

**STATE OF SOUTH CAROLINA
COUNTY OF RICHLAND**

In the Matter of Protest of:

PlayWorks, Inc.

Materials Management Office
RFP No. 5400003286
Intellectual Disability, Autism, Head &
Spinal Cord Injury Services
Department of Disabilities and Special
Needs

BEFORE THE CHIEF PROCUREMENT OFFICER

DECISION

CASE NO.: 2012-125

POSTING DATE: July 23, 2012

MAILING DATE: July 23, 2012

This matter is before the Chief Procurement Officer (CPO) pursuant to a letter of protest from PlayWorks, Inc. (PlayWorks). With this request for proposals (RFP), the Materials Management Office (MMO) attempts to procure intellectual disability, autism, and spinal cord injury services for the Department of Disabilities and Special Needs (DDSN). In the letter, PlayWorks protested MMO's intent to award to Palmetto Early Intervention Service (Palmetto) alleging "we have evidence leads (sic) us to the opinion that Vickie Phillips (the owner of Palmetto) does not adequately have the ability to fulfill the contract services."

In order to resolve the matter, the CPO conducted a hearing July 12, 2012. Appearing before the CPO were PlayWorks, represented by Cynthia Seagle, Rachel Wilkins, and Paula White; Palmetto, represented by Matthew A. Henderson, Esquire; DDSN, represented by Tana Vanderbilt, Esquire; and MMO, represented by John Stevens, State Procurement Officer.

NATURE OF PROTEST

The letter of protest is attached and incorporated herein by reference.

FINDINGS OF FACT

The following dates are relevant to the protest:

1. On August 3, 2011, MMO issued the RFP. (Ex. 1)

2. On August 8, 2011, MMO issued Amendment # 1. (Ex. 2)
3. On August 23, 2011, MMO issued Amendment # 2. (Ex. 6)
4. On May 25, 2012, MMO posted an intent to award to Palmetto. (Ex. 8)¹
5. On June 4, 2012, PlayWorks filed its protest with the CPO.

DISCUSSION

With this RFP, MMO attempts to contract with a pool of prequalified providers to provide various levels of care for DDSN clients suffering from intellectual disability, autism, and spinal cord injury. The RFP stated, “Award will be made to all responsive and responsible offerors whose offer is determined to be the *[sic]* advantageous to the State and who receive a minimum score in each of the five (5) categories as indicated in the Evaluation Factors – Proposals below. All awarded providers will be placed on a Qualified Provider List (QPL) from which people eligible for DDSN service may select.” (Ex. 1, p. 39, Award Criteria – Proposals) The evaluation factors with minimum scores were: (1) Ability to Address Assurances and Meet Standards of Service – 30 points, (2) Quality Management Functions – 18 points, (3) Qualifications, Capacity, Staffing/Training – 24 points, (4) Funding Plan/Rates – 18 points, and (5) Automation – 6 points. (Ex. 6, p. 3, Evaluation Factors – Proposals)

Offerors were asked to “indicate the populations of people you wish to serve” including intellectual disability/related disability, autism, and head and spinal cord injury. (Ex. 2) Offerors were also asked to “indicate for each population of people, the services you wish to provide” including various levels of care such as home support, employment services, day services, residential habilitation at various levels, financial management, services coordination, and early

¹ Responses are evaluated periodically and awards are posted on a “rolling” basis. PlayWorks was previously awarded Contract No. 4400004224, effective October 1, 2011.

intervention. Once the contracts are awarded to prequalified providers, eligible DDSN clients and their families will select their own providers.

Palmetto offered to serve all three populations: intellectually disability/related disability, autism, and head and spinal cord injuries. (Ex. 7, Attachment # 11)

The proposals were evaluated by two teams of evaluators. Team 1 evaluated the proposals for program issues including quality management and standards of care. Team 2 evaluated the proposals for finance issues including funding, rate/price, qualifications, capacity and training. Their evaluation of Palmetto’s proposal resulted in the following scores:

Category	Minimum Score Required	Team 1’s Scores of Palmetto	Team 2’s Scores of Palmetto
(1) Ability to Address Assurances and Meet Standards of Service	30 points	30 Points	
(2) Quality Management Functions	18 points	18 Points	
(3) Qualifications, Capacity, Staffing/Training	24 points		24 points
(4) Funding Plan/Rates	18 points		18 points
(5) Automation	6 points		6 points
Totals	96 points	48 points	48 points
Grand Totals	96 points required	96 points received	

PlayWorks protests “we have evidence leads *[sic]* us to the opinion that Vickie Phillips (the owner of Palmetto) does not adequately have the ability to fulfill the contract services.”

PlayWorks submitted with its protest internal forms titled “Notice of Disciplinary Action” and “Work Plan of Correction,” and reviews of Ms. Phillips’ work when Ms. Phillips was an employee of PlayWorks as evidence of Ms. Phillips’ “history of unsatisfactory/negligent performance.”

Cynthia Seagle of PlayWorks testified regarding Ms. Phillips’ performance with PlayWorks stating that Ms. Phillips “required more supervision than others.” She stated Ms. Phillips’ deficiencies regarded documentation and billing, not patient and family treatment. According to Ms. Seagle, PlayWorks did not receive complaints from the families. Yet, she expressed concern about another award in “our home town.” Paula White, also of PlayWorks, testified that she audited Ms. Phillips’ patient files and found deficiencies with Ms. Phillips’ service notes documenting treatment, calls, and interactions. She stated, however, that Ms. Phillips was well loved by families of patients. Ms. White indicated Ms. Phillips’ deficiencies were not a question of her ability or character; they involved her notes and paperwork. Rachel Wilkins stated Ms. Phillips’ files made it difficult to tell what had been done, calling it “alarming.”

Palmetto responded arguing the allegations regarding Ms. Phillips did not regard her competence, but rather the adequacy of her files. Ms. Phillips stated that she worked for three years with PlayWorks before she started her own company, a dream of hers. She stated that neither DDSN, nor the Department of Social Services had ever expressed a problem with her paperwork. The state’s quality improvement organization (QIO) contractors, who complete file reviews for DDSN, had reviewed her files.

LEGAL AUTHORITY

The duty of determining the responsibility of offerors to the RFP falls upon the procurement manager, Chris Manos. In this case, since the goal of this procurement was to pre-

qualify offerors and award contracts for selection by DDSN clients and their families, the DDSN evaluators played a pivotal role in Mr. Manos' determination through their evaluation of Palmetto's proposal.

