

**Part C State Annual Performance Report (APR) for FFY 2009****Overview of the Annual Performance Report Development:**

The North Dakota Department of Human Services as the Part C Lead Agency reviewed a portion of the Improvement Activities from the previous State Performance Plan/Annual Performance Review with the North Dakota Interagency Coordinating Council (NDICC) on December 12, 2010 and then another review of the Improvement Activities occurred with the Executive Committee of the NDICC on January 27, 2011. A review of FFY 2009 data and Improvement Activities was conducted with the NDICC on June 9, 2011.

Data sources used to complete the FFY 2009 Annual Performance Report included:

Indicator #1 – ASSIST (including Lotus Notes) with documentation of exceptional circumstances in Therap

Indicator #2 – 618 Table #2; ASSIST/Therap

Indicator #3 – Child PAR Assessment; ASSIST/Therap

Indicator #4 – ECO Family Survey Results; ASSIST/Therap

Indicator #5 – 618 Table #1

Indicator #6 – 618 Table #1

Indicator #7 – ASSIST/Therap; Case Review Data Tool

[www.nd.gov/dhs/services/disabilities/earlyintervention/case-review/case-review.asp](http://www.nd.gov/dhs/services/disabilities/earlyintervention/case-review/case-review.asp)

Indicator #8 – ASSIST/Therap; Case Review Data Tool; 618 Table #3

Indicator #9 – ASSIST/Therap; Case Review Data Tool

Indicator #10 – 618 Table #4

Indicator #11 – 618 Table #4

Indicator #12 – NA

Indicator #13 – 618 Table #4

Indicator #14 – Related Federal Reporting

It should be noted that effective 11-1-10; the statewide data system was switched from ASSIST/Lotus Notes to Therap. While this did not affect the input of data for this review period, it did impact some of the data analysis. This change affects both our service coordinators (DD Program Management) and our service providers.

North Dakota divided into 8 Governor's Planning Regions. Each region has one DD Program Management unit through the Regional Human Service Center. Seven of the regions have one Infant Development program and one of the regions has two Infant Development programs.

North Dakota acknowledges that they are late in filing this report. In order to prevent this from occurring in the future, the state will examine the internal procedures, resources, roles, and responsibilities relating to the preparation of this report and create a documented work plan to address this issue. The development of the work plan will be created with the support of DHS administration and national Technical Assistance resources.

**Monitoring Priority: Early Intervention in the Natural Environments**

**Indicator 1: Percent of infants and toddlers with IFSP’s who receive the early intervention services on their IFSP’s in a timely manner.**

(20 U.S.C 1416 (a)(3)(A) and 1442)

**Measurement:**

Percent [(# of infants and toddlers with IFSP’s who receive the early intervention services on their IFSP’s in a timely manner) divided by the (total # of infants and toddlers with IFSP’s) times 100.  
Account for untimely receipt of services, including the reasons for delay.

FFY	Measurable and Rigorous Target
2009	100% of infants and toddlers with IFSP’s will receive the early intervention services on their IFSP’s on or before the start date indicated on their signed IFSP.  Accounting for the untimely receipt of services, including reason for delay.

**Actual Target Data for FFY 2009:**

Data was analyzed for **928** infants and toddlers with IFSP’s between July 1, 2009 and June 30, 2010. Of that **928** infants and toddlers, **504** did not have any new supports starting during this time period. Initial data indicated all supports began on or before the dates indicated for **375** children.

Data indicated that **49** children had supports that did not begin on or before the support start date on their IFSP was further analyzed. Of those 49 children, there were **13** documented cases of exceptional family circumstances, services were untimely for **33** children due to program reasons, and data entry errors were noted in **3** cases. The data errors occurred because program management commented on services that were already started versus newly started services. Data was collected in all 8 services regions of North Dakota. Eliminating family circumstances, there were 4 regions that had only 1 child that had not received supports in a timely manner. 20 of the 33 children that did not receive supports in a timely manner due to program reason were from one region.

375 children with timely supports + 13 exceptional family circumstances = 388 + 33 delays due to program reasons = 421

504 children who did not have new supports starting + 3 data errors = 507

**96.44% = (388 + 507)/(421 + 507) X 100 Did Not Meet Compliance Indicator of 100%**

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:**

**Explanation of Progress or Slippage:**

Slippage from FFY 2008 percentage of 98.5 is felt to be due to performance in one region in the state and also due to continued difficulties with documentation. Errors continue to occur in the documentation of the “reason” for the late start of supports thus not fully informing the families and reviewers.

Individual Findings Region	I	II	III	IV	V	VI	VII	VIII	State
FFY 2008	0	0	0	1	0	0	9	1	11
FFY 2009	2	1	3	1	4	1	20	1	33

**Correction of FFY 2008 Findings of Noncompliance (if State reported less than 100% compliance):**

Level of compliance for FFY 2008 is 98.5%. There were 11 findings in 3 regions that were corrected in less than a year from when the finding was issued. All corrections were verified before findings were closed.

1. Number of findings of noncompliance the State made during FFY 2008 (the period from July 1, 2008 to June 30, 2009)	11
2. Number of FFY 2008 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	11
3. Number of FFY 2008 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	0

**Correction of FFY 2008 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance):**

4. Number of FFY 2008 findings not timely corrected (same as the number from (3) above)	0
5. Number of FFY 2008 findings the State has verified as corrected beyond the one-year timeline (“subsequent correction”)	0
6. Number of FFY 2008 findings <u>not</u> verified as corrected [(4) minus (5)]	0

**Discussion of Improvement Activities:**

Improvement Activities 1 through 9 were reported on earlier APR’s as completed. Improvement Activity #10 completion is not due in this reporting period.

<p>9.A *02-01-08 – University contractors developed recommendations for competency areas and possible implementation strategies. A taskforce of early intervention professionals and families will be formed to operationalize the process and develop an implementation timeline. Task force was formed and has recommend competencies to be adopted, clarified Early Childhood Special Educator requirements, defined consultation delivery options and staff qualifications. Currently finalizing competency measure procedures and implementation timeline. Contract will be developed to support implementation.</p>	<p>07-01-09 Partially Completed 07-01-09  Extend to 7-1-12</p>	<p>Part C Coordinator, Contract University personnel Part C Coordinator, Family Liaison Project, NDICC Early Intervention Services Subcommittee</p>	<p>The majority of this Improvement Activity is completed; however full implementation is not completed. Implementation will correspond with policy publication following publication of Part Regulations.</p>
<p>11. Modify ASSIST application to facilitate tracking of transdisciplinary consultations</p>	<p>07-01-10 Completed 07-01-10</p>	<p>Part C Coordinator</p>	<p>Implemented individual authorizations that indicate type of consultation and if consultation is on-going or if initial what the anticipate start date is.</p>
<p>12. DD Division will work with DHS Information Technology Support Division to identify options to update and refine ND Early Intervention data collection system.</p>	<p>06-30-10 Completed 07-01-10</p>	<p>Part C Coordinator</p>	<p>Entered into contract on 07-01-10 with Therap for development of new statewide database. Phase I went operational 11-01-10.</p>

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for**

***Additional Improvement Activities:***

Activity	Timeline	Resources
----------	----------	-----------

# APR Template – Part C (4)

North Dakota

13. Develop internal monitoring review schedule for purposes of verification.	6-30-11	Part C Coordinator
14. Provide training to DD Program Management on assisting families to learn about the parameters of service delivery, including expectations, roles, responsibilities, and rights.	1-1-12	Part C Coordinator, State Family Liaison
15. Provide training to DD Program Management and Infant Development staff on the monitoring and documentation of service delivery using the new data system.	1-1-12	Part C Coordinator
16. Develop materials for parents who have hospitalized infants to assist with access to SSI and ND Medicaid	7-1-13	Part C Coordinator, State Family Liaison

**Part C State Annual Performance Report (APR) for FFY 2009**

**Overview of the Annual Performance Report Development:**

See APR Indicator #1

**Monitoring Priority: Early Intervention in Natural Environments**

**Indicator 2:** Percent of infants and toddlers with IFSP’s who primarily receive early intervention services in the home or community-based settings.

