Five Area Assessment (5AA) Documentation

5AAs must be completed using one (1) of the Cabinet-approved criterion-referenced instruments:

- Assessment, Evaluation, and Programming System for Infants and Toddlers (AEPS),
- Carolina Curriculum for Infants and Toddlers with Special Needs (Carolina/CCITSN), and
- Hawaii Early Learning Profile (HELP).

Annual and Exit 5AAs are conducted to:

- determine if a child is making progress on Indicator 3: Federal Child Outcomes:
  3A. Positive social-emotional skills (including social relationships),
  3B. Acquisition and use of knowledge and skills (including early language/communication) and
  3C. Use of appropriate behaviors to meet their needs.
- provide information on the child's progress for the annual redetermination of eligibility.
- measure the effectiveness of early intervention in Kentucky.

The data is reported annually to the U.S. Department of Education's Office of Special Education Programs (OSEP).

The 5AAs conducted at entry, annual redetermination of eligibility, or exit must be entered in the Kentucky Early Childhood Data System (KEDS) data portal. Providers will receive a verification code after the required data has been entered into KEDS. For KEIS families to receive their written report, the 5AA assessment must also be entered into the KEIS data system (TOTS) on the "Evaluation/ Assessment" page. Documentation that the report was mailed to the family should be recorded in the service log.

The assessment payment is a single flat rate. It includes time to administer the assessment, enter it in KEDS and TOTS, and provide the family with a copy of the report. The assessment is billed to KEIS by entering a Service Log after the assessment has been entered into KEDS and TOTS. The assessment date must be consistent on all three entries (KEDS, TOTS Evaluation/Assessment page, and Service Log page). The provider first enters data in KEDS and receives a verification code. Then the assessment report is entered in TOTS, and finally, a Service Log is completed. All tasks must happen in sequence for reimbursement, or the payment for assessment will be rejected until fully completed.

Kentucky Regulations require that a "formal, direct assessment shall include a written report" (902 KAR 30:130 Section 1 (7)). The report must include:

- A description of the assessment instrument used;
- A description of assessment activities;
- Identifying information including:
  - The child's [KEIS] Identification number;
  - The name of the child;
  - The child's age at the time of assessment;
  - The name of the service provider and discipline;
  - The date of the assessment;
  - The setting of the assessment;
  - The state of the child's health during the assessment, including a statement concerning vision and hearing status;
  - The parent's assessment of the child's performance in comparison to abilities demonstrated by the child in more familiar circumstances;

- o The medical diagnosis if the child has an Established Risk Condition; and
- o Individuals present at the assessment; and
- A profile of the child's level of performance in a narrative form, which shall indicate the following:
  - o Child's unique strengths and needs;
  - o Skills achieved since the last report, if applicable [annual, exit assessments]; and
  - o Current and emerging skills, including skills performed independently and with assistance.
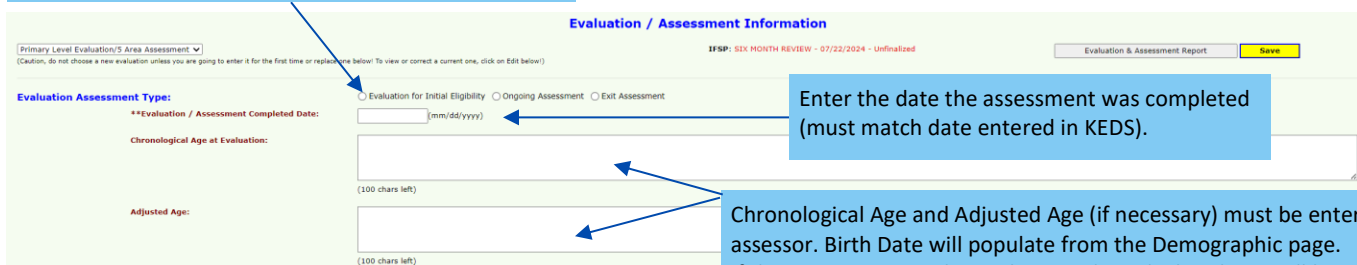
Reports Must not Include

- Statements of eligibility or recommendations for eligibility,
- Recommendations for record review,
- Recommendations for specific early intervention services, including method, frequency, and intensity,
- Recommendations for services from a specific professional discipline,
- Recommendations for specific programs, or
- Business solicitations.