Responsibility of Palmetto as an Offeror

Regarding award of a RFP, the South Carolina Consolidated Procurement Code (Code) reads, "Award must be made to the responsible offeror whose proposal is determined in writing to be the most advantageous to the State, taking into consideration price and the evaluation factors set forth in the request for proposals..." (11-35-1530(9)) Only a responsible offeror may be awarded a contract. The Code reads, "Responsibility of the bidder or offeror shall be ascertained for each contract let by the State based upon full disclosure to the procurement officer concerning capacity to meet the terms of the contracts and based upon past record of performance for similar contracts." (11-35-1810(1)) The Code defines a responsible offeror as, "a person who has the capability in all respects to perform fully the contract requirements and the integrity and reliability which will assure good faith performance which may be substantiated by past performance." (11-35-1410(6))

Pursuant to Regulation 19-445.2125(A) promulgated by the South Carolina Budget and Control Board, factors to be considered include whether a prospective contractor has:

- (1) available the appropriate financial, material, equipment, facility, and personnel resources and expertise, or the ability to obtain them, necessary to indicate its capability to meet all contractual requirements;
- (2) a satisfactory record of performance;
- (3) a satisfactory record of integrity;
- (4) qualified legally to contract with the State; and
- (5) supplied all necessary information in connection with the inquiry concerning responsibility.

According to the South Carolina Procurement Review Panel (Panel), the procurement officer is obligated to determine responsibility before award and may consider any source of information. *Protest of CollegeSource, Inc.*, Panel Case No. 2008-4 (citing Code Section 11-35-1810(1) and Reg.19-445.2125(B)). A procurement officer's responsibility determination is a matter of discretion and cannot be overturned unless the protestant shows it was "clearly erroneous, arbitrary, capricious, or contrary to law." Code Section 11-35-2410(A). In *Protest of Value Options*, Panel Case No. 2001-7, the Panel noted that procurement officers are given broad discretion in making their responsibility determinations because these are a matter of business judgment. The Panel explained that "[t]o prove arbitrary and capricious conduct such as will permit the court to overturn a procurement decision, the aggrieved bidder must demonstrate a lack of reasonable or rational basis for the agency decision or subjective bad faith on the part of the procuring officer or clear and prejudicial violation of relevant statutes and regulations which would be tantamount to a lack of reasonable or rational basis." *Id.*, citing *Robert E. Derecktor of Rhode Island, Inc. v. Goldschmidt*, 516 F.Supp. 1085 (D.C. R.I. 1981).

Evaluation of Palmetto's Proposal

Pursuant to Section 11-35-2410(A) of the Code, a determination by the State as to which proposal is the most advantageous, after taking into consideration price and the other evaluation criteria, is final and conclusive unless such determination is "clearly erroneous, arbitrary, capricious, or contrary to law." On several occasions, the Panel has held that it [the Panel] will not re-evaluate proposals and will not substitute its judgment for the judgment of the evaluators, who are often experts in their fields, or disturb their findings so long as they follow the requirements of the Code and the RFP, fairly consider all proposals and are not actually biased. *See, e.g., Protest of Santee Wateree Regional Transportation Authority*, Panel Case No. 2000-5 (reaffirming that the evaluation process need not be perfect as long as it's fair and the Panel will

not re-evaluate proposals); *Protest of Transportation Management Services, Inc.*, Panel Case No. 2000-3 (finding that the evaluation process is not required to be perfect and that the Panel will not re-evaluate proposals); *Protest of First Sun EAP Alliance*, Panel Case No. 1994-11 (noting that the Panel will not disturb the evaluators' findings so long as they following the Code and the RFP's requirements, fairly consider all proposals and are not actually biased); *Protest of Volume Services*, Panel Case No. 1994-8 (holding that the Panel will not substitute its judgment for that of the evaluators). In the *Santee Wateree* case, *ante*, the Panel also explained that subjectivity is the hallmark of the RFP process and does not equate with arbitrariness. Moreover, the Panel has found that "the variation of evaluators' scores alone is only proof of the subjective nature of the evaluation aspect of the RFP process." *Protest of Travelsigns*, Panel Case No. 1995-8. Regardless, the protestant bears the burden of proof to demonstrate by a preponderance of the evidence that the evaluators' determinations were flawed. *Id.*

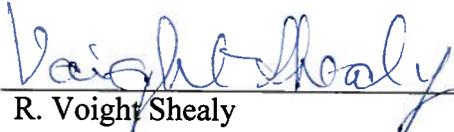
DETERMINATION

Contractors receiving awards under this RFP care for some of the state's most vulnerable citizens. Any allegation of non-responsibility on the part of one of these contractors demands special attention. The RFP does not discourage start-up companies from receiving awards, but the contract imposes safeguards to alert the state of problems with providers. The RFP imposes a probationary period of twelve months upon newly qualified providers. (Ex. 1, p. 48, Probation Period) Paperwork deficiencies result in payments being withheld and/or contracts being lost. The QIO reviews provider performance periodically.

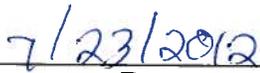
PlayWorks did not prove that either the state's determination that Palmetto was a responsible offeror or the evaluator's evaluation of Palmetto's proposal was clearly erroneous, arbitrary, capricious, or contrary to law; the standard of review for both allegations. Even by the preponderance of evidence, a lower legal standard, PlayWorks did not prove Palmetto unworthy

of the contract it received. In fact, PlayWorks officials acknowledged they did not question Ms. Phillip's ability or character. They agreed that when Ms. Phillips left PlayWorks she resigned; she was not fired, even acknowledging that when Ms. Phillips resigned they wanted her to stay.

Therefore, the protest is denied.



R. Voight Shealy
Chief Procurement Officer
For Supplies and Services



Date

Columbia, S.C.

STATEMENT OF RIGHT TO FURTHER ADMINISTRATIVE REVIEW
Protest Appeal Notice (Revised July 2012)

The South Carolina Procurement Code, in Section 11-35-4210, subsection 6, states:

(6) Finality of Decision. A decision pursuant to subsection (4) is final and conclusive, unless fraudulent or unless a person adversely affected by the decision requests a further administrative review by the Procurement Review Panel pursuant to Section 11-35-4410(1) within ten days of posting of the decision in accordance with subsection (5). The request for review must be directed to the appropriate chief procurement officer, who shall forward the request to the panel or to the Procurement Review Panel, and must be in writing, setting forth the reasons for disagreement with the decision of the appropriate chief procurement officer. The person also may request a hearing before the Procurement Review Panel. The appropriate chief procurement officer and an affected governmental body shall have the opportunity to participate fully in a later review or appeal, administrative or judicial.

Copies of the Panel's decisions and other additional information regarding the protest process is available on the internet at the following web site: <http://procurement.sc.gov>

FILE BY CLOSE OF BUSINESS: Appeals must be filed by 5:00 PM, the close of business. *Protest of Palmetto Unilect, LLC*, Case No. 2004-6 (dismissing as untimely an appeal emailed prior to 5:00 PM but not received until after 5:00 PM); *Appeal of Pee Dee Regional Transportation Services, et al.*, Case No. 2007-1 (dismissing as untimely an appeal faxed to the CPO at 6:59 PM).

