have the family sign the waiver of time line. Do you need a carbon copy, could you have them sign 2 forms and you keep one or could you take a picture? How do you keep for the file?

A: You may give the parent a blank copy of some PWN forms (EI-01, EI-02, and EI-03). Others will be completed (for example EI-10 and 11) and a copy given to the parent.