According to the federal Individuals with Disabilities Education Act (IDEA), the IFSP team is the only authorized entity to identify which early intervention services are provided.

Entering the Assessment Report on TOTS

The TOTS Evaluation/Assessment Information page includes all required regulatory components. Select "Primary Level Evaluation/5 Area Assessment" from the drop-down menu at the top of the page, and the assessment template will populate.

Indicate the evaluation/assessment type.
Click on one of these three choices: Evaluation for Initial Eligibility, Ongoing Assessment, or Exit Assessment.

Evaluation / Assessment Information

Primary Level Evaluation/5 Area Assessment ∨
(Caution, do not choose a new evaluation unless you are going to enter it for the first time or replace one below! To view or correct a current one, click on Edit below!)

IFSP: SIX MONTH REVIEW - 07/22/2024 - Unfinalized   Evaluation & Assessment Report   Save

Evaluation Assessment Type: ○ Evaluation for Initial Eligibility ○ Ongoing Assessment ○ Exit Assessment

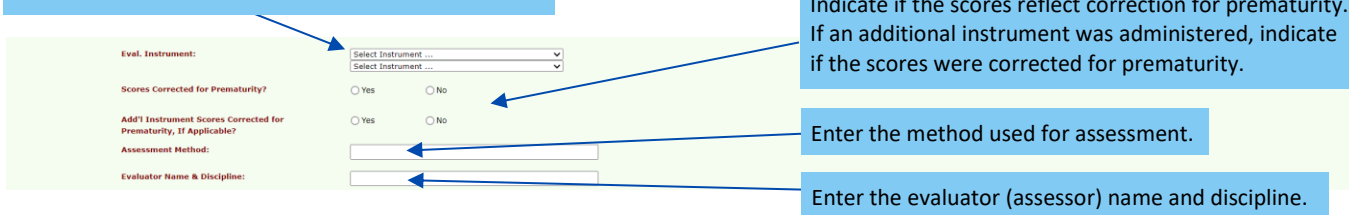**Evaluation / Assessment Completed Date: [   ] (mm/dd/yyyy)

Enter the date the assessment was completed (must match date entered in KEDS).

Chronological Age at Evaluation:

(100 chars left)

Adjusted Age:

(100 chars left)

Chronological Age and Adjusted Age (if necessary) must be entered by the assessor. Birth Date will populate from the Demographic page.
If there is an error in the Birth Date, the Calculated Age will be invalid. The Adjusted Age must be calculated according to the instrument requirements.

These are drop-down lists of assessment instruments.
Choose the correct instrument(s) used.

Eval. Instrument: Select Instrument ... ∨
                     Select Instrument ... ∨

Indicate if the scores reflect correction for prematurity.
If an additional instrument was administered, indicate if the scores were corrected for prematurity.

Scores Corrected for Prematurity?   ○ Yes   ○ No

Add'l Instrument Scores Corrected for Prematurity, If Applicable?   ○ Yes   ○ No

Assessment Method: [   ]

Enter the method used for assessment.

Evaluator Name & Discipline: [   ]

Enter the evaluator (assessor) name and discipline.

Behavioral Observations on the Day of Assessment (include child's general health, vision and hearing status during assessment):

Assessor will then enter a short narrative

(3980 chars left)

Behavioral Observations must include objective health observations/concerns including vision and hearing status found on the evaluation day. Note any health concerns that impact the child's performance such as medications, illness, fatigue, etc.

Setting for Evaluation:

(1000 chars left)

Enter the setting where the evaluation occurred.