FILING FEE: Pursuant to Proviso 83.1 of the 2012 General Appropriations Act, "[r]equests for administrative review before the South Carolina Procurement Review Panel shall be accompanied by a filing fee of two hundred and fifty dollars (\$250.00), payable to the SC Procurement Review Panel. The panel is authorized to charge the party requesting an administrative review under the South Carolina Code Sections 11-35-4210(6), 11-35-4220(5), 11-35-4230(6) and/or 11-35-4410... Withdrawal of an appeal will result in the filing fee being forfeited to the panel. If a party desiring to file an appeal is unable to pay the filing fee because of financial hardship, the party shall submit a completed Request for Filing Fee Waiver form at the same time the request for review is filed. The Request for Filing Fee Waiver form is attached to this Decision. If the filing fee is not waived, the party must pay the filing fee within fifteen days of the date of receipt of the order denying waiver of the filing fee. Requests for administrative review will not be accepted unless accompanied by the filing fee or a completed Request for Filing Fee Waiver form at the time of filing." PLEASE MAKE YOUR CHECK PAYABLE TO THE "SC PROCUREMENT REVIEW PANEL."

LEGAL REPRESENTATION: In order to prosecute an appeal before the Panel, an incorporated business must retain a lawyer. Failure to obtain counsel will result in dismissal of your appeal. *Protest of Lighting Services*, Case No. 2002-10 (Proc. Rev. Panel Nov. 6, 2002) and *Protest of The Kardon Corporation*, Case No. 2002-13 (Proc. Rev. Panel Jan. 31, 2003).

**South Carolina Procurement Review Panel
Request for Filing Fee Waiver
1105 Pendleton Street, Suite 202, Columbia, SC 29201**

Name of Requestor

Address

City

State

Zip

Business Phone

-
1. What is your/your company's monthly income? _____
 2. What are your/your company's monthly expenses? _____
 3. List any other circumstances which you think affect your/your company's ability to pay the filing fee:

To the best of my knowledge, the information above is true and accurate. I have made no attempt to misrepresent my/my company's financial condition. I hereby request that the filing fee for requesting administrative review be waived.

Sworn to before me this
_____ day of _____, 20_____

Notary Public of South Carolina

Requestor/Appellant

My Commission expires: _____

For official use only: _____ Fee Waived _____ Waiver Denied

Chairman or Vice Chairman, SC Procurement Review Panel

This _____ day of _____, 20_____
Columbia, South Carolina

NOTE: If your filing fee request is denied, you will be expected to pay the filing fee within fifteen (15) days of the date of receipt of the order denying the waiver.



Voight Shealy, CPO
STATE OF SOUTH CAROLINA
MATERIALS MANAGEMENT OFFICE
CAPITAL CENTER
1201 MAIN STREET, SUITE 600
COLUMBIA SC 29201

Protest Document for Administrative Review
Contract Number 4400005295

06/06/12

PALMETTO EARLY INTERVENTION SERVICE
338 HEATHWOOD DRIVE
SPARTANBURG SC 29307

Dear Chief Procurement Officer Shealy,

Please accept this protest against the intended award of contract number 4400005295. The applicant for this award, Vickie Phillips, voluntarily left our employment on 3/16/12 based upon the official reason of the work being too demanding and job pressures. As a contracted South Carolina provider for the same services, we have evidence reflecting that Vickie Phillips does not have the ability to fulfill the contracted services required by South Carolina Department of Disabilities and Special Needs.

Evidence of this claim is attached as amendments to this letter. This evidence includes serious job comprehension issues. As recent as 02/18/12, Ms. Phillips signed a work plan of correction agreeing that her work performance was unsatisfactory. After being placed on a work plan to attempt to re-train Ms. Philips, she voluntarily resigned her position as of 03/15/12. On 05/03/12 our company was notified that Ms. Philips was seeking unemployment benefits from the state of South Carolina. This claim was rejected 05/22/12 due to the findings that the job was in alignment with all other employees and responsibilities were no different. Our employees manage industry average caseloads and are only expected to adhere to South Carolina Department of Disabilities and Special Needs scope of work mandates.

The relief requested is that Palmetto Early Intervention Service be denied a contract as evidenced by the applicant having history of unsatisfactory/negligent performance in the exact responsibilities that is expected in the awarded scope of work. Our company feels it would not be in the best interest of the South Carolina Department of Disabilities and Special Needs given this notice of unsatisfactory/negligent work.

340 Blalock Road • Boiling Springs, SC 29316
Telephone 864.814.2230 • Fax 864.814.2232
Toll Free 1.866.327.1007
E-mail playworksinc@yahoo.com

Contract Number: 4400005295
Awarded To: PALMETTO EARLY INTERVENTION SERVICE
338 HEATHWOOD DRIVE
SPARTANBURG SC 29307

Additional correspondences and contact in this matter should be addressed to:

Rachel Wilkins, President
PlayWorks, Inc.
340 Blalock Road
Boiling Springs, S.C. 29316
(864) 814-2230 ext. 21 (office)
(864) 809-3315 (cell)
wilkinspw@bellsouth.net

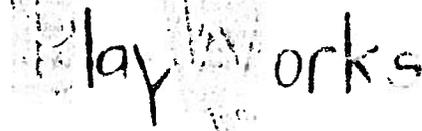
Respectfully Submitted,



Rachel R Wilkins, President
PlayWorks, Inc.

Amendments:

- A 1-2 Work Plan of Correction and Notice of Disciplinary Action
- B File Review Sampling Documentation (client name withheld at this time due to client confidentiality)
- C S.C. Department of Employment and Workforce documents with Ms. Philips stating that job duties were too demanding but SCDEW finding that job duties were not different than any other employee.



PlayWorks, Inc. Work Plan of Correction

Vickie Phillips

Timeline: 02/17/12- 08/12/12

In line with a written warning, a plan has been developed to correct the quality of work issues that have been noted. The following plan will be followed until the specified time or the work plan is altered by an additional supervisory meeting.

Plan of Correction: 02/17/12-05/01/12

- 1) Employee will no longer be allowed to work from home. Special circumstances may be permitted upon supervisor's approval. Each incident must be cleared in advance with supervisor.
- 2) All caseload files will be submitted for review over the following eight weeks. At least two files are due on supervisor's desk each ~~Monday~~ ^{TUESDAY} morning until each file has received supervisor's correction approval. Progress on work quality must be present in each file that is reviewed.
- 3) Supervisor will identify the order of files to be submitted for weekly reviews.
- 4) Employee will email daily schedule to supervisor for tracking and time management review.
- 5) Employee will no longer bill for prep time until supervisor approves employees understanding of the correct way to bill for this work.
- 6) All work will be submitted monthly and approved by supervisor prior to monthly system billing. The schedule of all notes and family training data sheets for the previous month must be submitted to the supervisor by the second working day of the following month for approval.
- 7) Supervisor will schedule weekly training and correction meetings with employee to support employees work quality progress.

Plan of Correction: 05/02/2012-08/12/12

- 1) Employee will no longer be allowed to work from home. Special circumstances may be permitted upon supervisor's approval. Each incident must be cleared in advance with supervisor.
- 2) All work will be submitted monthly and approved by supervisor prior to monthly system billing. The schedule of all notes and family training data sheets for the previous month must be submitted to the supervisor by the second working day of the following month for approval.
- 3) Supervisor will schedule bi-monthly training and correction meetings with employee to support employees work quality progress.