**Measurement: Percent = [(#of infants and toddler with IFSP’s who primarily receive early intervention services in the home or community-based settings) divided by the (total # of infants and toddlers with IFSP’s)] times 100.**

FFY	Measurable and Rigorous Target
2009	96.8% of infants and toddlers with IFSP’s will primarily receive early intervention services in their home or programs for typically developing children.

**Actual Target Data for FFY 2009:**

**851 children primarily received services in home + 39 primarily received services in community = 890**

**851 children primarily received services in home + 10 data errors that should have been coded “home” versus “other” = 861**

**39 children primarily received services in community setting + 4 data errors that should have been coded “community” versus “other” = 43**

**861 + 43 = 904**

**99.45% = (904/909) X 100 Target met for FFY 2009.**

Initially, 618 Table 2 indicated, 851 children primarily received early intervention services in their home and 39 children primarily received early intervention services in community based settings for typically developing peers. 19 children primarily received early intervention services in other settings not designed for typically developing peers. After examining the data, it appears that 14 of the cases were due to coding errors and 5 were cases where the child was receiving more direct therapy in a clinical setting than supports based in the natural environment. These 5 cases were all in one region.

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:**

*Explanation of Progress:*

The FFY 2009 percentage of 99.45% continues to exceed the target and demonstrates an increase from the FFY 2008 percentage.

**Discussion of Improvement Activities:**

Indicators 2, 3, 4, 5.A, 6, and 9 have been reported on earlier APR's as completed. Indicator 8 completion is not due in this reporting period.

Activity	Timeline	Resources	Comments
<p>1. Continue technical assistance and training for Infant Development staff and Service Coordinators regarding implementation of routines based intervention and transdisciplinary coaching model.</p>	<p>Ongoing</p>	<p>Part C Coordinator, Technical Assistance and Training Project</p>	<p>This has been designated as <b>“ongoing”</b>. During the 2009-2010 year, we continued to contract with Dr. Juliann Woods to strengthen the routine based intervention and transdisciplinary coaching model</p>
<p>5. Develop and deliver technical assistance for Infant Development staff and Service Coordinators regarding effective intervention techniques with foster care families and families attempting to regain custody of their children.</p>	<p>07-01-10 Completed</p>	<p>Part C Coordinator, Technical Assistance and Training Project Part C Coordinator, Technical Assistance Project</p>	<p>Improvement Activity #5 was <b>completed</b>. ND Part C assisted in offering training by Dr. Bruce Perry in March, 2010. Dr. Perry trained on overall attachment, brain trauma, impact of early experiences. In April, 2010, ND Part C provided training on working with parents with developmental disabilities and partnering with the child welfare system on supporting these families. In September, 2009, ND Part C provided training by the state child and family services office regarding care, custody, and control issues. In addition, to state trainings, the DD Division has been working cooperatively with Children and Family Services within the ND Department of Human Services to develop a system of cross-checking caseloads between the two departments.</p>

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2009:

[If applicable]

**Proposed Targets:** We will extend our targets for FFY 2011 and FFY 2012 to 97.2% and 97.3% respectively. Our target for FFY 2010 will remain the same at 97%.

**Improvement Activities:**

Activity	Timeline	Resources	Comments
7. Revise to read: Promote support for infant and toddlers with disabilities and /or challenging behavior in child care settings by working with the ND Early Childhood/Child Care Coordinator and subsequent partners such as ND Child Care Resource and Referral to improve on-line and direct training for child care providers	Extend to: 7-1-12	Part C Coordinator, Technical Assistance and Training Project	While this activity was not accomplished as written, ND Part C provided support to several staff to enroll in the University of Minnesota (CEED) on-line course for Infant Mental Health. Currently training is scheduled in the remaining months of FFY 2010 and then into FFY 2011 for additional training on Infant Mental Health and Autism

11. Revise to read: Natural Learning Opportunity State Work Plan will be implemented and to include formatting of family information, such as “The Facts for Families” into audio and/or video products.	Extend to: 7-1-13	Part C Coordinator	
--	-------------------	--------------------	--

**Part C State Annual Performance Report (APR) for FFY 2009**

**Overview of the Annual Performance Report Development:**

See APR Indicator #1

**Monitoring Priority: Early Intervention in Natural Environments**

**Indicator 3:** Percent of infants and toddlers with IFSP’s who demonstrate improve:

- 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 behavior to meet their needs.

**Measurement:**

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.

Progress categories for A, B and C:

- a. Percent of infants and toddlers who did not improve functioning = [(# of infants and toddlers who did not improve functioning) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
- b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers = [(# of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
- c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it = [(# of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
- d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers = [(# of infants and toddlers who improved functioning to reach a level comparable to same-aged peers) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
- e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers = [(# of infants and toddlers who maintained functioning at a level comparable to same-aged peers) divided by (# of infants and toddlers with IFSPs assessed)] times 100.

**Summary Statements for Each of the Three Outcomes (use for FFY 2008-2009 reporting):**

**Summary Statement 1:**

Of those infants and toddlers who entered or exited early intervention below age expectations in each Outcome, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program.

**Measurement for Summary Statement 1:**

Percent = # of infants and toddlers reported in progress category (c) plus # of infants and toddlers reported in category (d) divided by [# of infants and toddlers reported in progress category (a) plus # of infants and toddlers reported in progress category (b) plus # of infants and toddlers reported in progress category (c) plus # of infants and toddlers reported in progress category (d)] times 100.

**Summary Statement 2:**

The percent of infants and toddlers who were functioning within age expectations in each Outcome by the time they turned 3 years of age or exited the program.

**Measurement for Summary Statement 2:**

Percent = # of infants and toddlers reported in progress category (d) plus [# of infants and toddlers reported in progress category (e) divided by the total # of infants and toddlers reported in progress categories (a) + (b) + (c) + (d) + (e)] times 100.

FFY	<b>Measurable and Rigorous Target</b>																		
2009	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;"></th> <th style="width: 16.6%; text-align: center;">A.</th> <th style="width: 16.6%; text-align: center;">B.</th> <th style="width: 16.6%; text-align: center;">C.</th> </tr> <tr> <th style="text-align: left;">SUMMARY STATEMENTS</th> <th style="text-align: center;">Social Emotional Skills</th> <th style="text-align: center;">Acquiring and Using Knowledge and Skills</th> <th style="text-align: center;">Taking Appropriate Action to Meet Needs</th> </tr> </thead> <tbody> <tr> <td>1. Of those children who entered the program below age expectations, the percent that substantially increased their rate of growth by the time they exited. (c+d/a+b+c+d) X 100 = %</td> <td style="text-align: center;">34.0%</td> <td style="text-align: center;">48.0%</td> <td style="text-align: center;">65.0%</td> </tr> <tr> <td>2. Percent of children who were functioning within age expectations by the time they exited. (d+e/a+b+c+d+e) X 100 = %</td> <td style="text-align: center;">61.0%</td> <td style="text-align: center;">52.5%</td> <td style="text-align: center;">81.5%</td> </tr> </tbody> </table>				A.	B.	C.	SUMMARY STATEMENTS	Social Emotional Skills	Acquiring and Using Knowledge and Skills	Taking Appropriate Action to Meet Needs	1. Of those children who entered the program below age expectations, the percent that substantially increased their rate of growth by the time they exited. (c+d/a+b+c+d) X 100 = %	34.0%	48.0%	65.0%	2. Percent of children who were functioning within age expectations by the time they exited. (d+e/a+b+c+d+e) X 100 = %	61.0%	52.5%	81.5%
	A.	B.	C.																
SUMMARY STATEMENTS	Social Emotional Skills	Acquiring and Using Knowledge and Skills	Taking Appropriate Action to Meet Needs																
1. Of those children who entered the program below age expectations, the percent that substantially increased their rate of growth by the time they exited. (c+d/a+b+c+d) X 100 = %	34.0%	48.0%	65.0%																
2. Percent of children who were functioning within age expectations by the time they exited. (d+e/a+b+c+d+e) X 100 = %	61.0%	52.5%	81.5%																