Individuals Present (list interpreter, if present):

(1000 chars left)

Enter each individual present during the evaluation.

Reason Parent/Guardian Consented to Assessment:

(2000 chars left)

Enter a brief statement of why the parent wanted the evaluation. Include any specific concerns the parent identified.

Parent/Guardian Perspective on Child's Assessment Performance (include progress since the last time this child was assessed, if applicable):

(2000 chars left)

Enter the parent's perspective on the child's performance—did the assessor see the child performing as they typically do? If this is an annual or exit 5AA, what is the parent's view of the child's progress over time?

The next section contains domain-specific information for the five (5) developmental domains: motor, cognitive, communication, adaptive, and social-emotional. The guidance for all developmental domains is the same. The motor domain is shown below as one example. Note that the motor and communication domains have boxes for subdomain standard deviations. These boxes are helpful but not required.

Domain Specific Information:
Note: The domain information should target the construct or skills/knowledge that test items measure and not simply a list of specific test items. Information from the 5AA to be emb...
The domain scores should be discussed as within the range of typical development, slightly below typical development, significantly below typical development.

| 1. Motor | Save | | | |
| Combined Standard Deviation: | | Gross Standard Deviation: | | Fine Standard Deviation: |

Standard deviation boxes are only used for norm-referenced instruments. These are not used when conducting annual and exit 5AAs.

Clinical Observations:

(3980 chars left)

Notes:

(3980 chars left)

The "Notes" section is used for general strategies that the family could use to enhance their child's development. Do not make recommendations for services. The information entered here will carry forward to the assessment report and will be printed on the IFSP. The "Notes" section may be left blank.

Enter the child's functioning based on the observations during the assessment. These observations must describe the functional skills targeted by the assessment items, not just a list of test items. This section will include all findings from the multiple instruments used for initial evaluations for children suspected of a developmental delay; annual and exit assessments will include only the 5AA results.

Complete each domain according to the guidance above. Providers may save the data they have entered in one of two ways.
1. **Individual domains**: Click the yellow "Save" button at the top of each developmental domain, or
2. **All domains**: Click the yellow "Save" button at the top right corner of the Evaluation/Assessment Information page.

Entering the Assessment Report on TOTS

Summary Information:

Composite Score:

(100 chars left)

The Composite Score section is only used for norm-referenced instruments. This field is not required when conducting a 5AA.

Summary:

Evaluator assessment synthesis is to be a synthesis of assessment results and clinical knowledge of the evaluator in narrative form focusing on global observations linked to the domains. Interpretations of the domain scores within the range of typical development needs to be addressed and linkages between domains identified (i.e., low communication may impact scores in adaptive and social emotional). Validity of scores given the limitations of the instrument should also be addressed. The reader should know how the child performs according to the 3 OSEP outcomes: A. Positive social-emotional skills (including social relationships), B. Acquisition and use of knowledge and skills (including early language/communication) and; C. Use of appropriate behaviors to meet their needs Reader should also have a generally accurate picture of the child in the context of strengths, needs and preferences in the typical environments of the child and the family's satisfaction with the child's functioning in typical routines.

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The "Summary" reflects the interpretation of assessment results in the context of the assessor's knowledge of typical and atypical development. The overall functioning of the child needs to be described using the OSEP Indicator 3: child outcomes as the framework for the interpretation by the assessor. This section should be the richest section of the report and give readers a good basic understanding of the child's current developmental status.

This section is the foundation for an appropriate IFSP. Do not include the reason for referral, subjective descriptions of the child and/or family, or a thank you to the family. Also, do not document that results were shared with parents and/or report sent to POE. Follow-up assessment activities should be documented in a communication or service log entry.

Once the assessment information has been completed on the "Evaluation/Assessment Information" page on TOTS, click the yellow "Save" button at the top right corner of the page. This action saves the evaluation and copies it to the "Current Evaluation" section at the bottom of the page.