Vickie Phillips 2/18/12
Employee Date

Cynthia Seaf 2/18/12
Supervisor Date

Randee Wilson 2/18/12

NOTICE OF DISCIPLINARY ACTION

EMPLOYEE NAME: Vickie Phillips DATE OF NOTICE: 02/17/12

SUPERVISOR NAME: Rachel Wilkins JOB POSITION: Early Interventionist

TYPE OF PROBLEM OR VIOLATION:

- | | | |
|--|--|--|
| <input type="checkbox"/> Tardiness | <input checked="" type="checkbox"/> Quality of Work | <input type="checkbox"/> Safety |
| <input type="checkbox"/> Absenteeism | <input checked="" type="checkbox"/> Quantity of Work | <input type="checkbox"/> Drug or Alcohol Abuse |
| <input type="checkbox"/> Insubordination | <input checked="" type="checkbox"/> Neatness | <input type="checkbox"/> Carelessness |
| <input type="checkbox"/> Other: _____ | <input type="checkbox"/> Date of Occurrence: _____ | |

DETAILS OF OCCURRENCE (Include description of impact on Company):

Upon case file reviews, inadequate documentation, flow of work and neatness of work was found to be unacceptable. Medicaid required information is missing from files and must be immediately documented in order to avoid additional and immediate termination and reporting.

CORRECTIVE ACTION TO BE TAKEN:

Suspension: With Pay Without Pay

First Day: _____

Other: _____

Last Day: _____

EXPECTED IMPROVEMENT (Include a clear statement as to the consequences of failing to improve)

See attached Work Plan of Correction

EMPLOYEE'S STATEMENT (Use additional paper if necessary)

By signing this notice, I am acknowledging that I have been counseled about my inappropriate conduct and informed of consequences if improvements are not made.

Employee Signature: Vickie Phillips

Date: 2/18/12

SUPERVISOR CHECKLIST FOR NOTICE OF DISCIPLINARY ACTION

- N/A Reviewed the Managing Poor Performance Checklist.
- Described problem in detail to employee
- Explained how problem interferes with work environment, employee performance, business operations, profitability, or the well-being of other employees.
- Explained in detail what employee must do to improve performance or change behavior.
- If applicable, stated deadline for improvements.
- Action discussed with and approved by human resource department prior to employee counseling.
- Explained consequences if improvements are not achieved by date specified.
- Explained employee is "at will" and that there may be no further warnings prior to termination.
- Discipline is consistent with treatment of other employees guilty of similar violations.
- Provided Employee Correction Form. - Plan

Supervisor Cynthia Seaf Date: 2/17/12
Human Resources Cynthia Seaf Date: 2/17/12

Note: Place original in personnel file.

IFSP
6/29/11 late on referral

[Redacted] 12/12/11

EARLY INTERVENTION INDICATORS & GUIDANCE Ref 6/13/11
Review Year July 2011 through June 2012

Elig. 6/10/11

The Guidance is provided as a resource to assist agencies with understanding Key Indicators. The Guidance is not intended to be, nor should be, considered as the ultimate resource. It should be, as inferred by its title, a GUIDANCE designed to assist. State and Federal standards including policies and procedures are the ultimate resources for establishing the requirements for an Indicator.

E1	BabyNet Only	Guidance
X	E1-01 Written Prior Notice and the Child and Family Rights were given to the family prior to <u>six-month update and annual IFSP</u> <i>not found</i>	Review Service Notes, Family Training Summary Sheet, or a copy of the Written Prior Notice to ensure that the family was given their 7 days Written Prior Notice and was given a copy of the Child and Family Rights. The family may choose to have the meeting sooner than 7 days. <i>was due by 12/28/11 12-7/11</i> Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factors 1 & 2, Shared Values Factors 1, 2, & 3
✓ 4	E1-02 Written Prior Notice and the Child and Family Rights were given to the family prior to a <u>change review</u> of the IFSP <i>6/2/11</i>	Review Service Notes, Family Training Summary Sheet, or a copy of the Written Prior Notice to ensure that the family was given their 7 days Written Prior Notice and was given a copy of the Child and Family Rights. The family may choose to have the meeting sooner than 7 days and this choice will be documented in the service notes or on the summary of service sheets. <i>Doc. change review on 8/31/11 for OT - no WPN - no change review not added to service or to home</i> Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factors 1 & 2, Shared Values Factors 1, 2, & 3
✓	E1-03 The Parent/ Caregiver was provided a copy of the Plan	Review service notes to verify that the parent/ caregiver was provided a copy of the Plan. Source: BabyNet Manual, DDSN EI Manual, EI Services Provider Manual
✓ R	E1-04 Individualized Family Service Plan (IFSP) is completed annually	If not met, document review period dates and date range out of compliance.* IFSP must be current within one year. The last page must be signed by the family and the EI. Source: IDEA, BabyNet Manual
X	E1-05 IFSP six-month review was completed within sixth months of the IFSP	Ensure the IFSP six-month review was completed within six months of the IFSP. <i>cannot locate no Dec. notes in file</i> Source: IDEA, BabyNet Manual
X	E1-06 Early Childhood Outcomes (ECO) were assessed and documented on the Child Outcome Summary Form (COSF), if applicable, at entry	If the EI completed the initial IFSP, review the service notes and Child Outcome Summary Form to ensure that the process was completed and documented. <i>Not found</i> Note: If the child is referred at 30 months or younger, the ECO process must be completed. Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factor 8, Shared Values Factor 8

12/1/11
C.B.A

Vickie - I am a little nervous about shape
this file is in - please see me once
connections are done so we can go
over.