**Actual Target Data for FFY 2009:**

**INDICATOR 3 - Summary Statement Calculator**

FFY 2009 (7/1/2009-6/30/2010)

	A.		B.		C.	
	Social Emotional Skills		Acquiring and Using Knowledge and Skills		Taking Appropriate Action to Meet Needs	
	# of children	% of children	# of children	% of children	# of children	% of children
a. Percent of infants and toddlers who did not improve functioning.	83	34.7%	90	37.7%	59	24.7%
b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers.	14	5.9%	23	9.6%	18	7.5%
c. Percent of infants and toddlers who improved functioning to a level nearer to same aged peers but did not reach.	10	4.2%	16	6.7%	3	1.3%
d. Percent of infants and toddlers who improved functioning to reach a level compared to same aged peers.	41	17.2%	67	28.0%	98	41.0%
e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers.	91	38.1%	43	18.0%	61	25.5%
<b>TOTAL</b>	239	100.0%	239	100.0%	239	100.0%

**SUMMARY STATEMENTS**

1. Of those children who entered the program below age expectations, the percent that substantially increased their rate of growth by the time they exited. (c+d/a+b+c+d) X 100 = %	34.5%	42.3%	56.7%
2. Percent of children who were functioning within age expectations by the time they exited. (d+e/a+b+c+d+e) X 100 = %	55.2%	46.0%	66.5%

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:**

**Explanation of Slippage:** Only one of the six targets were met. Data regarding program, qualifying eligibility area, age at referral, length and amount of service, AXIS III diagnosis, and Indicator # 4 data need further analysis to determine if tool, application of the measurement tool, consistent data collection, early age of identification, etc. is cause of current data results. Support from ECO will be accessed to assist in further analysis and development of Improvement Activities.

**Discussion of Improvement Activities:**

Improvement Activity 1, 2 and 4 were reported as completed in earlier reports. Improvement Activity #1A and #7 are not due for completion.

Activity	Timeline	Resources	Comments
3. Develop information regarding the purpose of Child Outcome data and design a distribution plan for sharing the information with families.	1-1-10 – Extend to 7-1-12	Part C Coordinator, Family Liaison Project	Delaying development of material until more intensive data analysis is completed.
5 Review exit data with each region, identify barriers, develop action plan, and monitor implementation	7-1-10 – Completed Change to ongoing	Part C Coordinator, Technical Assistance Project	This will be built into the development of the Regional Action Plans
6. Review eligibility criteria data with regional administrators and track trends	7-1-10 – Completed Change to ongoing	Part C Coordinator, Decision Support Liaison	Data was reviewed with Regional Program Administrators, and this will be built into the development of the Regional Action Plans

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2009:

**Proposed Targets:**

**2011-2012**

	Social Emotional Skills	Acquiring and Using Knowledge and Skills	Taking Appropriate Action to Meet Needs
1. Of those children who entered the program below age expectations, the percent that substantially increased their rate of growth by the time they exited. $(c+d/a+b+c+d) \times 100 = \%$	34.6%	48.6%	65.6%
2. Percent of children who were functioning within age expectations by the time they exited. $(d+e/a+b+c+d+e) \times 100 = \%$	61.6%	53.1%	82.1%

**2012-2013**

	Social Emotional Skills	Acquiring and Using Knowledge and Skills	Taking Appropriate Action to Meet Needs
1. Of those children who entered the program below age expectations, the percent that substantially increased their rate of growth by the time they exited. $(c+d/a+b+c+d) \times 100 = \%$	34.7%	48.7%	65.7%
2. Percent of children who were functioning within age expectations by the time they exited. $(d+e/a+b+c+d+e) \times 100 = \%$	61.7%	53.2%	82.2%

**Proposed Improvement Activities:**

Activity	Timeline	Resources	Comments
8. Access technical assistance for intensive analysis of this indicator to discover reason for low percentages	7-1-12	Part C Coordinator, Decision Support Liaison, National TA Resources	North Dakota has contacted the ECO Center for support in analyzing Indicator # 3.
9. Implement recommendations from TA to assist in enhancing results for children	7-1-13	Part C Coordinator, Decision Support Liaison, National TA Resources	

**Part C State Annual Performance Report (APR) for FFY 2009**

**Overview of the Annual Performance Report Development:**

See APR Indicator #1

**Monitoring Priority: Early Intervention in Natural Environments**

**Indicator 4:** Percent of families participating in Part C who report that early intervention services have helped the family:

- A. Know their rights;
- B. Effectively communicate their children’s needs; and
- C. Help their children develop and learn

(20 U.S.C. 1416(a)(3)(A) and 1442)

**Measurement:**

- A. Percent = [(# respondent families participating in Part C who report that early intervention services have helped the family know their rights) divided by the (# of respondent families participating in Part C)] times 100.
- B. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped their family effectively communicate their children’s needs) divided by the (# of respondent families participating in Part C)] times 100.
- C. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped their family help their children develop and learn) divided by the (# of respondent families participating in Part C)] times 100.

FFY	Measurable and Rigorous Target
2009	<ul style="list-style-type: none"> <li>A. 86.5 percent of families participating in Part C will report that early intervention services have helped their family know their rights.</li> <li>B. 90.5 percent of families participating in Part C will report that early intervention services have helped their family effectively communicate their children’s needs.</li> <li>C. 88.5 percent of families participating in Part C will report that early intervention services have helped their family help their children develop and learn.</li> </ul>

**Actual Target Data for FFY 2009:**

- A. 90% = (261/291) X 100      **Met State Target**
- B. 90% = (260/291) X 100      **Did not Meet State Target**
- C. 92% = (266/291) X 100      **Met State Target**

Answers on the values 5, 6, and 7 on the ECO survey indicate that families answering the survey felt that their early intervention services had done good to excellent work in helping them.

- 261 families responded with values 5, 6, and 7 to: To what extent has early intervention helped your family know and understand your rights?

- 260 families responded with values 5, 6, and 7 to: To what extent has early intervention helped your family effectively communicate your child’s needs?
- 266 families responded with values 5, 6, and 7 to: To what extent has early intervention helped your family be able to help your child develop and learn?

The ECO Part C Family Survey was mailed to all families in FFY 2009. 906 surveys with a cover letter and postage paid envelope were mailed. A second letter and survey was mailed to all families that did not respond to the first mailing. All surveys were mailed from and returned to the state office and included a unique identification number. 291 completed surveys were returned for a return rate of 32%.

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:**

***Explanation of Progress/Slippage:***

Below is the trend data for North Dakota:

	FFY 2006	FFY 2007	FFY 2008	FFY 2009	Target 2009
A. Know and understand your rights?	85%	89%	88%	90%	86.5%
B. Effectively communicate your child’s needs?	88%	92%	91%	90%	90.5%
C. To be able to help your child develop and learn	86%	90%	90%	92%	88.5%

Outcomes A and C both show performance above the set targets for FFY 2009. Outcome B shows slight slippage from FFY 2008 and is performing slightly below the set target for FFY 2009. At this time, the state does not have an explanation for the slight dip in Outcome B’s performance but will continue to monitor this outcome and attempt to address the issue through technical assistance and training to the regional programs.

The return rate did slip from 38% in FFY 2008 to 32% in FFY 2009. It is the hope of the state that on-line survey possibilities will address this issue; however continued work with the more culturally diverse populations such as the American Indian population will be expanded.

In one region the addresses in the statewide database were not up to date and as a result that region had a lower response rate when compared to their data from previous years. When the state implemented the statewide Therap database on November 1, 2010 family addresses were updated.

**Discussion of Improvement Activities:**

Indicator 2 was reported on earlier APR's as completed. Indicator 10 completion is not due in this reporting period.

Activity	Timeline	Resources	Comments
1. Develop analysis tools to determine factors contributing to regional differences; and compare results with length of time in early intervention system, type and intensity of supports, and child's developmental needs and progress. Added identifier to survey to better track demographic information.	7-1-10 - Completed	Part C Coordinator, DHS Research Staff, NDICC Early Intervention Services Subcommittee, ECO Center	
2A. Modify Survey cover letter and develop and distribute brochure for families regarding use of survey data.	Extend to 1-1-12	Part C Coordinator, State Family Liaison	Need to develop brochure. The parent survey letter contents were reviewed with the NDICC on 6-8-10. NDICC members provided recommendations and the cover letter was updated.
3. Review and refine data collection methods to assure returned surveys are representative of all families served. Develop procedures to facilitate scanning of returned surveys and mechanisms to allow families to complete the survey on-line.	Extend to 7-1-12	Part C Coordinator, DHS Research Staff, DHS Information Technology Services Staff ,Therap staff	A child specific identifier was added to the surveys to facilitate analysis of surveys returned and not returned. Hardware and software were purchased and installed so returned surveys can now be scanned into a database. The state is exploring integrating the survey into the current data base system (Therap) as plans are being made to open the records to families.
4. Fields will be added to capture family email addresses to enable survey and communicate by email	Completed	Part C Coordinator	This occurred with the implementation of new databases

5. Identify with each region activities to increase response rates from the families they serve.	Completed Changed to ongoing review	Part C Coordinator and Decision Support Liaison	
--	--	---	--

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2009:**

***Proposed Targets***

Targets will be extended for FFY 2011 and FFY 2012 to the following:

	FFY 2011	FFY 2012
D. Know and understand your rights?	87.2%	87.4%
E. Effectively communicate your child's needs?	91.2%	91.4%
F. To be able to help your child develop and learn	89.2%	89.4%

***Improvement Activities – Additions:***

Activity	Timelines	Resources	Comments
6. Implement an Experienced Parent Specialist in every region	7-1-12	Part C Coordinator, State Family Liaison, Infant Development Providers	Currently we have Experienced Parents employed in 5 of our 8 regions with positions being refilled in the other 3 regions.
7. Develop materials (written and video) for families on understanding their participation in the IFSP process and any additional services that may be upcoming.	7-1-13	State Family Liaison, Experienced Parent Staff, and Part C Coordinator	
8. Update ND Medicaid Frequently Asked Question Brochure	1-1-12	State Family Liaison, Part C Coordinator; ND DHS Medical Services Department	

**Part C State Annual Performance Report (APR) for FFY 2009**

**Overview of the Annual Performance Report Development:**

See APR Indicator #1

**Monitoring Priority: Effective General Supervision Part C/Child Find**

**Indicator 5:** Percent of infants and toddlers birth to 1 with IFSP's compared to national data.

(20 U.S.C. 1416 (a)(3)(B) and 1442)

**Measurement: Percent = [(# of infants and toddlers birth to 1 with IFSP's) divided by the (population of infants and toddlers birth to 1) times 100 compared to national data.**

FFY	Measurable and Rigorous Target
2009	1.87 percent of the total population of infants and toddlers birth to 1 residing in North Dakota will be identified and found eligible for early intervention services and have an IFSP

**Actual Target Data for FFY 2009:**

On December 1, 2009 there were 178 children birth to 12 months of age with IFSP's. The number served is from Table 1 (618 data). The total North Dakota population of children birth to 12 months of age is from US Census 2008 data.

**1.95% = (178/9132) X 100 Met State Target**

Compared to others states, North Dakota ranks 5<sup>th</sup> overall. The range is 2.60% to .43% with an average of 1.03%.

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:**

***Explanation of Progress or Slippage:***

The actual percentage for FFY 2009 (1.95%) exceeds the FFY Target, but is a slight decrease from FFY 2007 and FFY 2008.

	FFY 2007	FFY 2008	FFY 2009	FFY 09 Target
Served	178	179	178	
Population	8377	8998	9132	
%	2.12%	1.99%	1.95%	1.87%

As this table indicates, our number served has remained relatively the same however the total number of infants and toddlers in our state has continued to increase. It is important to note that North Dakota has raised one place in the national ranking on this indicator.

**Discussion of Improvement Activities:**

Indicator 2, 3, 4, 5, 9 were reported on earlier APR's as completed. Indicator 8 completion is not due in this reporting period.

Activity	Timeline	Resources	Comment
1.Modify Right Track Database – request Business Analysis and develop RFP by 7-1-10	Extended to 7-1-12	Part C Coordinator, Contract Database Programmer, Right Track Coordinators	Business Analysis by Information Technology Department (ITD) has been completed. ITD will determine if work can be done internally, if not the RFP process will be utilized.
6.Provide training for Early Head Start and Childcare Referral and Resource staff regarding early intervention referral and eligibility process	Extend to 7-1-12	Part C Coordinator, MTAC	Training on Early Intervention, Right Track and referral processes was provided through the Regional Head Start Conference in October, 2010. In addition, extensive training has been done in one region in the state with a new Early Head Start provider and the local Early Intervention program. This improvement activity should be continued for further outreach to the additional Early Head Start programs in our state and the child care community
7.Contract for development of statewide child find marketing material and distribution plan targeting families of young children, medical community, and clergy	Extend 7-1-13	Part C Coordinator	Currently we have amended contracts with Right Track providers to increase service delivery for a designated period of time.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2009:

**Proposed Targets:**

FFY 2011 (2011 – 2012)	1.93 percent of the total population of infants and toddlers birth to 1 residing in North Dakota will be identified and found eligible for early intervention services and have an IFSP
FFY 2012 (2012 – 2013)	1.96 percent of the total population of infants and toddlers birth to 1 residing in North Dakota will be identified and found eligible for early intervention services and have an IFSP

**Proposed Improvement Activities:**

Activity	Timeline	Resources	Comment
10. Right Track Database will be fully implemented and training will occur.	7-1-13	Part C Coordinator, Contract Database Programmers, Right Track Coordinators	
11. Explore the options of an online referral system to expedite EI referrals from the community	7-1-12	Part C Coordinator, ND DHS IT Department	

**Part C State Annual Performance Report (APR) for FFY 2009**

**Overview of the Annual Performance Report Development:**

See APR Indicator #1

**Monitoring Priority: Effective General Supervision Part C/Child Find**

**Indicator 6:** Percent of infants and toddlers birth to 3 with IFSP's compared to national data

**Measurement: Percent = [(# of infants and toddler birth to 3 with IFSP's) divided by the (population of infants and toddlers birth to 3)] times 100 compared to national data.**

FFY	Measurable and Rigorous Target
2009	3.25 percent of the total population of infants and toddlers birth to 3 residing in North Dakota will be identified and found eligible for early intervention services and have an IFSP

**Actual Target Data for FFY 2009:**

On December 1, 2009 there were 909 children birth to 3 years of age with IFSP's. The number served is from Table 1 (618 data). The total North Dakota population of children birth to 3 years of age is from US Census 2009 data.

**3.39% = (909/26,830) X 100 Met Target**

Compared to other states, North Dakota ranks 14<sup>th</sup> overall. The range is 6.51% to 1.24% with an average of 2.67%.

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:**

***Explanation of Progress or Slippage:***

The actual percentage for FFY 2009 (3.39%) exceeds the FFY 2009 Target but is lower than FFY 2008 reporting as illustrated in the chart below:

	FFY 2007	FFY 2008	FFY 2009	FFY 09 Target
Served	811	935	909	
Population	24,682	26,117	26,830	
%	3.29%	3.58%	3.39%	3.25%

**Discussion of Improvement Activities:**

Improvement Activities 2, 3, 4, and 8 were reported on earlier APR's as completed. Improvement Activity #7 - completion is not due in this reporting period.

Activity	Timeline	Resources	Comment
1.Modify Right Track Database – request Business Analysis and develop RFP by 7-1-10	Extended to 7-1-12	Part C Coordinator, Contract Database Programmer, Right Track Coordinators	Business Analysis by Information Technology Department (ITD) has been completed. ITD will determine if work can be done internally, if not the RFP process will be utilized.
5.Provide training for Early Head Start and Childcare Referral and Resource staff regarding early intervention referral and eligibility process	Extend to 7-1-12	Part C Coordinator, MTAC	Training on Early Intervention, Right Track and referral processes was provided through the Regional Head Start Conference in October, 2010. In addition, extensive training has been done in one region in the state with a new Early Head Start provider and the local Early Intervention program. This improvement activity should be continued for further outreach to the additional Early Head Start programs in our state and the child care community
6.Contract for development of statewide child find marketing material and distribution plan targeting families of young children, medical community, and clergy	Extend 7-1-13	Part C Coordinator	Currently we have amended contracts with Right Track providers to increase services delivery for a designated period of time.

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2009:**

*[If applicable]*

**Proposed Targets:**

FFY 2011 (2011 – 2012)	3.2 percent of the total population of infants and toddlers birth to 3 residing in North Dakota will be identified and found eligible for early intervention services and have an IFSP
FFY 2012 (2012 – 2013)	3.4 percent of the total population of infants and toddlers birth to 3 residing in North Dakota will be identified and found eligible for early intervention services and have an IFSP

**Proposed Improvement Activities:**

Activity	Timeline	Resources	Comment
9. Right Track Database will be fully implemented and training will occur.	7-1-13	Part C Coordinator, Contract Database Programmers, Right Track Coordinators	
10. Explore the options of an online referral system to expedite EI referrals from the community	7-1-12	Part C Coordinator, ND DHS IT Department	

**Part C State Annual Performance Report (APR) for FFY 2009**

**Overview of the Annual Performance Report Development:**

See APR Indicator #1

**Monitoring Priority: Effective General Supervision Part C/ Child Find**

**Indicator 7:** Percent of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C’s 45-day timeline.

**Measurement:**  
 Percent = [(#of infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP was conducted within Part C’s 45-day timeline) divided by the (# of infants and toddlers with IFSPs evaluated and assessed for whom an initial IFSP meeting was required to be conducted)] times 100.  
 Account for untimely evaluations, assessments, and initial IFSP meetings, including the reasons for delays.

FFY	Measurable and Rigorous Target
2009	100 percent of eligible infants and toddlers will have evaluations, assessments and an initial IFSP meeting conducted within 45 days of referral.  Accounting for exceptional family circumstances.

**Actual Target Data for 2009:**  
**88.6% = (506/571) X 100 (IFSP within 45 days of referral) – Did Not Meet Compliance Indicator of 100%**  
**88.3% = (53/60) X 100 (Multi-disciplinary Evaluation) – Did Not Meet Compliance Indicator of 100%**  
**89.25% = (482/540) X 100 (All Domains Evaluated) – Did Not Meet Compliance Indicator of 100%**

**(A) 45 Day Timeline**  
 Data was queried from the statewide early intervention database (ASSIST) for all referrals from the 7-01-09 through 6-30-10 that were found eligible for early intervention services. The fields containing the referral date, eligibility status, and IFSP meeting date were compared. Files that were outside of the 45 day deadline were individually reviewed to account for family circumstances or weather related reasons. These were subtracted from the “n” relating to >45 days. In addition, 5 errors were discovered in this review (IFSP meeting date was taken from the wrong document). These were also added into the “n” relating to >45 days.

571 infants and toddlers were referred for early intervention services, found eligible, and had IFSP’s developed during FFY 2009. 98 infants and toddlers had IFSP’s developed after the 45 day timeline. 28 of the IFSP’s that were greater than 45 days were due to family reasons and 5 were due to recording errors. The remaining 65 IFSP’s greater than 45 days were due to program reasons. The majority of the programs reasons resulted from lack of documentation.

**(B) Multi-Disciplinary Evaluations/(C) All Domains**

In addition to collecting the data relating to the 45 day timeline, North Dakota also reviews qualitative factors through their statewide Case Review process to collect information on multidisciplinary evaluations and all domains. Currently, North Dakota does not have a way to accurately cross reference the quantitative and qualitative data.

*Case Reviews were conducted in all regions in North Dakota during FFY 2009; however it should be noted that the regions did not receive findings relating to Multi-Disciplinary Evaluations and All Domains following their reviews as North Dakota was transitioning from an individual and systemic findings process to all findings being individual findings. We also initiated a regional action plan process that will verify all future individual findings and document regional Improvement Activities. We will treat the results of the FFY 2009 data as trend data. It is critically important to watch the trends on this data since North Dakota has moved to a statewide IFSP template in the new database system (Therap). We will be issuing findings on the 45-Day Timeline data but will not on trend data derived from our case review process such as those in the areas of Multidisciplinary Evaluations and All Domains. It is important to note that in North Dakota that prior to 2009, we conducted monitoring of all programs on an annual basis and will continue to do so.*

It is important to note that the state has since conducted case reviews for all regions in FFY 2010 and are actively involved in working with the regions to discuss the findings from these reviews.

Referral Date to IFSP Meeting Date Accounting for exceptional family circumstances					Multi disciplinary Evals			Evals included all domains		
Region	Total	# <= 45	# > 45	% <= 45	Met	Trends	% Met	Met	Trends	% Met
1	14	4	10	28.6%	1	2	33%	13	14	48%
2	47	38	9	80.9%	6	0	100%	52	2	96.3%
3	49	43	6	87.8%	5	0	100%	43	2	95.6%
4	89	87	2	96.6%	11	0	100%	96	3	97%
5	112	91	21	81.3%	8	2	80%	65	25	72.2%
6	55	54	1	98.1%	4	0	100%	36	0	100%
7	136	124	12	91.2%	13	3	81.3%	132	12	91.7%
8	69	65	4	94.2%	5	0	100%	45	0	100%
<b>State</b>	<b>571</b>	<b>506</b>	<b>65</b>	<b>88.6%</b>	<b>53</b>	<b>7</b>	<b>88.3%</b>	<b>482</b>	<b>58</b>	<b>89.25%</b>

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:**

***Explanation of Progress or Slippage:***

The chart below outlines North Dakota’s performance on this indicator:

Area	FFY 2008	FFY 2009	FFY 2009 Required Performance
45 Day Timeline	96.7%	88.6%	100%
Multi-disciplinary Evaluations	81.9%	88.3%	100%
All Domains Evaluated	88.5%	89.25%	100%

There is slippage in the 45 day timeline from the previous reporting year in FFY 08. Due to lack of documentation for reason in the majority of the cases reviewed it was difficult to tell why this was occurring. The information gathered in this area will be compared with the FFY 10 data.

The data for Multi-disciplinary Evaluations and All Domains Evaluated appear to have improved slightly to the data that was gathered prior to the consideration of corrections that occurred in FFY 2008.

**Correction of FFY 2008 Findings of Noncompliance (if State reported less than 100% compliance):**

Timeliness could not be corrected for individual children, but the programs with findings in that area implemented systemic procedure changes that were verified before the findings were closed.

1. Number of findings of noncompliance the State made during FFY 2008 (the period from July 1, 2008 through June 30, 2009)	81
2. Number of FFY 2008 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	43
3. Number of FFY 2008 findings not verified as corrected within one year [(1) minus (2)]	38
<b>Correction of FFY 2008 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance):</b>	
4. Number of FFY 2008 findings not timely corrected (same as the number from (3) above)	38
5. Number of FFY 2008 findings the State has verified as corrected beyond the one-year timeline (“subsequent correction”)	0
6. Number of FFY 2008 findings not verified as corrected [(4) minus (5)]	38

**Actions Taken if Noncompliance Not Corrected:** These findings are located in one program in our state. Presently, state staff is working with this region to modify their Regional Action Plan to require more frequent monitoring and intensive technical assistance as defined by the state. If issues are not resolved, the state will address the issues with the governing board by no later than 12-31-11..

**Verification of Correction (either timely or subsequent):**

Correction of findings was closed through verification of procedures and policy changes, individual case correction or subsequent Case Review Monitoring. Verification of findings involved review of open cases in each EIS program with identified noncompliance to assure non-compliance was corrected implementing the specific regulatory requirements for individual children. If the case was closed and the finding could not be corrected the program’s systemic Improvement Activities were reviewed and verified.

**Discussion of Improvement Activities Completed:**

Improvement Activities 2, 4, 5, 6, 7, 8, 9A, 9B, 9C, 10, 11, 15, and 16 were reported on earlier APR’s as completed.

Activity	Timeline	Resources	Comment
1.Continue technical assistance and training regarding family assessments, evaluations, assessments, and IFSP development to assist staff in completing high quality products in a timely manner	Ongoing – will continue as ongoing	Part C Coordinator, Technical Assistance and Training Project	ND has continued to work with Dr. Juliann Woods to promote Family Centered, Routine Based Service Delivery. Routine Based Interviewing training was also offered to all EI staff during this fiscal year.
3. Review data entry issues with Infant Development Staff and DD Program Managers and implement streamlining and edit recommendation where possible	Ongoing – will continue as ongoing	Part C Coordinator, Regional Infant Development and Program Management Supervisors; DHS Information Technology Division Staff; Department Therap Staff	Many of these issues were thoroughly reviewed during the implementation of a new database system through Therap. ND is continuing this work on two more phases of development. It is hoped that the entire case review process will be able to be imbedded into database.
9D.Examine local protocol as it appears to be the distinguishing factor between regions. Cross regional protocol sharing will be arranged. The need for additional equipment will also be addressed to determined if that could improve timeline (regarding hearing screenings)	7-1-10 – will extend to 7-1-12	Part C Coordinator	Additional OAE/Tymp equipment will be purchased to facilitate timely hearing screenings. Annual ongoing training is offered each September. All equipment is re-calibrated annually.

13.Design and implement Early Intervention Orientation based on competency requirements	7-1-10 – will extend to 7-1-12	Part C Coordinator, Technical Assistance Project, NDICC Early Intervention Services Subcommittee	While a majority of the work has been completed on the EI competencies, these continue to need to be refined. Competencies will be put into policy when all ND Early Intervention Guidelines are updated after publication of Federal Part C Regulations. Orientation module work has been initiated at this time.
14 Design and deliver training based on new Part C regulations	Within 4 months of regulations being issued	Part C Coordinator, Technical Assistance Project	It appears that this will come to fruition in 2011. The Part C Coordinator will monitor and initiate this activity.

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2009:**

***New targets for FFY 2012 and FFY 2013 will reflect compliance of 100%***

***One new Improvement Activities will be added.***

Activity	Timeline	Resources	Comment
17. Follow-up training and implementation support regarding new ND Early intervention Guidelines will be provided based on Regional EI Supervisor feedback, EI staff surveys, and data analysis.	07-01-12	Part C Coordinator, Technical Assistance and Training Project	

**Part C State Annual Performance Report (APR) for FFY 2009**

**Overview of the Annual Performance Report Development:**

See APR Indicator #1;

**Monitoring Priority: Effective General Supervision Part C/Effective Transition**

**Indicator 8:** Percent of all children exiting Part C who received timely transition planning to support the child’s transition to preschool and other appropriate community services by their third birthday including:

- A. IFSPs with transition steps and services
- B. Notification to LEA, if child potentially eligible for Part B; and
- C. Transition conference, if child potentially eligible for Part B

(20 U.S.C. 1416(a)(3)(B) and 1442)

**Measurement:**

- A. Percent = [(# of children exiting Part C who have an IFSP with transition steps and services) divided by the (# of children exiting Part C)] times 100
- B. Percent = [(# of children exiting Part C and potentially eligible for Part B where notification to the LEA occurred) divided by the (# of children exiting Part C who were potentially eligible for Part B)] times 100
- C. Percent = [(# of children exiting Part C and potentially eligible for Part B where the transition conference occurred) divided by the (# of children exiting Part C who were potentially eligible for Part B) times 100.

Account for untimely transition conferences, including reasons for delays.

FFY	Measurable and Rigorous Target
2009	A. 100 percent of children exiting Part C will have an IFSP with transition steps and services.
	B. The appropriate LEA will be notified for 100 percent of the children exiting Part C who are potentially eligible.
	C. 100 percent of children exiting Part C and potentially eligible for Part B will have a transition conference 90 days before their 3 <sup>rd</sup> birthday

**Actual Target Data for FFY 2009:**

8A – IFSP with Transition Steps:

**50% = (7/14) x 100 – Did Not Meet Compliance Target Indicator of 100%; Increase from FFY 08 of 46.15%**

8B – Notification of LEA

**62.2% = (23/37) x 100 – Did Not Meet Compliance Target Indicator of 100%; Decrease from FFY 08 of 82.14%**

8C – Transition Conference Held prior to 90 days

**85.7% = (12/14) x 100 – Did Not Meet Compliance Target Indicator of 100%; Increase from FFY 08 of 68.75%**

	8A		8B		8C	
Region	Met	Trend Data	Met	Trend Data	Met	Trend Data
1	1	1	1	2	1	0
2	0	1	4	0	0	0
3	2	0	5	0	1	0
4	0	0	3	2	0	0
5	1	0	5	0	1	0
6	0	0	1	1	0	0
7	1	5	3	7	4	2
8	2	0	2	0	1	1
<b>State</b>	7	7	23	14	10	4

*Case Reviews were conducted in all regions in North Dakota during FFY 2009; however it should be noted that the regions did not receive findings relating to Indicator # 8 following their reviews as North Dakota was transitioning from an individual and systemic findings process to all findings being individual findings. We also initiated a regional action plan process that will verify all future individual findings. We will treat the results of the FFY 2009 data as trend data. It is important to note that in North Dakota that prior to 2009, we conducted monitoring of all programs on an annual basis and will continue to do so.*

It is also important to note that the state has since conducted case reviews for all regions in FFY 2010 and are actively involved in working with the regions to discuss the findings from these reviews.

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:**

***Explanation of Progress or Slippage:***

FFY 2009 data shows increases in performance in 8A and 8C. Slippage is noted in 8B. The number of cases reviewed appears to slightly higher in 8B and 8C. We continued to have difficulty with getting the documentation of the LEA notice imbedded into the statewide database. Continued development of the Early Intervention/Developmental Disabilities database (Therap), and the updated state Transition Guidelines being developed jointly with ND DPI with assistance from NECTAC and MPRRC will assist with prompting the entry of this data as well as the collection of the data.

***Discussion of Improvement Activities:***

Improvement Activities 1, 2, 3, and 5 were reported on earlier APR's as completed. Improvement Activity #7 and 8 - completion is not due in this reporting period.

Activity	Timeline	Resources	Comment
4. Collect and analyze the Family Transition Survey results. Modify transition process if indicated.	7-1-10 – Not Completed, Extend to 7-1-13	Part C Coordinator, Family Liaison Project, NDICC Early Intervention Services Subcommittee, ND Department of Public Instruction, NECTAC	Contract was developed, but internal processes for handling data that will be collected will be part of the Therap database development – Phase II
6. Modify ASSIST data fields and electronic file to allow for documentation of Transition Meeting, LEA Notification, and creation of an edit to prompt users to record outcome category.	7-1-10 – Not Completed (See below for revision)	Part C Coordinator, DHS Information Technology Division Staff	With implementation of Therap on 11-01-10, data fields were modified to capture date of 2-9 Transition meetings. Therap updates due July 2011 will include mechanisms to consistently capture LEA notification and include an IFSP Review template with required transition plan fields.

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2009:**

***New targets for FFY 2012 and FFY 2013 will reflect compliance of 100%***

***Improvement Activities - Revision***

Activity	Timeline	Resources	Comment
6. Revise to: Create Therap data fields to allow for documentation of Transition Meeting, LEA Notification, and creation of an edit to prompt user to record outcome category	7-1-12	Part C Coordinator, DHS Information Technology Division Staff	Change is made due to new Therap database. Plans are underway to imbed the entire case review document into the format of the database for ease in collecting the needed data sets.

***Improvement Activities – New***

Activity	Timeline	Resources	Comment
9. Implement needed changes to data collection system based upon changes to the revision of the statewide transition guidelines and the release of the Part C regulations	7-1-12	Part C Coordinator, NDICC Early Intervention Services Subcommittee, Department of Public Instruction staff	

**Part C State Annual Performance Report (APR) for FFY 2009**

**Overview of the Annual Performance Report Development:**

See APR Indicator # 1

**Monitoring Priority: Effective General Supervision Part C / General Supervision**

**Indicator 9:** General supervision system (including monitoring, complaints, hearings, etc.) identifies and corrects noncompliance as soon as possible but in no case later than one year from identification.

(20 U.S.C. 1416(a)(3)(B) and 1442)

**Measurement:**

Percent of noncompliance corrected within one year of identification:

- a. # of findings of noncompliance.
- b. # of corrections completed as soon as possible but in no case later than one year from identification.

Percent = [(b) divided by (a)] times 100.

States are required to use the “Indicator 9 Worksheet” to report data for this indicator (see Attachment A).

FFY	Measurable and Rigorous Target
2008	100 percent of all findings of non-compliance will be corrected as soon as possible but in no case later than 1 year from identification.

Actual Target Data for FFY 2008:

INDICATOR C-9 WORKSHEET

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2007 (7/1/07 through 6/30/08)	(a) # of Findings of noncompliance identified in FFY 2007 (7/1/07 through 6/30/08)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
1. Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	8	11	11
	Dispute Resolution: Complaints, Hearings		0	0
2. Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	8	0	0
	Dispute Resolution: Complaints, Hearings		0	0
3. Percent of infants and toddlers with IFSPs who demonstrate improved outcomes	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	8	0	0
	Dispute Resolution: Complaints, Hearings		0	0
4. Percent of families participating in Part C who report that early intervention services have helped the family	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	8	0	0

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2007 (7/1/07 through 6/30/08)	(a) # of Findings of noncompliance identified in FFY 2007 (7/1/07 through 6/30/08)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
	Dispute Resolution: Complaints, Hearings		0	0
5. Percent of infants and toddlers birth to 1 with IFSPs  6. Percent of infants and toddlers birth to 3 with IFSPs	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	8	0	0
	Dispute Resolution: Complaints, Hearings		0	0
7. Percent of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline.	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	8	81	43
	Dispute Resolution: Complaints, Hearings		0	0
8. Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including: A. IFSPs with transition steps and services;	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	8	7	3
	Dispute Resolution: Complaints, Hearings		0	0
8. Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	8	5	2

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2007 (7/1/07 through 6/30/08)	(a) # of Findings of noncompliance identified in FFY 2007 (7/1/07 through 6/30/08)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
appropriate community services by their third birthday including:  B. Notification to LEA, if child potentially eligible for Part B; and	Dispute Resolution: Complaints, Hearings		0	0
8. Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including:  C. Transition conference, if child potentially eligible for Part B.	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	8	5	2
	Dispute Resolution: Complaints, Hearings		0	0
<b>Sum the numbers down Column a and Column b</b>			109	61

Percent of noncompliance corrected within one year of identification = (Column (b) sum divided by column (a) sum) times 100

**56%** = (61/109) x 100

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred**

All programs except one closed all of their FFY 2008 findings. Due to one program, North Dakota slipped from 100% closure of findings in our last APR to 56% closure of findings in this APR. The state is currently working with the program on modification of their Regional Action Plan and is providing additional technical assistance. If progress is not demonstrated by 12-31-11 their governing board will be involved. It should be noted that the program has many highly qualified staff that are providing excellent and timely supports. Fiscal and supervisory issues are felt to be the major issues.

Improvement Activities 1, 2, 3, 5, 6, 7, 8, 9, and 10 were previously completed. Improvement Activities 4 and 12 are on-going.

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources**

***Improvement Activities - Revision***

Activity	Timeline	Resources	Comment
10.A– University contractors developed recommendations for competency areas and possible implementation strategies. A taskforce of early intervention professionals and families will be formed to operationalize the process and develop an implementation timeline.	07-01-11 Extended to 07-01-12	Part C Coordinator Family Liaison Project	The majority of this Improvement Activity is completed; however full implementation is not completed. Implementation will correspond with policy publication following publication of Part Regulations.
11. Contract with University of North Dakota and Minot State University for the development of an Early Intervention Certificate process for pre-service students in early intervention related fields of study. The certificate process will expose a variety of related services students to the field of early intervention and better prepare students to deliver services in a transdisciplinary routines based coaching model.	<del>07-01-2011</del>	Part C Coordinator, Contract University personnel	Removed as Improvement Activity as competency guidelines and orientation modules are anticipated to meet need along with on-going Parents as Trainers project which exposes higher education students to the early intervention team process and provides the families perspective.
13. A business analysis has been completed and a contract will be developed for the design, development and implementation of a web based data system to address timely documentation, notification, tracking, corrections and analysis of individual and systemic findings of non-compliance.	07-01-10 Extended to 07-01-13	Part C Coordinator	Entered into contract on 07-01-10 with Therap for development of new statewide database. Phase I went operational 11-01-10. Additional Phases will be implemented by 07-01-2013

***New targets for FFY 2012 and FFY 2013 will reflect compliance of 100%***

**: Part C State Annual Performance Report (APR) for FFY 2009)**

**Overview of the Annual Performance Report Development:**

See APR Indicator # 1

**Monitoring Priority: Effective General Supervision Part C / General Supervision**

**Indicator 10:** Percent of signed written complaints with reports issued that were resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.

(20 U.S.C. 1416(a)(3)(B) and 1442)

**Measurement:** Percent = [(1.1(b) + 1.1(c)) divided by 1.1] times 100.

FFY	Measurable and Rigorous Target
2009	100 percent of signed written complaints with reports issued were resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.

**Actual Target Data for FFY 2009**

No complaints were filed.

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:**

No individuals contacted the Lead Agency with questions or concerns regarding complaints.

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2009:**

Improvement Activities 1, 2, 3, and 5 were previously completed. Improvement Activity 4 is to modify Improvement Activities after a Written Complaint is received.

*New targets for FFY 2012 and FFY 2013 will reflect compliance of 100%*

**Part C State Annual Performance Report (APR) for FFY 2009**

**Overview of the Annual Performance Report Development:**

See APR Indicator # 1

**Monitoring Priority: Effective General Supervision Part C / General Supervision**

**Indicator 11:** Percent of fully adjudicated due process hearing requests that were fully adjudicated within the applicable timeline.

(20 U.S.C. 1416(a)(3)(B) and 1442)

**Measurement:** Percent = [(3.2(a) + 3.2(b)) divided by 3.2] times 100.

FFY	Measurable and Rigorous Target
2009	100 percent of due process hearing requests were fully adjudicated within 30 days.

**Actual Target Data for FFY 2009:**

No Due Process Hearing requests were filed

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009**

Improvement Activities 1, 2, and 3, were previously completed. Improvement Activity 4 is to modify Improvement Activities after a hearing request is received.

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2009**

*New targets for FFY 2012 and FFY 2013 will reflect compliance of 100%*

**Part C State Annual Performance Report (APR) for FFY 2009**

**Overview of the Annual Performance Report Development:**

\*Not Applicable as Part B due process is not utilized

**Monitoring Priority: Effective General Supervision Part C / General Supervision**

**Indicator 12:** Percent of hearing requests that went to resolution sessions that were resolved through resolution session settlement agreements (applicable if Part B due process procedures are adopted).

(20 U.S.C. 1416(a)(3)(B) and 1442)

**Measurement:** Percent = (3.1(a) divided by 3.1) times 100.

FFY	Measurable and Rigorous Target
<i>(Insert FFY)</i>	<i>(Insert Measurable and Rigorous Target.)</i>

**Actual Target Data for** *(Insert FFY):*

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for** *(Insert FFY):*

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for** *(Insert FFY)*  
*[If applicable]*

**Part C State Annual Performance Report (APR) for FFY 2009**

**Overview of the Annual Performance Report Development:**

See APR Indicator # 1

**Monitoring Priority: Effective General Supervision Part C / General Supervision**

**Indicator 13:** Percent of mediations held that resulted in mediation agreements.

(20 U.S.C. 1416(a)(3)(B) and 1442)

**Measurement:** Percent = [(2.1(a)(i) + 2.1(b)(i)) divided by 2.1] times 100.

FFY	Measurable and Rigorous Target
2009	<i>*Targets will be set after 10 Mediation Requests are received</i>

**Actual Target Data for FFY 2009:**

No requests for mediations received during FFY 2009

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:**

Improvement Activities 1, 2, and 3 were previously completed. Improvement Activity 4 is to modify Improvement Activities after a mediation request is received. Improvement Activity # 5 is set targets after 10 mediation requests are received.

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2009:**

*No Changes*

**Part C State Annual Performance Report (APR) for FFY 2009**

**Overview of the Annual Performance Report Development:**

See APR Indicator # 1

**Monitoring Priority: Effective General Supervision Part C / General Supervision**

**Indicator 14:** State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.

(20 U.S.C. 1416(a)(3)(B) and 1442)

- Measurement:** State reported data, including 618 data, State performance plan, and annual performance reports, are:
- a. Submitted on or before due dates (February 1 for child count and settings and November 1 for exiting and dispute resolution); and
  - b. Accurate, including covering the correct year and following the correct measurement.

States are required to use the “Indicator 14 Data Rubric” for reporting data for this indicator (see Attachment B).

FFY	Measurable and Rigorous Target
2009	100 percent of all required reports will be accurate and submitted on or before due dates.

**Actual Target Data for FFY 2009:**

92.86% = (65/70) x 100

Indicator 14 - SPP/APR Data			
APR Indicator	Valid and reliable	Correct calculation	Total
1	1	1	2
2	1	1	2
3	1	1	2
4	1	1	2
5	1	1	2
6	1	1	2
7	1	1	2
8A	1	1	2
8B	1	1	2
8C	1	1	2
9	1	1	2
10	1	1	2
11	1	1	2
12	1	1	2

13	1	1	2
		<b>Subtotal</b>	30
<b>APR Score Calculation</b>	<b>Timely Submission Points</b> (5 pts for submission of APR/SPP by February 1, 2010)		0
	<b>Grand Total</b>		30

<b>Indicator 14 - 618 Data</b>					
<b>Table</b>	<b>Timely</b>	<b>Complete Data</b>	<b>Passed Edit Check</b>	<b>Responded to Date Note Requests</b>	<b>Total</b>
<b>Table 1 – Child Count Due Date: 2/1/09</b>	1	1	1	1	4
<b>Table 2 – Settings Due Date: 2/1/09</b>	1	1	1	1	4
<b>Table 3 – Exiting Due Date: 11/1/08</b>	1	1	1	NA	3
<b>Table 4 – Dispute Resolution Due Date: 11/1/08</b>	1	1	1	N/A	3
				<b>Subtotal</b>	14
			<b>Weighted Total</b> (subtotal X 2.5)		35
<b>Indicator # 14 Calculation</b>					
			A. APR Total	30	
			B. 618 Total	35	
			C. Grand Total	65	
Percent of timely and accurate data = (C divided by 70 times 100)			(C) / (70) X 100 =		92.86%

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:**

Improvement Activities 1, 2, 3, 5, and 6 were previously completed. Improvement Activity 4 is on-going.

Due to a number of personnel factors North Dakota is late in filing their FFY 2009 SPP and APR. Both reports will be submitted on June 15, 2011 as stated in an earlier e-mail.

In order to prevent this from occurring in the future, the state will examine the internal procedures, resources, roles, and responsibilities relating to the preparation of these reports and create a documented work plan to address this issue. The work plan will be created with staff from the Developmental Disabilities Division, Decision Support, contract Part C support and national technical assistance resources. The North Dakota Interagency Coordinating Council will review the work plan during their September 2011 quarterly meeting. The finalized plan will be shared with North Dakota’s OSEP Part C contact by October 1, 2011.

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2009:**

No Changes

*New targets for FFY 2012 and FFY 2013 will reflect compliance of 100%*

***New Improvement Activities to be added***

Activity	Timeline	Resources	Comment
7. The state will examine the internal procedures, resources, roles, and responsibilities relating to the preparation of these reports and create a documented work plan to address this issue. The work plan will be created with staff from the Developmental Disabilities Division, Decision Support, contract Part C support and national technical assistance resources. The North Dakota Interagency Coordinating Council will review the work plan during their September 2011 quarterly meeting. The finalized plan will be shared with North Dakota’s OSEP Part C contact by October 1, 2011. By 07-01-12 contracts will be modified as needed to support the plan.	07-01-12	Part C Coordinator,	

8. Improvement Activity implementation and effectiveness will be analysis and plan modified as needed.	07-01-13	Part C Coordinator,	
--	----------	---------------------	--