It is important to check your work's accuracy, spelling, and grammar errors before printing. If errors are found, click the "Edit/View" button next to the report in the "Current Evaluation" section, and the entered information will return to the top portion of the page for corrections and completing the report. Once corrections are completed, use the yellow "Save" button at the top right corner of the "Evaluation/Assessment Information" page. This will save any new changes to the initial report.

Populate the evaluation report by clicking the gray "Evaluation & Assessment Report" button at the top right corner of the page. Once the report populates, select the "Export to Word" button in the top right corner of the report. This will allow the margins to print correctly. The printed report includes a section for the assessor to provide signature and date. A signed report must be provided to the family.

5AA Timelines

- **Five (5) working days:** enter the assessment into KEDS and TOTS, complete the written report, and provide a copy to the family. Documentation that the report was provided to the family should also be found in the child's TOTS record. Complete the written report, provide a copy to the family, and document the date it was provided to the family in the Service Log.
- **Ten (10) calendar days**: complete the TOTS service log to bill for the assessment.
- **Annual 5AA**: must be completed at least thirty (30) but no more than sixty (60) calendar days before the annual IFSP date.
- **Exit Assessments:** must be completed within thirty (30) calendar days before the child's third birthday.
  - An Exit Assessment does not need to be completed if:
    - A child is leaving the program, and the annual assessment was completed within ninety (90) calendar days before their exit.

Entering a Service Log Once the 5AA is Completed

Providers are eligible for assessment reimbursement when the following steps occur in this order:
1. assessment data has been entered into KEDS and verified (verification code received upon saving the assessment entry in KEDS),
2. the evaluation report has been entered on the Evaluation/Assessment Information page on TOTS, and
3. a service log is entered to document and create a pending claim for the visit.

Ensure you are billing for your service under the correct IFSP from the drop-down menu. The planned period dates populate according to the IFSP that is selected.

Under "Service" select "Five Area Assessment (Individual)" from the drop-down menu.

Select a Plan to Add Service Log (if it is not on current plan):
ANNUAL - 01/26/2024 (Note: Except for services authorized prior to the Initial Service Plan, service logs cannot be entered on plans marked "Pending". Choose another plan or contact the SC for assistance.)

Add Service Log:

*Service(#,#)	Provider	Planned Period	Planned Setting	Frequency	Length
Five Area Assessment (Individual, Asse ▼	Mary Mover - KEIS Test Agency	06/01/2024 - 07/01/2024	Family/Guardian Home	1/Biannual	0 (hours, or miles)

*Actual or Missed Service Date	*Service Delivery Status	*Start Time	*End Time	*Actual Setting	CPT Code	ICD Code
(Note: If late entry (>10 days), enter reason in Addendum box. May result in reduced payment.)	○ Service Delivered ○ Absence Due to Family	(hh:mm) EST	(hh:mm) EST If your service	Select Setting ... ▼	(CPT code) (Code modifier)	

Enter the date of service (used for KEDS and the TOTS assessment report), service delivery status. and start and end times of the visit.

Select the setting where the assessment took place from the drop-down menu.

CPT and ICD codes are optional when completing an assessment service log entry.

*Service Note/Description of Intervention
Document coaching interactions within child and family routines to support function and active engagement with the environment, including how ... ed during visit. Service note must provide clear, unique and detailed description of the visit.

In the "Service Note/Description of Intervention" section, please write: "Completed and entered the 5AA. For more information, please refer to the evaluation/assessment information page."

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The "Service Date" must match the date entered in KEDS and the TOTS Evaluation/Assessment page. After entering the required information, double-check for accuracy (i.e., is it the correct child's record, IFSP, date of service?) and revise any spelling/grammar issues. Click the blue "Save" arrow at the bottom of the page.
The completed Service Log will be archived by date at the bottom of the "Service Log Information" page on TOTS. Once saved, a pending claim will open on the "Accounts Payable" page to bill for the provided service and receive payment.