2/11/Assess

✓ = Reviewed with Vickie Phillips

E1-07 <i>N/A</i>	Early Childhood Outcomes (ECO) were assessed and documented on the Child Outcome Summary Form (COSF), if applicable, at exit at age three	During the process of a child closing to BabyNet, review the service notes and Child Outcome Summary Form to ensure that the process was completed and documented Note: If the child received six months or less of services, the ECO exit will not be required. Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factor 8, Shared Values Factor 8
E1-08 <i>N/A</i>	IFSP includes current information relating to vision, hearing, and all areas of development to include health	Review sections 5, 6a, 6b, (& 6c if applicable) of the IFSP to ensure information is current and includes therapy and developmental information. <i>12/7/11</i> <i>current assessment info not available</i> Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factor 5
E1-09 <i>N/A</i>	All BabyNet services are listed on the Summary of Services page of the IFSP, to include amount, frequency, duration, a begin date and an end date	Review the Summary of Services page of the IFSP to ensure that all BabyNet services being received are listed. (Section 13) <i>OT, PT + ST all listed as services</i> <i>to consider on goal sheets -</i> <i>no evidence of being done</i> <i>OT needs to be added to plan + IStrac</i> Source: BabyNet Manual
E1-10 <i>N/A</i>	If the child's IFSP indicates the need for more than 4 hours per month of family training, the service notes indicate that information has been sent to the Office of Children's Services for approval	Review frequency of Family Training as identified on the IFSP. If the frequency noted on the plan is more than 4 hours per month of Family Training there should be documentation indicating that the file was sent to the Office of Children's Services for approval within 15 days of the plan or as identified as a need and this choice will be documented in the service notes or on the summary of service sheets. Source: DDSN EI Manual
E1-11 <i>N/A</i> <i>1 yr.</i>	Transition to other services or settings is coordinated	Review IFSP, Family Training summary sheets and/or Service Notes to ensure that the Early Interventionist completed, or is the process of, any task(s) they were assigned to follow-up on during transitions such as hospital to home, BabyNet to school, home to childcare, have been identified and received follow up. Source: DDSN EI Manual, EI Services Provider Manual, BabyNet Manual
E1-12 <i>N/A</i>	The Transition referral is sent to the LEA by the time the child turned 2.6 years old	If the child is 2.6 years or older review Services Notes, transition page of the IFSP, and a copy of the transition referral to ensure the referral was sent by the time the child was 2.6 years old. Source: EI Services Provider Manual, BabyNet Manual
E1-13 <i>N/A</i>	Transition Conference was held no later than 90 days prior to the child's third birthday	Review Service Notes, IFSP, and/or transition page of IFSP to ensure the transition conference was held 90 days prior to the child's third birthday. The parent /caregiver can choose not to have a conference. Source: EI Services Provider Manual, BabyNet Manual
E1-14 <i>X</i>	Goals are based on identified needs and the team's concerns relating to the child's development	Compare IFSP sections 6a & 6b to the outcome pages to determine if the Plan indicates who should do what and where it will take place. There should only be one goal per page. <i>no 6 month update 12/7/11</i> <i>found</i> Source: EI Services Provider Manual, BabyNet Manual Supports CQL Basic Assurances Factor 8, Shared Values Factors 6, 8, 9

<p>E1-15</p> <p>✓ ?</p>	<p>Goals are/have been addressed by the Early Interventionist</p> <p><i>addressed but should have been reviewed in Dec 12/7/11</i></p>	<p>Review Service Notes and Family Training summary sheets to determine if all outcomes have been or are being addressed by the EI. All developmental goals should be addressed within 3 months of that goal being identified as a need. If the goal(s) are not being addressed, review documentation for supporting information noting why they haven't been addressed.</p> <p>Source: EI Services Provider Manual, BabyNet Manual Supports CQL Shared Values Factor 8</p>
<p>E1-16</p> <p>✓ X <i>no review found</i></p>	<p>Goals are adjusted, terminated or added based on ongoing assessment, lack of progress, or parent / professional request</p>	<p>Review Goal pages, IFSP to ensure that all goals are adjusted, terminated or added based on ongoing assessment, lack of progress, or parent/professional request. <i>12/7/11</i></p> <p>Source: EI Services Provider Manual, BabyNet Manual Supports CQL Shared Values Factor 8</p>
<p>E1-17</p> <p>X</p>	<p>Assessments are completed every 6 months or as often as changes warrant</p> <p><i>not found</i></p>	<p>Review assessment dates on chosen assessment tool(s) and IFSP to ensure they are completed every 6 months or as changes warrant (i.e., significant improvement or regression).</p> <p>Source: EI Services Provider Manual, BabyNet Manual Supports CQL Shared Values Factor 8</p>
<p>E1-18</p> <p>X</p>	<p>Family Training is provided as documented on the IFSP Summary of Services page</p> <p><i>4x month BabyNet</i></p>	<p>The IFSP should outline the frequency of Family Training. Review the ISRs, Family Training summary sheets, IFSP Summary of Services section, to ensure that FT is provided at the frequency and duration outlined. If the frequency and duration outlined is not being provided consistently, review Service Notes and other documentation to see if the EI is attempting to follow the schedule.</p> <p><i>Sept 2011 Only 3 visits - no doc as to why.</i></p> <p>Source: EI Services Provider Manual, BabyNet Manual</p>
<p>E1-19</p> <p>✓</p>	<p>Family Training summary sheets include goals and objectives for each visit as well as follow-up objectives for the next visit</p>	<p>Family Training summary sheets should indicate the scheduled time and date of the next visit and what the caregiver will work on with the child until the next training visit.</p> <p>Review Family training summary sheets to ensure that they include goals and objectives for each visit and what the caregiver will work on until the next training visit with an error rate of no more than 2 mistakes during the review period.</p> <p>Source: DDSN EI Manual</p>
<p>E1-20</p> <p>✓</p>	<p>Family training activities are appropriate for the child's developmental needs</p>	<p>Review EI assessment tool(s), therapy reports, provider reports, IFSP and IFSP goals and compare information on these documents to the Family Training summary sheets.</p> <p>Source: DDSN EI Manual Supports CQL Basic Assurances Factor 8, Shared Values Factors 8, & 9</p>
<p>E1-21</p> <p>W</p> <p>✓</p>	<p>Entries for Family training visits include how family member(s)/caregiver(s) participated in visit</p> <p><i>Try to get more active participation documented. OK</i></p>	<p>Review Family Training summary sheets and Service Notes to ensure that family/caregiver participated in training sessions. To state that the parent/caregiver was present is NOT sufficient. The summary of visit should include how the parent/caregiver actively participated in the visit. Review Family training summary sheets to ensure that they include this information.</p> <p>Source: DDSN EI Manual, EI Services Provider Manual</p>

✓	E1-22	Family Training activities should vary Activities planned must be based on identified goals on the IFSP	Review the Family Training summary sheets to ensure that the activities vary in order to meet the goals for the child. Source: DDSN EI Manual Supports CQL Basic Assurances Factor 8, Shared Values Factors 3, 8, & 9
	E1-23	Family Training activities correspond to goals on the IFSP goal pages	If not met, document review period dates and date range out of compliance.* Review goals on the IFSP goal pages (Section 10a) and Family Training Summary sheets. Compare goals with Family Training activities. Source: DDSN EI Manual, EI Services Provider Manual
X	E1-24	Time spent/reported preparing for a Family Training visit corresponds with the activity planned <i>very little discussion of what toys + how they are used</i>	Review Service Notes and Family Training Summary Sheets to determine if the time reported for preparing for a Family Training visit corresponds to the activities completed during the visit. For example, an EI should not report 15 minutes of "prep time" for a visit if when the EI got to the home they worked on singing songs or putting puzzles together. <i>cant bill 10 mins prep for taking out toys + rattles</i> Source: DDSN EI Manual
NA	E1-25	If the Early Interventionist is unable to provide Family Training for an extended period of time (more than a month) was the family offered a choice of an alternate Early Interventionist	Review the Service Justification Form, service notes, and/or Family Training Summary Sheets to ensure the family was offered an alternate Early Interventionist to provide Family Training. Source: IDEA, BabyNet Manual, DDSN EI Manual
X	E1-26	Entries are clear and are documented within 7 days of services being rendered	Review Service Notes to ensure clarity and inclusion of name/initials of Early Interventionist. All services must be documented in the file within seven days of delivery. <i>missing Dec. notes</i> Source: BabyNet Manual, DDSN EI Manual, EI Services Provider Manual
X	E1-27	All items in the record are maintained in chronological order in respective sections	Review records from all program areas that the person is involved with to determine if documents located in the respective sections of the record are maintained in chronological order. <i>Items not in appropriate place (front pocket)</i> Source: DDSN EI Manual, EI Services Provider Manual, BabyNet Manual
✓	E1-28	Service Note entries reference the appropriate Family Training summary sheet	Review Service Notes to ensure dates match dates on Family Training summary sheets. Source: DDSN EI Manual, EI Services Provider Manual
✓	E1-29	Service Notes document why and how the Early Interventionist participated in meetings / appointments on the child's behalf	Review Service Notes to ensure why and how the Early Interventionist participated in the meeting/appointment. The Early Interventionist must justify why they are reporting the time that they are at the meeting/appointment. For example, it would not be appropriate for an EI to attend a Developmental Pediatrician's appointment and then report time for attending the entire appointment. It is appropriate to report time for when the EI was actively participating in the visit. Source: DDSN EI Manual

*enjoyed Out
DyP
observed that
she never
tells of
how to
use*

Data sheets

11/2/11 - what sounds + gestures did he make -

cant monitor progress w/o knowing this

10/19/11 - what toy/object did he crawl towards
& what object did he reach for?

10/12/11 - we up shot white up - what facial expression did he imitate? LOOKS very rushed. *smiled*

*ook
ALL
mm*

*7/alter
- stops such*

X

E1-30 ✓	ISRs are present and reflect services rendered correctly	Review ISRs, Service Notes and Family Training Summary Sheets to compare documentation with reporting on ISRs. Source: DDSN EI Manual
NA	If applicable, documentation in service notes indicates that the case was closed	Review service notes of a closed file to determine if it was documented that the case was being closed.
E1-32 Not included in score ✓	Did the child receive more than 2 hours of Service Coordination in any calendar month? (except for the months in which an <u>initial plan</u> , <u>annual plan</u> , or <u>transition conference</u> were held)	During the review period, except for the months in which an <u>initial plan</u> , <u>annual plan</u> , or <u>transition conference</u> were held, did the child receive more than 2 hours of Service Coordination in any calendar month? If so, document the month(s) and total amount of time for the month. For example: April 2011, 2:23; June 2011, 3:35. 7/6/2011 2:30 <i>[Signature]</i> Note: For Informational purposes only. Does not affect the score.

6/29/11 + 2m SC
 billed 2 hr 30 min
 Should be 2 hr. 2 min
~~11/30/11 + Add 8 min~~
 add
 6/13/11 8 min CM
 6/29 Retrac 30 min CM
 11/30/11 + 8 min

AEPS 6/1/11
 5/24/11
 HZLP 12/2/11



Fm delay

EARLY INTERVENTION INDICATORS & GUIDANCE
 Review Year July 2011 through June 2012

P.O.B 6/4/11

The Guidance is provided as a resource to assist agencies with understanding Key Indicators. The Guidance is not intended to be, nor should be, considered as the ultimate resource. It should be, as inferred by its title, a GUIDANCE designed to assist. State and Federal standards including policies and procedures are the ultimate resources for establishing the requirements for an Indicator.

Messy file - lots of problems

E1	BabyNet Only	Guidance
X	E1-01 Written Prior Notice and the Child and Family Rights were given to the family prior to six-month update and annual IFSP 12/5/11	Review Service Notes, Family Training Summary Sheet, or a copy of the Written Prior Notice to ensure that the family was given their 7 days Written Prior Notice and was given a copy of the Child and Family Rights. The family may choose to have the meeting sooner than 7 days. Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factors 1 & 2, Shared Values Factors 1, 2, & 3
X	E1-02 Written Prior Notice and the Child and Family Rights were given to the family prior to a change review of the IFSP w/pn not documented in notes 11/2/11	Review Service Notes, Family Training Summary Sheet, or a copy of the Written Prior Notice to ensure that the family was given their 7 days Written Prior Notice and was given a copy of the Child and Family Rights. The family may choose to have the meeting sooner than 7 days and this choice will be documented in the service notes or on the summary of service sheets. Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factors 1 & 2, Shared Values Factors 1, 2, & 3
✓	E1-03 The Parent/ Caregiver was provided a copy of the Plan	Review service notes to verify that the parent/ caregiver was provided a copy of the Plan. Source: BabyNet Manual, DDSN EI Manual, EI Services Provider Manual
✓	E1-04 R Individualized Family Service Plan (IFSP) is completed annually 6/6/11	If not met, document review period dates and date range out of compliance.* IFSP must be current within one year. The last page must be signed by the family and the EI. Source: IDEA, BabyNet Manual
12/5/11	E1-05 IFSP six-month review was completed within sixth months of the IFSP	Ensure the IFSP six-month review was completed within six months of the IFSP. Source: IDEA, BabyNet Manual
✓	E1-06 Early Childhood Outcomes (ECO) were assessed and documented on the Child Outcome Summary Form (COSF), if applicable, at entry 6/23/11	If the EI completed the initial IFSP, review the service notes and Child Outcome Summary Form to ensure that the process was completed and documented. Note: If the child is referred at 30 months or younger, the ECO process must be completed. Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factor 8, Shared Values Factor 8

12/5/11
change to 2 months

Inc. sounds/gestures - not any delay at initial assessment

Play w/toys appropriately
walk, run, kick - no delay

adaptive delay

*Goals developed in areas where no delay on initial assessment
*DT/PT evals but no delay on ACSOS

E1-07 N/A	Early Childhood Outcomes (ECO) were assessed and documented on the Child Outcome Summary Form (COSF), if applicable, at exit at age three	During the process of a child closing to BabyNet, review the service notes and Child Outcome Summary Form to ensure that the process was completed and documented. Note: If the child received six months or less of services, the ECO exit will not be required. Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factor 8, Shared Values Factor 8
E1-08 ✓	IFSP includes current information relating to vision, hearing, and all areas of development to include health	Review sections 5, 6a, 6b, (& 6c if applicable) of the IFSP to ensure information is current and includes therapy and developmental information. 12/5/11 Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factor 5
E1-09 X	All BabyNet services are listed on the Summary of Services page of the IFSP, to include amount, frequency, duration, a begin date and an end date	Review the Summary of Services page of the IFSP to ensure that all BabyNet services being received are listed. (Section 13) OT, PT eval not added Source: BabyNet Manual
E1-10 N/A	If the child's IFSP indicates the need for more than 4 hours per month of family training, the service notes indicate that information has been sent to the Office of Children's Services for approval	Review frequency of Family Training as identified on the IFSP. If the frequency noted on the plan is more than 4 hours per month of Family Training there should be documentation indicating that the file was sent to the Office of Children's Services for approval within 15 days of the plan or as identified as a need and this choice will be documented in the service notes or on the summary of service sheets. Source: DDSN EI Manual
E1-11 N/A	Transition to other services or settings is coordinated	Review IFSP, Family Training summary sheets and/or Service Notes to ensure that the Early Interventionist completed, or is the process of, any task(s) they were assigned to follow-up on during transitions such as hospital to home, BabyNet to school, home to childcare, have been identified and received follow up. Source: DDSN EI Manual, EI Services Provider Manual, BabyNet Manual
E1-12 N/A	The Transition referral is sent to the LEA by the time the child turned 2.6 years old	If the child is 2.6 years or older review Services Notes, transition page of the IFSP, and a copy of the transition referral to ensure the referral was sent by the time the child was 2.6 years old. Source: EI Services Provider Manual, BabyNet Manual
E1-13 N/A	Transition Conference was held no later than 90 days prior to the child's third birthday	Review Service Notes, IFSP, and/or transition page of IFSP to ensure transition conference was held 90 days prior to the child's third birthday. The parent /caregiver can choose not to have a conference. Source: EI Services Provider Manual, BabyNet Manual
E1-14 X	Goals are based on identified needs and the team's concerns relating to the child's development	Compare IFSP sections 6a & 6b to the outcome pages to determine if the Plan indicates who should do what and where it will take place. There should only be one goal per page. Source: EI Services Provider Manual, BabyNet Manual Supports CQL Basic Assurances Factor 8, Shared Values Factors 6, 8, 9

- Previous Goals not updated
- New goals not added to plan.

E1-15	Goals are/have been addressed by the Early Interventionist <i>new Goals not written</i>	Review Service Notes and Family Training summary sheets to determine if all outcomes have been or are being addressed by the EI. All developmental goals should be addressed within 3 months of that goal being identified as a need. If the goal(s) are not being addressed, review documentation for supporting information noting why they haven't been addressed. Source: EI Services Provider Manual, BabyNet Manual Supports CQL Shared Values Factor 8
E1-16	Goals are adjusted, terminated or added based on ongoing assessment, lack of progress, or parent / professional request	Review Goal pages, IFSP to ensure that all goals are adjusted, terminated or added based on ongoing assessment, lack of progress, or parent/professional request. <i>not updated in plan</i> Source: EI Services Provider Manual, BabyNet Manual Supports CQL Shared Values Factor 8
E1-17	Assessments are completed every 6 months or as often as changes warrant <i>late</i>	Review assessment dates on chosen assessment tool(s) and IFSP to ensure they are completed every 6 months or as changes warrant (i.e., significant improvement or regression). AEPS completed by BN on 09/30/11 - 6 month assessment renewed Source: EI Services Provider Manual, BabyNet Manual due by 11/03/11 Supports CQL Shared Values Factor 8
E1-18	Family Training is provided as documented on the IFSP Summary of Services page <i>4x month 2x on 12/5/11</i>	The IFSP should outline the frequency of Family Training. Review the ISRs, Family Training summary sheets, IFSP Summary of Services section, to ensure that FT is provided at the frequency and duration outlined. If the frequency and duration outlined is not being provided consistently, review Service Notes and other documentation to see if the EI is attempting to follow the schedule. <i>12/5 data sheet missing No. Dec billing sheet</i> Source: EI Services Provider Manual, BabyNet Manual <i>Dec. notes not complete</i>
E1-19	Family Training summary sheets include goals and objectives for each visit as well as follow-up objectives for the next visit	Family Training summary sheets should indicate the scheduled time and date of the next visit and what the caregiver will work on with the child until the next training visit. Review Family training summary sheets to ensure that they include goals and objectives for each visit and what the caregiver will work on until the next training visit with an error rate of no more than 2 mistakes during the review period. <i>Try to be a little easier - Difficult to read - Slow Down</i> Source: DDSN EI Manual
E1-20	Family training activities are appropriate for the child's developmental needs	Review EI assessment tool(s), therapy reports, provider reports, IFSP and IFSP goals and compare information on these documents to the Family Training summary sheets. <i>New goals not written</i> Source: DDSN EI Manual Supports CQL Basic Assurances Factor 8, Shared Values Factors 8, & 9
E1-21 W	Entries for Family training visits include how family member(s)/caregiver(s) participated in visit	Review Family Training summary sheets and Service Notes to ensure that family/caregiver participated in training sessions. To state that the parent/caregiver was present is NOT sufficient. The summary of visit should include how the parent/caregiver actively participated in the visit. Review Family training summary sheets to ensure that they include this information. <i>Active Participation</i> Source: DDSN EI Manual, EI Services Provider Manual

annot go more than 90 days between assessments
notes also indicate assessment on 9/12 but no WPT, notes, etc.

12/12/11 Data sheet - how does lead string address any goals listed? Need to relate activities back to goals.

E1-22 7	Family Training activities should vary. Activities planned must be based on identified goals on the IFSP	Review the Family Training summary sheets to ensure that the activities vary in order to meet the goals for the child. <i>Be careful with this - a lot of activities</i> Source: DDSN EI Manual <i>need to update</i> Supports CQL Basic Assurances Factor 8, Shared Values Factors 3, 8, & 9
E1-23 X	Family Training activities correspond to goals on the IFSP goal pages	If not met, document review period dates and date range out of compliance.* Review goals on the IFSP goal pages (Section 10a) and Family Training Summary sheets. Compare goals with Family Training activities. <i>New goals not added</i> Source: DDSN EI Manual, EI Services Provider Manual
E1-24 ?X	Time spent/reported preparing for a Family Training visit corresponds with the activity planned	Review Service Notes and Family Training Summary Sheets to determine if the time reported for preparing for a Family Training visit corresponds to the activities completed during the visit. For example, an EI should not report 15 minutes of "prep time" for a visit if when the EI got to the home they worked on singing songs or putting puzzles together. <i>If you are billing this as prep - need to discuss</i> Source: DDSN EI Manual <i>have each item work towards goal</i>
E1-25 NA	If the Early Interventionist is unable to provide Family Training for an extended period of time (more than a month) was the family offered a choice of an alternate Early Interventionist	Review the Service Justification Form, service notes, and/or Family Training Summary Sheets to ensure the family was offered an alternate Early Interventionist to provide Family Training. Source: IDEA, BabyNet Manual, DDSN EI Manual
E1-26 X	Entries are clear and are documented within 7 days of services being rendered	Review Service Notes to ensure clarity and inclusion of name/initials of Early Interventionist. All services must be documented in the file within seven days of delivery. <i>Missing half of Dec. notes</i> Source: BabyNet Manual, DDSN EI Manual, EI Services Provider Manual
E1-27 X	All items in the record are maintained in chronological order in respective sections	Review records from all program areas that the person is involved with to determine if documents located in the respective sections of the record are maintained in chronological order. <i>too much not filed.</i> Source: DDSN EI Manual, EI Services Provider Manual, BabyNet Manual
E1-28 ✓	Service Note entries reference the appropriate Family Training summary sheet	Review Service Notes to ensure dates match dates on Family Training summary sheets. Source: DDSN EI Manual, EI Services Provider Manual
E1-29 X	Service Notes document <u>why</u> and <u>how</u> the Early Interventionist participated in meetings / appointments on the child's behalf	Review Service Notes to ensure why and how the Early Interventionist participated in the meeting/appointment. The Early Interventionist must justify why they are reporting the time that they are at the meeting/appointment. For example, it would not be appropriate for an EI to attend a Developmental Pediatrician's appointment and then report time for attending the entire appointment. It is appropriate to report time for when the EI was actively participating in the visit. Source: DDSN EI Manual <i>Need to explain more</i>

why certain decisions are made and go through process in your notes.

E1-30	ISRs are present and reflect services rendered correctly	Review ISRs, Service Notes and Family Training Summary Sheets to compare documentation with reporting on ISRs Source: DDSN EI Manual <i>Did not check yet</i>
<i>NA</i> E1-31	If applicable, documentation in service notes indicates that the case was closed	Review service notes of a closed file to determine if it was documented that the case was being closed.
E1-32 Not included in score	Did the child receive more than 2 hours of Service Coordination in any calendar month? (except for the months in which an <u>initial plan</u> , <u>annual plan</u> , or <u>transition conference</u> were held)	During the review period, except for the months in which an <u>initial plan</u> , <u>annual plan</u> , or <u>transition conference</u> were held, did the child receive more than 2 hours of Service Coordination in any calendar month? If so, document the month(s) and total amount of time for the month. For example: April 2011, 2:23; June 2011, 3:35. Note: For Informational purposes only. Does not affect the score.

9/12/11 HELP
12/2/11 (8mos)

Amendment C

UCB-103
Rev. 2/12

SOUTH CAROLINA DEPARTMENT OF EMPLOYMENT AND WORKFORCE
P.O. BOX 995, COLUMBIA, S.C. 29202

PLAYWORKS INC
403 S LOGAN ST

DATE OF THIS NOTICE 05/22/12

GAFFNEY SC 29341

CLAIMANT'S NAME				SOCIAL SECURITY NUMBER		EFFECTIVE DATE		DISQUALIFICATION ENDS	
VICKIE A PHILLIPS				[REDACTED]		04/29/12		INDEF	
SC WORKS #	TYPE	CATEGORY	WEEKLY BENEFIT AMOUNT	MAXIMUM POTENTIAL ENTITLEMENT	LESS REDUCTION OF	NET TOTAL BENEFITS	BENEFIT YEAR EN		
420	I	01	\$ 307.00	\$ 6140.00	\$ 0.00	\$ 6140.00	04/28/13		

DETERMINATION BY CLAIMS ADJUDICATOR ON CLAIM FOR BENEFITS

- You are eligible for benefits from the above effective date.
- You have been disqualified from receiving benefits or have been found to be ineligible for benefits for the following reason(s).

YOU LEFT YOUR MOST RECENT BONA FIDE EMPLOYER DUE TO A HEAVY WORK LOAD AND JOB PRESSURES. THERE IS NO INDICATION THAT YOUR WORK DUTIES WERE ANY DIFFERENT THAN ANY OTHER EMPLOYEE IN THE SAME POSITION. YOU ARE DETERMINED TO HAVE VOLUNTARILY QUIT FOR A PERSONAL REASON AND WITHOUT GOOD CAUSE UNDER THE SOUTH CAROLINA CODE, SECTION 41-35-120(1). YOU ARE DISQUALIFIED FROM 04/29/12 AND UNTIL YOU RETURN TO WORK AND EARN AT LEAST EIGHT TIMES YOUR WEEKLY BENEFIT AMOUNT.

LAST SEPARATION FROM NON-LIABLE EMPLOYER

UI CLAIMS ADJUDICATOR

MAILING DATE 05/23/2012

IMPORTANT: THIS DETERMINATION WILL BE THE FINAL DECISION OF THE DEPARTMENT UNLESS YOU FILE AN APPEAL WITHIN TEN (10) CALENDAR DAYS, INCLUDING WEEKENDS AND HOLIDAYS, FROM THE MAILING DATE SHOWN ABOVE. IF THE TENTH DAY FALLS ON A SATURDAY, SUNDAY, OR HOLIDAY, THE APPEAL PERIOD IS EXTENDED TO THE NEXT BUSINESS DAY. YOUR APPEAL MAY BE FILED IN PERSON AT ANY SC WORKS CENTER, BY MAIL, ADDRESSED TO THE "APPEAL TRIBUNAL," P.O. BOX 995, COLUMBIA, SOUTH CAROLINA 29202, OR BY FAX (803) 737-0287. FOR ADDITIONAL INFORMATION OR ASSISTANCE IN FILING AN APPEAL, CONTACT YOUR LOCAL SC WORKS CENTER OR CALL (803) 737-2400.

List any warnings, note if verbal or written and give dates:

February 14, February 17

If discharged for absenteeism, list dates of absences:

VOLUNTARILY QUIT (Give specific reason.):

OTHER (Explain in detail.):

Dates of Employment: FROM: _____ TO: _____
During all terms of employment, have you paid this claimant as much as: \$ 2608.00 YES NO

If NO, how much have you paid this claimant in all terms of employment? \$ _____

Are you paying, or WILL YOU PAY, this claimant a pension or retirement pay? YES NO

If YES, what amount? \$ _____ PER _____

Did claimant contribute to pension plan? YES NO If YES, what percent? _____ %

EMPLOYER NAME: _____ ACCOUNT NUMBER: _____

EMPLOYER SIGNATURE: ** _____ TITLE: _____

TELEPHONE NUMBER: _____ DATE: _____

****FORM MUST BE SIGNED IN ORDER FOR INFORMATION TO BE CONSIDERED**

S2001

NET-101
Rev. 3/11

**SOUTH CAROLINA DEPARTMENT OF EMPLOYMENT AND WORKFORCE
REQUEST FOR INFORMATION
UNEMPLOYMENT INSURANCE BENEFITS**

CLAIMANT'S NAME: Vickie A Phillips

SS #: [REDACTED]

NAME WORKED UNDER:

DATE MAILED: 2012-05-03

EMPLOYER'S ACCOUNT #: 375679

EMPLOYER'S NAME PLAYWORKS INC
& ADDRESS: 403 S LOGAN ST
GAFFNEY, SC 29341

RETURN WITHIN SCDEW
10 DAYS OF THE 440 S. Church Street
ABOVE DATE TO: P.O. BOX 1694
SPARTANBURG, SC 29304

FAX NUMBER: 864-582-1450

This person has filed a claim for Unemployment Insurance Benefits and named you as a previous employer. Please explain the reason this person no longer works for you so that a determination can be made on eligibility for benefits. If you reply by letter, fax, or email, you must include all information requested, as well as the claimant's name and social security number. For instructions about responding by email, please go to our agency website at www.dew.sc.gov. YOU WILL RECEIVE A DETERMINATION ON THIS CLAIM ONLY IF IT IS FOUND THAT YOU ARE THE BONA FIDE AND/OR LIABLE EMPLOYER.

CLAIMANT'S Reason for Separation: QUIT/RESIGNED
job duties became too demanding

A telephone interview has already been scheduled for the claimant on 05/14/2012 at 10:30 AM.
Please respond by mail, fax, email, telephone, or personal visit to the local ESC office above

SEPARATION INFORMATION

LACK OF WORK (No additional written explanation is necessary.)

DISCHARGED: (Give specific reason.)

State company policy that claimant violated, if applicable, and describe the final incident leading to the separation: