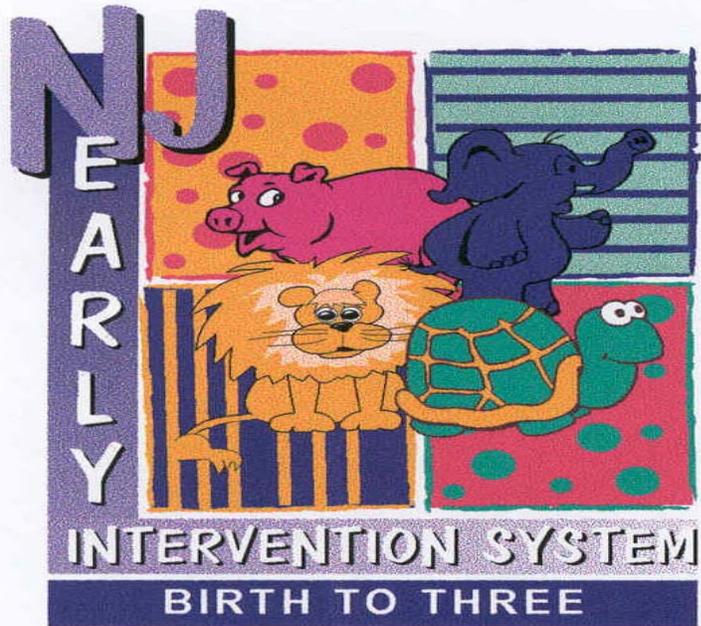


# NEW JERSEY EARLY INTERVENTION SYSTEM

## PART C ANNUAL PERFORMANCE REPORT



New Jersey Department of Health and Senior Services  
Division of Family Health Services



**Federal Fiscal Year  
2009-2010**

Submitted February 1, 2011

## Overview of Annual Performance Report Development

In accordance with the Individuals with Disabilities Education Act of 2004, the New Jersey Early Intervention System (NJEIS) submitted a Part C State Performance Plan (SPP) to the U.S. Department of Education Office of Special Education Programs (OSEP) on December 2, 2005. That plan was developed based upon guidance from OSEP and with broad stakeholder involvement and input. The NJEIS Part C State Performance Plan was disseminated to the public through posting to the website (<http://nj.gov/health/fhs/eis/index.shtml>) and the Regional Early Intervention Collaboratives (REICs) website (<http://www.njeis.org>). The SPP was also disseminated electronically to representatives of the Part C Steering Committee, State Interagency Coordinating Council (SICC), state agencies (Department of Education, Department of Human Services, Department of Children and Families), advocacy organizations, Service Coordination Units and Early Intervention Program provider agencies for distribution throughout the State.

Annual Performance Reports (APR) were prepared and submitted each February since 2007. The NJEIS Annual Performance Reports are posted at: <http://www.state.nj.us/health/fhs/eis/report.shtml>. NJEIS relies each year on a Part C Steering Committee and the State Interagency Coordinating Council to advise and assist in the development of the NJEIS Annual Performance Report (APR). For federal fiscal year 2009 reporting on performance for July 1, 2009 - June 30, 2010 the stakeholders reviewed available data and analyzed the status of the state Part C system, as well as local systems, related to measurable and rigorous targets established in the State Performance Plan. For each of the indicators in the State Performance Plan, the stakeholder group compared current data to target data and engaged in discussion about progress and slippage. Stakeholder members also reviewed improvement activities, timelines and resources for each indicator to: (1) determine which were completed, (2) examine the efficacy of each, and (3) make recommendations about any necessary revisions or additions to the activities, timelines and resources.

New Jersey's updated/revised Part C State Performance Plan (SPP) and this Annual Performance Report (APR) will be disseminated to the public through posting to the DHSS-NJEIS webpage (<http://www.state.nj.us/health/fhs/eis/report.shtml>) and the Regional Early Intervention Collaboratives website (<http://www.njeis.org>). The updated/revised Part C SPP and APR will also be disseminated to all of the above individuals electronically for distribution through their dissemination mechanisms (e.g. newsletters, websites, list serves. etc) throughout the State. These documents will also be disseminated to representatives of state agencies (Department of Education, Department of Children and Families, Department of Human Services) electronically for distribution throughout the State.

FFY 2008 County Performance Reports and Part C Determinations outlining the performance of each county in relation to state targets and Part C requirements were disseminated and posted at <http://www.state.nj.us/health/fhs/eis/report.shtml>. The FFY 2009 reports will be prepared and disseminated in 2011.

During FFY 2008, the NJEIS released a competitive Request for Application (RFA) for early intervention service coordination for eligible children and their families. This first competitive process resulted in a number changes to service coordination grants going into FFY 2010. The number of grantees reduced from 21 to 15 with several agencies awarded to provide service coordination for multiple counties. The lead agency committed significant resources in order to ensure a smooth transition for families including training and technical assistance which has been and continues to be provided for the service coordinators hired as a result of the open competitive process.

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

**Overview of the Annual Performance Report Development:** See overview description on page one

**Monitoring Priority: Early Intervention Services In Natural Environments**

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

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

**Measurement:**

Percent = [(# of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner) divided by the (total # of infants and toddlers with IFSPs)] times 100.

Account for untimely receipt of services, including the reasons for delays.

FFY	Measurable and Rigorous Target
<b>2009 (2009-2010)</b>	<b>100%</b> percent of infants and toddlers with IFSPs will receive the early intervention services on their IFSPs in a timely manner.

**Actual Target Data for FFY 2009:**

For FFY 2009, 92.09% (291/316) of infants and toddlers with IFSPs received the early intervention services on their IFSPs in a timely manner. Family reasons are included in the numerator and denominator.

257 children received timely services and an additional 34 children had delays in services due to child illness/hospitalization, family cancellations and requests to reschedule (family reasons). Therefore 291 (257+34) of 316 children received timely provision of services as monitored by the lead agency through the procedures described below. Services were delayed to 25 children due to system reasons.

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

- In FFY 2009, 92.09% of children received their services in a timely manner as compared to the FFY 2008 performance of 97.06%. This represents slippage of 4.97%.
- NJ continues to monitor all 21 counties every two years by monitoring 10 counties in odd numbered FFYs (Cohort A) and 11 counties in even number FFYs (Cohort B).
- When the cohort of counties (10 counties) monitored in FFY 2009 are compared with their FFY 2007 APR data, these counties increased performance from 88.17% in FFY 2007 to 92.09% in FFY 2009. ***This represents an increase in performance by these counties of 3.92%.***
- As reported last year, the performance of the 11 county cohort monitored in FFY 2008, increased from 93.23% in FFY 2006 to 97.06% in FFY 2008. ***This represents an increase in performance by these counties of 3.83%.***
- As described above and represented in the table below, there continues to be steady progress in performance by both county cohorts.

<b>NJEIS 21 counties</b>	<b>FFY 05-06</b>	<b>FFY 06-07</b>	<b>FFY 07-08</b>	<b>FFY 08-09</b>	<b>FFY 09-10</b>
<b>Cohort A (10 counties)</b>	<b>86.6%</b>		<b>88.17%</b>		<b>92.09%</b>
<b>Cohort B (11 counties)</b>		<b>93.23%</b>		<b>97.06%</b>	

- Timely service data passes through a number of edit checks including verifying there is a valid IFSP date with a billing authorization within the IFSP period, a claim filed by the provider agency supported by a service encounter verification log signed by the parent and an explanation of benefits provided to the family as a secondary verification that the service type, date and intensity are accurate.
- A sampling methodology is necessary for this indicator to ensure that the NJEIS population, which varies widely for each county, is appropriately represented based on the population size of the county. Therefore, a county stratified random sampling plan with a 95% confidence level and +/- 5 confidence interval ensures that child records from both small and densely populated counties are appropriately represented.
- The identification of the data needed to conduct a timely data desk audit, inquiry, and record review is driven by the following factors:
  1. Availability of actual service claims data to ensure that complete and accurate data is available for the data desk audit. Agencies have up to 90 days from the date of service to submit claims data for billing. Therefore, service claim data provided between August 1 and October 31 are not complete until February 1.
  2. The data desk audit, inquiry and record review has historically taken 4 to 6 months to confirm noncompliance and determine the responsible agency(s) and root causes for the noncompliance.
- The FFY 2009 timely services monitoring began with the data desk audit based on a stratified random sample of three months of FFY 2009 service claim data. The data represented all active child records for the months of August, September and October for ten (47.6%) of the twenty one counties in New Jersey. The other eleven counties were reviewed in FFY 2008 and reported in the APR submitted February 1, 2010.
- The desk audit included 316 active child records and 477 services obtained from the NJEIS data system.
- NJEIS provider agencies deliver and bill for IFSP services confirmed by the parent signature on a service encounter verification form at the time of the service. In addition, parents receive an explanation of benefits to verify that the services billed are accurate in accordance with the service encounter verification form signed by the family.
- The initial data desk audit identified that 257 of the 316 children (413 of 477 services) did receive timely services based on the IFSP. Without the necessary drill down for reason for delay, 59 children (64 services) appeared to have received at least one service untimely.
- The NJEIS electronic database does not currently capture all variables needed to determine whether a service is timely including reasons for delay and is unable to identify whether a service is timely under a periodic IFSP. Therefore an inquiry was conducted by the lead agency monitoring staff to obtain the necessary additional information on 59 of the 316 children and 64 of their 477 services.
- As part of the inquiry, the monitoring team conducted a drill down to obtain child specific information, reasons for delays and verification of initiation of services, although late. The service coordination units and early intervention provider agencies were asked to submit copies of child progress notes and tracking lists of service provider assignments (Broadcast). The monitoring team used all the information received to determine where in the process the delay occurred and who was responsible.
- The purpose of the inquiry was to: (1) identify reasons for delays, including documentation of family reasons; (2) determine if the service was added at a subsequent IFSP team meeting not

captured in the database; (3) identify root cause and ensure correction of any systemic barriers; and (4) verify that the delayed service was provided although late.

- The results of the inquiry identified that for 34 of the 59 children (38 of the 64 services), the delays were child or family related (including child illness/hospitalization, family cancellations and requests to reschedule). The data for these children are included in both the numerator and denominator. Therefore 34 of the 59 children (38 of the 64 services) were determined to receive timely services and 25 children (26 services) were determined to have non-compliance in timely services.
- Overall 94.55% (451/477) of the services were timely including 38 services which were delayed due to family reasons of which 4 were due to child illness and/or hospitalization.
- Additional inquiry was conducted to determine primary responsibility for the non-compliance related to the 25 children. Service coordination units and early intervention provider agencies were asked to submit copies of child progress notes, service encounter verification logs, agency notes, evaluation team notes and tracking lists of service provider assignments (Broadcast). The monitoring team used all the information received to determine where in the process the delay occurred and who was responsible. As a result of the additional inquiry, 14 findings of non-compliance were issued in FFY 2010 with Corrective Action Plans to 4 Service Coordination Units and 8 Early Intervention Programs (2 EIPs were issued 2 findings each).
- The 26 services delayed were:
  - 2 physical therapy;
  - 12 speech therapy;
  - 4 occupational therapy and;
  - 8 developmental intervention
- Of the 26 services delayed: 13 services were provided but delayed between 1 to 15 days; 11 services were provided but delayed more than 15 days; 1 family declined the service and 1 family withdrew from early intervention.
- According to the inquiry, system delays were primarily reported to be the result of practitioner availability.
- At least weekly the REICs review tracking documents that provide data on the timely provider agency & practitioner assignment of children with signed IFSPs and ensure notice is provided to the Procedural Safeguards Office when provider assignment is approaching the 30 day timeline with no assignment.
- The NJEIS has procedures to report when no provider is available to the Procedural Safeguards Office. The Procedural Safeguards Office sends letters to each family that includes an option to obtain and receive reimbursement for services out of the NJEIS network pending assignment of an NJEIS practitioner. The Procedural Safeguards Office continues to follow up with each family until the matter is resolved.
- Correction of the data desk audit findings made in FFY 2010 on FFY 2009 data will be reported in C-9 in the FFY 2011-2012 APR due February 1, 2013.
- An additional finding on this indicator was identified through a focused on-site monitoring that included a review of informal contacts to the Procedural Safeguards Office, service authorizations, service claims data, service encounter verification logs, progress notes and child records. As a result, a finding and CAP was issued on 11/17/09 for Indicator 1, timely services. The agency was placed under a High Risk Letter of Agreement (LOA) status and required to report monthly to the DHSS-NJEIS. The agency has since made significant progress as verified during an on-site data verification visit 11/17/10. As a result, the agency LOA status was changed from High Risk to At Risk on 12/28/11. It is expected that the finding will be closed no later than June 30, 2011. This finding will be reported in indicator C-9 in the FFY 2010-2011 APR due February 1, 2012.

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

The process NJEIS uses to verify correction is comprehensive with data drill down to the child specific level, monthly updated data is used to track and verify correction of all noncompliance. Activities for documentation and verification of the correction include updated data from database;

faxed copies of progress notes and IFSPs from child records; verification of claims and service authorization data; and in some cases on-site visits to verify child records. Specific verification activities for each indicator are provided in the narrative under each indicator in this APR.

NJEIS has:

- Accounted for all instances of noncompliance identified through the NJEIS database, desk inquiry, and record review and in some instances onsite data verification. The DHSS confirmed that services were initiated for each child, although late for any child whose services were not initiated in a timely manner, unless the child was no longer in the jurisdiction of NJEIS as verified by the monitoring team through claims data, service encounter verification sign-off, and progress notes (Prong 1).
- Identified the responsible agencies, the percentage of noncompliance in each county and determined reasons for delay (root causes).
- Determined if any policies, procedures and/or practices contributed to the reasons for delays. If yes, the correction action plan required the agency to establish and/or revise appropriate policies, procedures and/or practices. In addition, the NJEIS-08, No Provider Available Policy (NPA) and Procedure was revised in FFY 2009 and distributed to provide additional clarification statewide (Prong 2).
- Ensured that each agency with identified non-compliance is correctly implementing the specific regulatory requirements based on a monthly review and verification of timely initiation of services for all children who had an IFSP event. These monthly reviews continue until the agency is operating at 100% compliance for this indicator at which point the finding is closed (Prong 2).

#### **Correction of Previously Reported FFY 2008 Noncompliance**

- Based on FFY 2008 monitoring data, a total of 5 findings and corrective action plans (CAPs) were issued: 2 SCUs with a total of 2 findings (1 finding each) and 2 EIPs with a total of 3 findings (1 EIP received 2 findings and 1 EIP had 1 finding) with identified non-compliance for this indicator. Status of correction of non-compliance:
  - Correction was verified within twelve months of the issuance of the findings for 1 SCU and 1 EIP. NJEIS accounted for all instances of noncompliance identified through the NJEIS database, desk inquiry, and record review. The DHSS confirmed that services were initiated for each child, although late for the children whose services were not initiated in a timely manner, unless the child was no longer in the jurisdiction of NJEIS as verified by the monitoring team through claims data, service encounter verification sign-off, and progress notes (Prong 1). In addition, the NJEIS ensured that the agencies were correctly implementing the specific regulatory requirements based on a monthly review and verification of timely initiation of services for all children who had an IFSP event. These monthly reviews continued until the agencies were operating at 100% compliance for this indicator at which point the findings were closed (Prong 2).
  - One SCU was replaced by a new grantee and therefore, prong 2 of correction was not necessary. However, NJEIS verified that all children, for whom services were delayed, received their services although late (prong 1) and the new SCU agency was provided notice of the non-compliance issues that existed under the previous agency with an expectation that the county performance was to improve within 6 months of the grant/contract award.
  - One EIP had 2 findings in 2 different counties. Verification of correction for the finding in one county was completed at 14 months. NJEIS accounted for all instances of noncompliance identified through the NJEIS database, desk inquiry, record review and onsite data verification. The DHSS confirmed that services were initiated for each child, although late for any child whose services were not initiated in a timely manner, unless the child was no longer in the jurisdiction of NJEIS as verified by the monitoring team through claims data, service encounter verification sign-off, and progress notes (Prong 1). In addition, the NJEIS ensured that the agency was correctly implementing the specific regulatory requirements based on a monthly review and verification of timely initiation of services for all children who had an IFSP event. These monthly reviews continued until the agency was operating at 100% compliance

for this indicator at which point the finding was closed (Prong 2). However, the EIP had a finding in another county which was still open at 19 months (as of 2/1/11). The monitoring team sanctioned this agency with an At-Risk grantee status on 10/28/10 and conducted a focused on-site monitoring visit to the agency on 12/21/10 to continue to track their improvement toward correction. In addition, the PSO has imposed sanctions on the agency for untimely services.

Improvement Activities	Status
<p>Enhance the SPOE database to record the date of the initial IFSP meetings and all IFSP reviews as a data element. This record would include the date of the meeting and the date of parental consent to any IFSP service.</p>	<p align="center"><b>Not Completed- FFY 2009 Update</b></p> <p>State fiscal concerns, increased workload resulting from ARRA funds, limited resources and a change in administration have delayed issuing a new RFP for the CMO. An RFP has been drafted and was forwarded in November 2010 to the State Office of Information Technology where a Business Case Review is being conducted. The State Treasury continues to approve contract extensions that maintain the Central Management Office until the RFP can be awarded and transition to an enhanced online web-based application can be completed under a new CMO contract.</p>
<p>Enhance the SPOE database to enable NJEIS to link authorizations with a specific IFSP meeting or review. By linking authorizations with these dates, timely services can accurately be measured from the IFSP consent date.</p>	
<p>Enhance the SPOE database to allow the reassignment of an authorization to a different agency or practitioner, while keeping the authorization associated with the IFSP meeting/review that added the service to the child's IFSP.</p>	
<p>Enhance the SPOE database to allow an authorization to be created before an agency/practitioner has been assigned to provide a service. This allows NJEIS to track all authorizations for timely delivery of service. Once an agency/practitioner is assigned to the service, the authorization can be modified.</p>	
<p>Monitoring activities on the provision of timely services will be conducted annually including a desk audit, inquiry to obtain additional information from counties, issuance of findings of noncompliance if necessary, implementation of corrective action plans, provision of technical assistance, and assurance of correction of noncompliance in accordance with federal requirements.</p>	<p align="center"><b>Ongoing Activity FFY 2006-2012</b></p> <p>In the absence of the enhancements to the SPOE database, a desk audit was conducted using the current SPOE database and inquiry was performed on 10 counties for FFY 2009. As a result, the monitoring activities needed to rely on using inquiry to obtain information.</p> <p>The remaining 11 counties were monitored during FFY 2008.</p>
<p>Once the SPOE enhancement is complete, analyze data on "untimely" services to determine if patterns exist in type of service,</p>	<p align="center"><b>Ongoing Activity FFY 2006-2012</b></p> <p>Throughout FFY 2009, the four REICs continued to review each county's Provider Assignment Spreadsheet (Broadcast) weekly to ensure that</p>

Improvement Activities	Status
<p>type of discipline, variations in frequency and intensity of service need/provisions, county area, etc. to determine gaps in access and availability of necessary services. Plans to address any identified needs will be developed and implemented.</p>	<p>families received services in a timely &amp; equitable manner. In addition, the REIC Directors worked with NJEIS state staff to revise the EIP assignment broadcast procedure to create a statewide uniformed format.</p> <p>The REICs continued to track, intervene &amp; provided technical assistance to resolve issues such as:</p> <ul style="list-style-type: none"> <li>• Ensuring that all children and their families were assigned to receive services within 30 days of the IFSP consent date.</li> <li>• Ensuring that the No Practitioner Available policy was enforced when a child approaches 25 days after the IFSP is signed by the parent. This policy includes notifying DHSS and contacting EIPs to secure services.</li> </ul> <p>In addition, REICs conducted the following recruitment and retention activities to ensure qualified staff are available to meet IFSP needs:</p> <ul style="list-style-type: none"> <li>• Participated in 6 Career Days – 3 at Rutgers University; and 1 each at Kean University, Montclair State University, &amp; Seton Hall University.</li> <li>• Posted OT, PT and SLP advertisements on NJ.com for 4 weeks in June.</li> <li>• Posted SLP and OT advertisements at Seton Hall.</li> <li>• Provided a clearinghouse to gather and distribute resumes received through REIC websites and job recruitment activities to EIP's and SCU's. Resumes are forwarded to the provider agencies and service coordination units based upon the county in which the applicant indicates interest. This activity shares resources &amp; saves on advertising. A total of 176 resumes were distributed to the field resulting in 20 new hires.</li> <li>• The REIC's and state office also field telephone calls and emails from individuals and agencies looking to work in NJEIS and forwards to the appropriate agency.</li> </ul>
<p>Continue to facilitate enrollment of new service vendor agencies to increase availability to access to services.</p>	<p style="text-align: center;"><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, issuing letters of agreement to new vendors was unnecessary and interested agencies were advised to consider subcontracting through an approved EIP agency. If a need to increase availability or access is identified that approved EIP agencies are unable to address, new vendors will be considered.</p>

Improvement Activities	Status
<p>Collaborate with the NJ Department of Education, Office of Special Education Programs (OSEP) Personnel Grant to address activities to enhance practitioner recruitment and retention.</p>	<p><b>Completed FFY 2008</b></p>
<p>Compensatory services are provided to families in instances in which services have not been provided in a timely manner. This is identified through informal and formal family contacts to the Procedural Safeguards Office or the NJEIS Central Management Office.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>During FFY 2009, one hundred and fifty-six (156) families received approximately 952.9 hours of compensatory services in accordance with NJEIS decisions through informal resolution by the Procedural Safeguards Office. This included 186.75 hours of developmental intervention; 250.65 hours of Speech &amp; Language Therapy; 141.5 hours of Physical Therapy; 356 hours of Occupational Therapy; 6 hours of Social Work services and 12 hours of Family Training. Three informal resolutions resulted in sanctions to two Early Intervention Program (EIP) provider agencies that were required to provide 19.5 hours of compensatory services at their expense.</p>
<p>When no practitioner is available within the state provider network, a family is authorized by NJEIS to utilize a practitioner outside the state network to provide the early intervention service to ensure that services are provided within the state policy for timely services.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>During FFY 2009, NJEIS-08, No Provider Available Policy (NPA) and Procedure was again revised and distributed to provide clarification.</p> <p>When notified of an NPA, the Procedural Safeguards Office sends a letter to the family indicating that no practitioner has been located and offering the option to obtain and receive reimbursement for services out of the NJEIS network pending assignment of an NJEIS practitioner.</p> <p>In FFY 2009 (July 1, 2009 – June 30, 2010), in accordance with this procedure, 1 family was approved and reimbursed for early intervention services delivered by a practitioner outside the NJEIS.</p>

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010:**

No revisions to improvement activities were recommended or identified by the NJEIS Part C Steering Committee or the lead agency. Timelines were modified as noted under status. Additional targets for FFY 2011 and FFY 2012 are included in the SPP.

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

**Overview of the Annual Performance Report Development:** See overview description on page one

**Monitoring Priority: Early Intervention Services In Natural Environments**

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

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

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

FFY	Measurable and Rigorous Target
<b>2009 (2009-2010)</b>	99.45 percent of infants and toddlers with IFSPs will primarily receive early intervention services in the home or community-based settings.

**Actual Target Data for FFY 2009:**

In FFY 2009, the 618 data reported (10,448/10,505) 99.46% of infants and toddlers with IFSPs primarily received early intervention services in the home or community-based settings. This included 9,870 children who received services primarily in the home plus 578 children who received services primarily in community based settings.

NJEIS finds that the requirement, which designates the primary setting as the location where the child receives most of their services, under represents the number of services provided in community settings. A review of the December 1 data from FFY 2009 indicated that 667 of the 9,870 children that received services primarily in the home also received at least one service in the community.

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

- In FFY 2009, 99.46% of infants and toddlers with IFSPs primarily received early intervention services in the home or community-based settings compared to 98.78% in FFY 2008 which is an increase of 0.68%.
- The percentage of children receiving services in community-based settings decreased from 6.2% (611 children) in FFY 2008 to 5.5% in FFY 2009 (578 children) .
- In FFY 2009, 0.54% (57 children) of children were counted in other (percentage of non-natural environment settings).
- The REICs review the IFSP justifications of any service that is not being provided in a natural environment and provide technical assistance as needed.

Improvement Activities	Status
<p>Using the SPOE database, run and disseminate an annual report ranking the twenty-one counties' performance on this indicator based on December 1 child count.</p>	<p align="center"><b>Ongoing Activity FFY 2006-2012</b></p> <p>These data are reported in the Annual County Performance Reports and posted on the NJEIS website.</p>
<p>Collaborate with the Council on Developmental Disabilities (CDD) on their Part C Planning and Implementation Grants to enhance inclusive community resources and supports for families.</p>	<p align="center"><b>Completed FFY 2006</b></p>
<p>Review state and county data from the NCSEAM and NJEIS Regional Family Surveys to identify patterns in providing services in and/or linking families to community supports and services. Develop and implement activities based on survey results.</p>	<p align="center"><b>Ongoing Activity FFY 2006-2012</b></p> <p>NJEIS Regional Family Surveys were ended with the implementation of the NCSEAM Survey in FFY 2006.</p> <p>In FFY 2009, the NCSEAM survey results were analyzed to identify areas in need of improvement. The NJEIS compared the results of FFY 2008 to FFY 2009 survey results regarding natural environments. The following are the results:</p> <p>"Early Intervention has helped me and/or my family":</p> <ul style="list-style-type: none"> <li>▪ "Participate in typical activities for children and families in my community" increased from 75% to 78% (3% increase);</li> <li>▪ "Know about services in the community" increased from 80% to 81% (1% increase);</li> <li>▪ "Make changes in family' routines that will benefit my child with special needs" decreased from 91% to 88% (3% decrease);</li> <li>▪ "Feel that my family will be accepted and welcomed in the community" stayed the same from 89% to 89%; and</li> <li>▪ "Feel that my child will be accepted and welcomed in the community" decreased 93% to 92% (1% decrease).</li> </ul>

Improvement Activities	Status
<p>Continue to review settings data from the SPOE database to inform progress in provision of service in natural environments.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>The SPOE database documented that the percentage of children receiving services in community based inclusive settings decreased from 6.2% in FFY 2008 to 5.5% in FFY 2009. The Part C Steering Committee has requested that NJEIS continue to explore possibilities for collection of data when families and children receive services in settings other than home on an intermittent basis. This remains under consideration.</p>
<p>Once the new web-based enhancement to the SPOE database is available, the following information will be reviewed to inform CSPD efforts: family information, child and family outcomes, services, supports and settings.</p>	<p><b>Not Completed</b></p> <p>This activity initially scheduled to occur Summer 2007 and annually thereafter is delayed pending the web-based enhancement to the SPOE database.</p>
<p>Review the family assessment page of the IFSP, IFSP Instructions and Orientation materials to ensure that they specifically reflect the child and family outcomes developed by the Early Childhood Outcome Center.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>Following a competitive Request for Application for county service coordination units released in FFY 2008, the responsible agency for 8 of 21 units changed and, as of August 2010, 26 service coordinators new to the NJEIS were hired. To address the resulting orientation and professional development needs, a number of activities were undertaken including:</p> <ul style="list-style-type: none"> <li>▪ A training and technical assistance program for new and continuing service coordinators was designed to incorporate both face-to-face and e-Learning options.</li> <li>▪ Targeted training with on-going technical assistance was provided for administrators in the one county SCU agency with no previous experience in the NJEIS.</li> <li>▪ A four-day training program for new service coordinators was developed with a focus on legal requirements and evidence-based practices which was implemented in August 2010.</li> </ul> <p>ARRA funding provided new opportunities to expand training &amp; technical assistance including the addition of a Service Coordination Training and Technical Assistance Coordinator position and the initial development of on-line training.</p>

Improvement Activities	Status
<p>Enhance collaboration with community based partners to identify existing community supports, develop a plan to make connections and provide professional development. The purpose is to connect families with community supports and services that are not specifically targeted to individuals with disabilities.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, through presentations, planning and stakeholders committees, and EI material exchange, the REICs collaborated with community agencies to connect families to community supports. The community agencies included Unified Childcare Association (UCC's), libraries, Head Start, Early Head Start, Transitional Housing, Catholic Charities, Foster Parents Association, Jewish Community Centers (JCC's), women centers, visiting home health agencies, culturally based organizations, county stakeholder groups.</p>
<p>Create links on NJEIS and advocacy organization websites to assist families in accessing services and supports identified on the "other non-required page" of the IFSP.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>During FFY 2009, The REIC Family Support Coordinators continued development of a "Family Matters" Webpage. The "Family Matters" web page was designed to offer a family friendly site that would assist families in connecting with the REIC family support team, other families, their communities and regional and national websites including advocacy agencies. The REIC Family Support Coordinators finalized the webpage content. The site (which is part of NJEIS.org) went live as of October 15, 2010. Revisions and updates continue as necessary. The webpage is located at:  <a href="http://www.thefamilymatterswebsite.org/">http://www.thefamilymatterswebsite.org/</a></p>

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010:**

No revisions to improvement activities were recommended or identified by the NJEIS Part C Steering Committee or the lead agency. Timelines were modified as noted under status. Additional targets for FFY 2011 and FFY 2012 are included in the SPP.

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

**Overview of the Annual Performance Report Development:** See overview description on page one

### Monitoring Priority: Early Intervention Services In Natural Environments

**Indicator 3:** Percent of infants and toddlers with IFSPs who demonstrate improved:

- 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.

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

#### Measurement:

- 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 the (# 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 the (# 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 the (# 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 the (# 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.

**BASELINE Data (FFY 2008)**

The data presented below serves as the baseline data for this indicator. For FFY 2008, the tables below show the progress data for children who exited July 1, 2008–June 30, 2009. These children had both entry and exit data and had participated in the NJEIS for at least 6 months. Counties reporting for FFY 2008 are Atlantic, Cape May, Morris, Union and Warren.

**3A – Children have positive social-emotional skills (including social relationships) BDI-2**

Domain: Personal-Social

<b>OSEP indicator</b>	<b>Number of Children</b>	<b>% of Children</b>
a) Percent of infants and toddlers who did not improve functioning	1	1%
b) Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	20	13%
c) Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it	8	5%
d) Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers	18	11%
e) Percentage of infants and toddlers who maintained functioning at a level comparable to same-aged peers.	111	70%
<b>Total</b>	<b>158</b>	<b>100%</b>

**3B - Acquisition and use of knowledge and skills (including early language/ communication and early literacy)**

BDI-2 Domains: Cognitive and Communication

<b>OSEP indicator</b>	<b>Number of Children</b>	<b>% of Children</b>
a) Percent of infants and toddlers who did not improve functioning	1	1%
b) Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	19	12%
c) Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it	43	27%
d) Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers	39	25%
e) Percentage of infants and toddlers who maintained functioning at a level comparable to same-aged peers.	56	35%
<b>Total</b>	<b>158</b>	<b>100%</b>

**3C - Use of appropriate behaviors to meet their needs**

BDI-2 Domains: Motor and Adaptive/Self-Help

<b>OSEP indicator</b>	<b>Number of Children</b>	<b>% of Children</b>
a) Percent of infants and toddlers who did not improve functioning	0	0%
b) Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	4	3%
c) Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it	19	12%
d) Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers	32	20%
e) Percentage of infants and toddlers who maintained functioning at a level comparable to same-aged peers.	103	65%
<b>Total</b>	<b>158</b>	<b>100%</b>

**Discussion of Baseline Data**

DHSS-NJEIS continues to use the Battelle Developmental Inventory 2 (BDI-2) to collect data on Indicators 3A, 3B & 3C. This data represents the entry and exit data collection that was completed (July 1, 2008 – June 30, 2009) for indicators 3A, 3B & 3C using the BDI-2. A total of 158 children from 5 counties met the criteria for inclusion in this data set. The previously reported cohorts of child outcomes data for FFY 2006, and FFY 2007 included 63 and 182 children respectively. Comparison of all three data sets (63, 182 & 158 children) indicates reliability of the NJEIS data collection system as the results and data patterns in each indicator are similar for all cohorts.

**Baseline Data Summary Statements**

In the FFY 2008 SPP, NJEIS set targets for child outcomes. Two Summary Statements for each of the three outcomes were provided in order to aggregate the progress data. Targets were set for each of the summary statements for each of the three indicators.

**Summary Statement 1:** Of those children who entered the program below age expectations in each Outcome, the percent who substantially increased their rate of growth by the time they exited the program. This is calculated for each of the three outcome statements by using the formula:  $(c+d) / (a+b+c+d) \times 100$ .

**Summary Statement 1 - Baseline Data (July 1, 2008 - June 30, 2009)**

Indicator 3A - Children have positive social-emotional skills	<b>55.31%</b> substantially increased their rate of growth by the time they exited the program.
Indicator 3B - Acquisition and use of knowledge and skills (including early language/communication and early literacy)	<b>80.39%</b> substantially increased their rate of growth by the time they exited the program.
Indicator 3C- Use of appropriate behaviors to meet their needs	<b>92.72%</b> substantially increased their rate of growth by the time they exited the program.

**Summary Statement 2:** The percent of children who were functioning within age expectations in each Outcome by the time they exited the program. This is calculated using the formula  $(d+e) / N \times 100$ .

**Summary Statement 2 - Baseline Data (July, 1 2008 - June 30, 2009)**

Indicator 3A - Children have positive social-emotional skills	<b>86.64%</b> Of children were functioning within age expectation upon exit from the program
Indicator 3B - Acquisition and use of knowledge and skills (including early language/communication and early literacy)	<b>60.12%</b> Of children were functioning within age expectation upon exit from the program.
Indicator 3C- Use of appropriate behaviors to meet their needs	<b>85.44%</b> Of children were functioning within age expectation upon exit from the program.

**Actual Target Data FFY 2009**

The data presented below is the first year of actual target data this indicator. For FFY 2009, the tables below show the progress data for children who exited July 1, 2009–June 30, 2010. These children had both entry and exit data and had participated in the NJEIS for at least 6 months. Counties reporting for FFY 2009 are Bergen, Cumberland, Gloucester, Hudson and Ocean

**3A – Children have positive social-emotional skills (including social relationships)**

BDI-2 Domain: Personal-Social (July 1, 2009- June 30, 2010)

<b>OSEP indicator</b>	<b>Number of Children</b>	<b>% of Children</b>
a) Percent of infants and toddlers who did not improve functioning	7	3%
b) Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	15	7%
c) Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it	1	0%
d) Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers	14	7%
e) Percentage of infants and toddlers who maintained functioning at a level comparable to same-aged peers.	177	83%
<b>Total</b>	<b>214</b>	<b>100%</b>

**3B - Acquisition and use of knowledge and skills (including early language/ communication and early literacy)**

BDI-2 Domains: Cognitive and Communication (July 1, 2009- June 30, 2010)

<b>OSEP indicator</b>	<b>Number of Children</b>	<b>% of Children</b>
a) Percent of infants and toddlers who did not improve functioning	4	2%
b) Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	21	10%
c) Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it	36	17%
d) Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers	73	34%
e) Percentage of infants and toddlers who maintained functioning at a level comparable to same-aged peers.	80	37%
<b>Total</b>	<b>214</b>	<b>100%</b>

**3C - Use of appropriate behaviors to meet their needs**

BDI-2 Domains: Motor and Adaptive/Self-Help (July 1, 2009- June 30, 2010)

<b>OSEP indicator</b>	<b>Number of Children</b>	<b>% of Children</b>
a) Percent of infants and toddlers who did not improve functioning	0	0%
b) Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	3	1%
c) Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it	16	7%
d) Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers	43	20%
e) Percentage of infants and toddlers who maintained functioning at a level comparable to same-aged peers.	152	71%
<b>Total</b>	<b>214</b>	<b>100%</b>

**Summary Statements**

In the FFY 2008 SPP, NJEIS set targets for child outcomes. Two Summary Statements for each of the three outcomes were provided in order to aggregate the progress data. Targets were set for each of the summary statements for each of the three indicators.

**Summary Statement 1:** Of those children who entered the program below age expectations in each Outcome, the percent who substantially increased their rate of growth by the time they exited the program. This is calculated for each of the three outcome statements by using the formula:  $(c+d) / (a+b+c+d) \times 100$ .

**Summary Statement 1 – Actual Target Data (July 1, 2009 - June 30, 2010)**

Indicator 3A - Children have positive social-emotional skills	40.54%
Indicator 3B - Acquisition and use of knowledge and skills (including early language/communication and early literacy)	81.34%
Indicator 3C- Use of appropriate behaviors to meet their needs	95.16%

**Summary Statement 2:** The percent of children who were functioning within age expectations in each Outcome by the time they exited the program. This is calculated using the formula  $(d+e) / N \times 100$ .

**Summary Statement 2 Actual Target Data (July, 1 2009 - June 30, 2010)**

Indicator 3A – Children have positive social-emotional skills	89.25%
Indicator 3B - Acquisition and use of knowledge and skills (including early language/communication and early literacy)	71.49%
Indicator 3C- Use of appropriate behaviors to meet their needs	91.12%

**Discussion of Actual FFY 2009 Target Data**

DHSS-NJEIS continues to use the Battelle Developmental Inventory 2 (BDI-2) to collect data on Indicators 3A, 3B & 3C. This data represents the entry and exit data collection that was completed (July 1, 2009 – June 30, 2010) for indicators 3A, 3B & 3C using the BDI-2. A total of 214 children from 5 counties met the criteria for inclusion in this data set.

**Actual Target Data for FFY 2009:**

Summary Statement 1	FFY 2008 Baseline	FFY 2009 Target	FFY 2010 Target	FFY 2009 Actual	FFY 2011 Target	FFY 2012 Target
Indicator 3A - Children have positive social-emotional skills	55.31%	56.30%	58.50%	40.54%	58.5%	58.5%
Indicator 3B - Acquisition and use of knowledge and skills (including early language/ communication and early literacy)	80.39%	80.39%	83.00%	81.34%	83.0%	83.5%
Indicator 3C- Use of appropriate behaviors to meet their needs	92.72%	92.72%	95.00%	95.16%	95.0%	95.0%

<b>Summary Statement 2</b>	<b>FFY 2008 Baseline</b>	<b>FFY 2009 Target</b>	<b>FFY 2010 Target</b>	<b>FFY 2009 Actual</b>	<b>FFY 2011 Target</b>	<b>FFY 2012 Target</b>
Indicator 3A - Children have positive social-emotional skills	86.64%	86.64%	87.5%	89.25%	89.25%	89.75%
Indicator 3B - Acquisition and use of knowledge and skills (including early language/ communication and early literacy)	60.12%	60.50%	64.0%	71.49%	68.0%	72.0%
Indicator 3C- Use of appropriate behaviors to meet their needs	85.44%	85.44%	86.5%	91.12%	88.5%	91.12%

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

**For Summary Statement 1:**

- 3A - the target of 56.3% set last year was not met and there was slippage from the FFY 2008 baseline performance of 55.31% to the FFY 2009 performance of 40.54%
  - Summary statement 1-3A measures the substantial progress of the children who entered the program below their same age peers in the area of social-emotional skills. Further examination of the data found 83% of children entered the NJEIS with social-emotional skills comparable to their same age peers therefore the number of children that needed intervention in this areas was 17% (34 children)
  - Twenty-two (22) of the 34 children did not make substantial progress which significantly impacted the state's performance on this outcome measure.
  - The 22 children that did not make progress were equally represented in the exit counties.
  - Each of the 22 children entered the NJEIS with significant delays in all areas. These 22 children had an average delay of -1.8 SD in social-emotional skills, a -2.41 SD in their communication skills (which impacts social abilities), and a delay of -1.81SD in all their overall development. One could theorize that the children in 3A who did not make progress were those that entered the system with considerable developmental needs in all areas.
- 3B – the target of 80.39% set last year was met and there was progress from the FFY 2008 baseline performance of 80.39% to the FFY 2009 performance of 81.34%
- 3C – the target of 92.72% set last year was met and there was progress from the FFY 2008 baseline performance of 92.72% to the FFY 2009 performance of 95.16%

**For Summary Statement 2:**

- 3A - the target of 86.64% set last year was met and there was progress from the FFY 2008 baseline performance of 86.64% to the FFY 2009 performance of 89.25%
- 3B – the target of 60.50% set last year was met and there was progress from the FFY 2008 baseline performance of 60.12% to the FFY 2009 performance of 71.49%

- 3C – the target of 85.44% set last year was met and there was progress from the FFY 2008 baseline performance of 85.44% to the FFY 2009 performance of 91.12%

Improvement Activities	Status
DHSS will convene a stakeholder workgroup to identify additional mechanisms that will inform families of the Child Outcomes Project	<b>Completed March 2008</b>
DHSS will add Service Coordination Units to the data management system and provide training and technical assistance to facilitate the flow of information from evaluation teams to service coordinators	<p><b>Ongoing Activity FFY2006-2012</b></p> <p>In FFY 2009 DHSS-NJEIS reconsidered adding service coordination to the web-based data system as the software configuration does not currently support another level of access. Instead, the DHSS granted access to the web-based data system to one or two designated individuals at each Regional Early Intervention Collaborative office to further assist with providing technical assistance.</p>
DHSS will offer annual state-wide training days for evaluators to learn BDI-2 administration and NJEIS policies and procedures related to implementation	<p><b>Ongoing Activity FFY 2006 – 2012</b></p> <p>NJEIS provided training in the summer of 2010. This training was sufficient to ensure the staffing needs of the evaluation teams into FFY 2010. Additional training and technical assistance is planned for FFY 2010 to: (1) transition the technology component; (2) ensure fidelity of implementation of the tool; and (3) train new evaluators on the BDI, policies and procedures.</p>
DHSS will use data from Indicators 3A, 3B, and 3C to identify the training needs of NJEIS practitioners.	<p><b>Ongoing Activity FFY 2006 – 2012</b></p> <p>Actual target data from FFY 2009 indicates that practitioners are in need of training and technical assistance to increase their capacity in providing intervention that assists children in their development of social-emotional skills.</p> <p>Discussions are underway with the CSPD team to address this need in FFY 2010 and 2011. In addition, at the request of the Steering Committee the NJEIS will explore possible mechanisms for the optional use of child and family outcome data in enhancing practitioner competencies.</p>

Improvement Activities	Status
<p>DHSS will partner with the NJ Department of Education, lead agency for Part B 619 services, to develop and implement an agreement and the mechanisms for sharing Child Outcome data between Departments.</p>	<p align="center"><b>Ongoing Activity FFY 2006 – 2012</b></p> <p>In FFY 2009, BDI results were shared at the local level as part of a child’s transition from Part C to Part B. DHSS and NJDOE have continued to explore ways to share data at the departmental level.</p>
<p>DHSS will convene a stakeholder workgroup including the targeted evaluation teams to evaluate the strengths and weaknesses of the initial 4 years of the Child Outcome Project and to plan future targets and improvement activities.</p>	<p align="center"><b>Completed June 2010</b></p> <p>A stakeholder workgroup met in June 2010 to review the successes and challenges to implementation of child outcomes and the use of the BDI-2 in the NJEIS. As of June 2010, over 52,000 children had been evaluated using the BDI and over 400 evaluators state-wide had received training. Targeted Evaluation Team Stakeholders also had the opportunity at this meeting to work directly with Riverside Publishing on the new technology solution that will replace the Palm pilot for electronic scoring and to provide input for improvement activities.</p>
<p>DHSS will replace and update the evaluation equipment as needed to evaluation teams state-wide</p>	<p align="center"><b>Ongoing Activity FFY 2006 – 2012</b></p> <p>In FFY 2009 DHSS monitored the equipment needs of each agency and provide replacements as needed. DHSS has committed to providing new laptop computers for the evaluation teams to continue with the new scoring solution for the BDI. The transition from Palm pilot to laptop will take place in the first quarter of 2011.</p>
<p>DHSS will partner with other Part C states that use BDI-2 for Indicator 3, to evaluate data decisions, results, patterns, trends, and implementation strategies.</p>	<p align="center"><b>Ongoing Activity FFY 2006 – 2012</b></p> <p>In FFY 2009 DHSS continued to be a part of an ad-hoc “BDI-Users Group” that works together via conference calls for sharing of information to assess performance, analyze data trends among states, and troubleshoot implementation strategies.</p>

Improvement Activities	Status
<p>DHSS will pursue alternative and long-term technology solutions that allow for scoring and storing of information by evaluators in the field.</p>	<p><b>Ongoing Activity FFY 2006 – 2012</b></p> <p>In FFY 2009 DHSS worked extensively with Riverside Publishing to achieve a new and long-term technology solution. DHSS state personnel and local evaluation personnel worked directly with the lead development team at Riverside to indicate needs of the Part C system. It is anticipated that the use of the new laptop based scoring solution will begin in the first quarter of 2011.</p>
<p>DHSS will explore the use of a “social-emotional” specific instrument by practitioners and/or families in order to provide focus on improvement of outcomes of children as measured in indicator 3A.</p>	<p><b>Ongoing Activity FFY 2006 – 2012</b></p> <p>In FFY 2009, DHSS identified the social-emotional portion of the Ages and Stages Questionnaire as a potential tool to assist families and practitioners with developing the social-emotional skills of children. In FFY 2010 and FFY 2011, the CSPD team will develop a training plan that focuses on increasing practitioner and family awareness around social-emotional competence.</p>
<p>DHSS will continue participation in the Center of Social and Emotional Foundations for Early Learning (CSEFEL) project in NJ and distribute materials that provide focus and improvement of outcomes of children as measured in indicator 3A</p>	<p><b>Ongoing Activity FFY 2006 – 2012</b></p> <p>A NJ state team is preparing to apply for a CSEFEL grant which would implement this program in NJ. DHSS-NJEIS has representation on the committee preparing the grant application.</p>
<p>NJEIS/DHSS will develop a format and message that can be used to report state and local child outcome data to the Commissioner, Governor’s Office, Legislature and public.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>NJEIS has new state performance reporting requirement as of FFY 2009. NJEIS is working to develop an appropriate format and data collection procedures that could potentially utilize and report data from the Indicator 3C to the Commissioner on a quarterly or monthly basis for public reporting.</p>

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010:**

One new improvement activity was identified by the NJEIS Part C Steering Committee and the lead agency. Timelines were modified as noted under status. Additional targets for FFY 2011 and FFY 2012 are included in the SPP.

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

**Overview of the Annual Performance Report Development:** See overview description on page one

**Monitoring Priority: Early Intervention Services 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 = [(# of 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 the 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 the family help their children develop and learn) divided by the (# of respondent families participating in Part C)] times 100.

FFY	Measurable and Rigorous Target	
<b>2009</b> (2009-2010)	71.0%	Know their rights
	67.5%	Effectively communicate their children's needs
	75.5%	Help their children develop and learn.

**Actual Target Data for FFY 2009:**

- A. **66.8% (253/379)** reflects the percent of families who reported that early intervention helped them know their rights.
  - B. **63.9% (242/379)** reflects the percent of families who reported that early intervention helped them communicate their child's needs.
  - C. **83.4% (316/379)** reflects the percent of families who reported that early intervention helped them help their child develop and learn.
- The NJEIS, for the fourth year, implemented the 22 item Impact on Family Scale (IFS) family survey developed and validated by the National Center for Special Education Accountability Monitoring (NCSEAM) and the Rasch measurement framework for analysis. The FFY 2006 NCSEAM survey results were used to revise baseline data and targets for the FFY 2006 to FFY 2010 APR using the NCEAM target setting calculator found at <http://accountabilitydata.org/Improvement%20Calculator/Calculator.html>.
  - The Impact on Family Scale (IFS) measures the extent to which early intervention helped families achieve positive outcomes specified in Indicator 4. The IFS was developed by NCSEAM to provide states with a valid and reliable instrument to measure (a) positive outcomes that families

experience as a result of their participation in early intervention and (b) families' perceptions of the quality of early intervention services.

- In August 2010, 1,844 surveys were mailed to a sample of families served by NJEIS. Cover letters as well as postage paid business reply envelopes were included with the surveys. The final cutoff date for processing surveys was extended to November 5, 2010 to allow families additional time to respond.
- Of the 1,844 surveys distributed across twenty one counties, 381 were returned for a response rate of 20.66%. Three-hundred seventy nine (379) of the 381 surveys provided responses to the IFS. This number is high enough for the estimated statewide percents on the indicator to be within an adequate confidence interval (approximately +/- 4.8%, with a confidence level of 95%) based on established survey sample guidelines.
- The December 1, 2009 population by race matched the FFY 2009 survey race of respondents within +/- 0.79% for all race groups with the exception of the African American/Not Hispanic (AA/NH) and White/Not Hispanic (W/NH) groups. The NJEIS has historically observed an under-representation in survey response from the AA/NH and Hispanic race groups and therefore has conducted surveys with an over-sampling of these two populations. In addition, secondary follow-up was attempted to families from these race groups who did not respond to the initial survey request. This resulted in additional survey responses which created an over-representation of the African American/Not Hispanic race group and under-representation of the White/Not Hispanic group for FFY 2009 survey responses.
- The county return sample distribution for the state adequately represented the NJEIS population surveyed. The range of variance between the return rate and the December 1 2009 rate by county was -3.2% to 2.5% with fourteen counties with less than +/- 2.0% difference. The median percent difference and the mode was 0.1%.
- To verify that the returned sample was representative of each county, a chi square test was performed. The chi square score was 2.263 which is less than the chi square value of 31.4 with a 20 degree of freedom ( $P < 0.05$ ). This indicates that there is no significant difference between the actual number of returned surveys compared to the expected number based on the NJEIS population.
- Data from each of the scales were analyzed through the Rasch measurement framework. For each scale, the analysis produced a measure for each survey respondent. Individual measures can range from 0 to 1,000. For the Impact on Family Scale (IFS), each family's measure reflects the extent to which the family perceives that early intervention has helped them achieve positive family outcomes. The IFS measures of all respondents were averaged to yield a mean measure reflecting overall performance of the state in regard to the impact of early intervention on family outcomes. The mean measure on the IFS was 643.1. The standard deviation was 171, and the standard error of the mean was 8.8. The 95% confidence interval for the mean was 625.9 – 660.4. This means that there is a 95% likelihood that the true value of the mean is between these two values.
- While OSEP requires that the state's performance be reported as the "percent" of families who report that early intervention services helped them achieve specific outcomes deriving a percent from a continuous distribution requires application of a standard, or cut-score. The NJEIS elected to apply the Part C standards recommended by a nationally representative stakeholder group convened by NCSEAM. The recommended standards established based on item content expressed in the scale were as follows:
  - For Indicator 4A, know their rights, a measure of 539. The percent of families who reported that early intervention services helped them *know their rights* (Indicator 4A) was 66.8%. The 95% confidence interval for the true population percentage is 61.9% – 71.4%. This means that there is a 95% likelihood that the true value of the state percentage for Indicator 4A is between these two values.
  - For Indicator 4B, effectively communicate their children's needs, a measure of 556. The percent of families who reported that early intervention services helped them *help them effectively communicate their child's needs* (Indicator 4B) was 63.9%. The 95% confidence interval for the true population percentage is 58.9% - 68.6%.

- For Indicator 4C, help their children develop and learn a measure of 516. The percent of families who reported that early intervention services helped them *help their child develop and learn* (Indicator 4c) was 83.4%. The 95% confidence interval for the true population percentage is 79.2% - 86.7%.

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

- The following business rules were applied in the selection of families to receive the family survey.
  - Children must have been in the system for at least 9 months from referral; and
  - Children that had an active IFSP or exited early intervention 3 months or less from the population selection date.
- Responses were received from all twenty-one counties in New Jersey.
- Survey responses were received from 381 families, representing a 20.66% return rate (381/1844).
- The target was achieved and exceeded for 4C although slight slippage was noted from 83.8% in FFY 2008 to 83.4% in FFY 2009.
- The target was not met for 4A or 4B. Slippage occurred in 4A from 71.6% in FFY 2008 to 66.8% in FFY 2009. Slippage occurred in 4B from 68.4% in FFY 2008 to 63.9% in FFY 2009.
- The NJEIS is concerned about the slippage in this important indicator but cannot discern definitively any specific variables that contributed to the slippage. One possible hypothesis is the effect of the increase in family cost participation that went into effect in FFY 2009. NJEIS is in the process of analyzing the impact of the increase in family cost participation (e.g. possible decrease in intensity of services, possible increase in families leaving NJEIS, families perception of early intervention). In addition, the REICs are in the process of working with individual counties to collect data on local practices that relate to performance on this indicator to determine contributing factors that will lead to improvement strategies.
- Survey results were shared with the Steering Committee on January 5, 2011 for their review and recommendations. The Steering Committee recommended the statewide report comparing four year trend data on this indicator be posted on the state website. Additionally, they recommended beginning in FFY 2010, county performance on this indicator be included in the local determination criteria. NJEIS agreed with both recommendations.
- The analysis of NJEIS data using the above business rules identified a total population size of 4033 families as documented by the table below.

CountyName	White/ Not Hispanic	African American/ Not Hispanic	Hispanic	American Indian/ Alaskan Native	Asian	Hawaiian/ Pacific Islander	Multi Race	Grand Total
ATLANTIC	52	12	20		7		10	101
BERGEN	233	23	83	1	32	4	2	378
BURLINGTON	114	26	14		4		1	159
CAMDEN	144	42	45		8		4	243
CAPE MAY	20	1	2					23
CUMBERLAND	28	13	46					87
ESSEX	128	117	69	3	12	2	2	333
GLOUCESTER	135	9	4		1		5	154
HUDSON	59	35	111		17	2	4	228
HUNTERDON	20	2	2		2		3	29
MERCER	58	29	32	1	5		2	127
MIDDLESEX	143	30	65	3	37			278
MONMOUTH	213	24	36	3	10		1	287

CountyName	White/ Not Hispanic	African American/ Not Hispanic	Hispanic	American Indian/ Alaskan Native	Asian	Hawaiian/ Pacific Islander	Multi Race	Grand Total
MORRIS	134	6	25		15		7	187
OCEAN	485	7	49		10		3	554
PASSAIC	128	29	149		8	4		318
SALEM	15	6	7					28
SOMERSET	101	11	20		18			150
SUSSEX	37	5	2		1		1	46
UNION	127	47	86		6	1	2	269
WARREN	42	7	4		1			54
Grand Total	2416	481	871	11	194	13	47	4033

### Sampling Plan

NJEIS conducted a two year analysis of historic NJEIS family survey data to identify a potential return rate in an effort to prevent a high margin of error. The NJEIS return rate in FFY 2006-2007 was 15%. Historically, African American/Not Hispanic and Hispanic (AA/H) families have lower return rates than other race groups (W/A/AI/PI/MULTI). This difference was documented in the analysis of the 2005-2006 family survey return rates. Therefore, the NJEIS over sampled these two race groups. NJEIS population varies widely for each county. A minimum and maximum sample size was set to ensure that the sample size from small and densely populated counties was appropriately represented.

NJEIS not only wanted to examine the results from the overall population, but also wanted to understand the differences between key demographic subgroups within the population. In order to be certain to obtain a sample that is representative of the NJEIS population and based on analysis results from previous family surveys, NJEIS implemented the use of a county stratified random sampling without replacement, unequal allocation African American/Not Hispanic and Hispanic (AA/H) race group were pulled at higher percentages than other race groups (W/A/AI/PI/MULTI). The detailed plan follows:

#### Step 1: Target number of survey returns per county.

- The sampling plan is a county stratified random sample without replacement, unequal allocation.
- The sampling rate is 10% with a minimal county stratum size of 20 and a maximum county stratum size of 75. This would be a sample size of 500.
- The margin of error (MOE) per county varied from 8% to 21%. The margin of error for 12 out the 21 counties is less than or equal to 18%.

#### Step 2: Calculate outgoing sample.

To compensate for a projected lower response rate from African American/Not Hispanic and Hispanic race groups, an additional sample was drawn in each of the county stratum. With a 30% expected return rate, the actual number of family surveys mailed was 1,844 (short 5 families of 1849 theoretical sample due to small counties) for the NJEIS population of 4,033 as documented by the table below.

#### Step 3: Analysis Weights

Both stratification and differential response cause samples to deviate from representativeness and therefore weights were adjusted for both. As part of the analysis, a weight inverse was implemented to the:

- Sampling fraction (s.f.) (including all differentials in target n and field sampling rate (fsr)); and
- Response rate.

CountyName	expected returns			sample out				
	N	s.f.	MOE	W/AI/A/HI/PI/MULTI	f.s.r.	AA/H	f.s.r.	total
ATLANTIC	20	20%	20%	46	66%	32	99%	77
BERGEN	38	10%	15%	91	34%	53	50%	144
BURLINGTON	20	13%	20%	50	42%	25	63%	75
CAMDEN	24	10%	19%	51	33%	43	49%	94
Cape May	20	87%	8%	20	100%	3	100%	23
CUMBERLAND	20	23%	19%	21	77%	59	100%	80
ESSEX	33	10%	16%	49	33%	92	50%	141
GLOUCESTER	20	13%	20%	61	43%	8	65%	69
HUDSON	23	10%	19%	28	34%	74	50%	101
HUNTERDON	20	69%	12%	25	100%	4	100%	29
MERCER	20	16%	20%	35	52%	48	79%	83
MIDDLESEX	28	10%	18%	61	34%	48	50%	109
MONMOUTH	29	10%	17%	76	34%	30	51%	107
MORRIS	20	11%	21%	56	36%	17	53%	72
OCEAN	55	10%	13%	165	33%	28	50%	193
PASSAIC	32	10%	16%	47	34%	90	50%	137
SALEM	20	71%	12%	15	100%	13	100%	28
SOMERSET	20	13%	20%	53	44%	21	67%	74
SUSSEX	20	43%	16%	39	100%	7	100%	46
UNION	27	10%	18%	46	33%	67	50%	112
WARREN	20	37%	17%	43	100%	11	100%	54
Grand Total	529	13%	4%	1077	40%	772	57%	1849

### Promotion of the Survey and Follow-Up

Families mailed the completed survey directly to an outside agency to analyze the survey results. A unique child identification number was documented on each survey to allow for demographic analysis. The outside agency conducting the analysis only provided a listing of the child identification numbers of families responding to the survey back to the NJEIS. This enabled the NJEIS to conduct follow-up activities to obtain a representative sample. At no time did the outside agency share information with NJEIS on how any individual family responded.

To ensure NJEIS received the representative sample, the following was implemented:

1. In FFY 2007 the survey was redesigned to provide the impact questions on one form with English on one side and Spanish on the other side so that all families in the sample received the survey in both languages.
2. Families who had not identified English as their primary language were identified through the demographic data and the NJEIS would provide:
  - a. Families with a translated version of the survey (if available); or
  - b. Offer to conduct a phone survey with the family.
3. NJEIS over sampled two race groups (African American/Not Hispanic and Hispanic) who historically had been under-represented in previous survey results. Results are described in the table below.
4. Since FFY 2008, NJEIS added an option for families to respond to the survey through the internet using a unique child identification number (PLINK number).
5. To improve response rates, the lead agency reviewed and verified family addresses with the Service Coordination Units prior to the initial mailing of the survey.
6. Returned mail and phone contacts with families resulted in a second survey mailed to a confirmed address and/or the option to complete the survey via phone and internet.

7. The response rate was reviewed and it was determined that several counties were under represented based on the expected return rate.
8. Additional follow up surveys were conducted to the under-represented counties by having regional family support coordinators contact families and offer assistance to complete the survey by mail or through the internet.
9. Once there was sufficient response, the survey was closed.

Race/Ethnicity	Mailed	% Mailed	N Returned	% Returned	Difference Returned - Mailed	Dec 1 2009 Race	Dec 1 2009 Race %	Difference Return - Race
African American/Not Hisp	276	15.0%	76	19.9%	4.99%	1148	10.9%	9.02%
Am Indian/ Alaskan Native	5	0.3%	2	0.5%	0.25%	22	0.2%	0.32%
Asian	71	3.8%	20	5.2%	1.40%	588	5.6%	-0.35%
Hispanic	496	26.9%	90	23.6%	-3.26%	2398	22.8%	0.79%
White/Not Hispanic	967	52.4%	184	48.3%	-4.12%	6243	59.4%	-11.13%
Multiracial	26	1.4%	6	1.6%	0.17%	90	0.9%	0.72%
Native Hawaiian/Pacific Islander	4	0.2%	3	0.8%	0.57%	16	0.2%	0.64%
Total	1,845	100.0%	381	100.0%		10,505	100.0%	

Improvement Activities	Status
<p>Calculate the outgoing sample by county and race/ethnicity including as part of the analysis, apply a weight inverse to the sampling fraction (including all differentials in target number and field sampling rate); and response rate.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>For FFY 2009, 1,844 families were mailed surveys. The outgoing sample plan is described above.</p> <p>The December 1, 2009 population by race matched the FFY 2009 survey race of respondents within +/- 0.79% for all race groups with the exception of the African American/Not Hispanic (AA/NH) and White/Not Hispanic (W/NH) groups. The NJEIS has historically observed an under-representation in survey response from the AA/NH and Hispanic race groups and therefore has conducted surveys with an over-sampling of these two populations. In addition, secondary follow-up was attempted to families from these race groups who did not respond to the initial survey request. This resulted in additional survey responses which created an over-representation of the African American/Not Hispanic race group and under-representation of the White/Not Hispanic group for FFY 2009 survey responses.</p>

Improvement Activities	Status
Develop a letter to accompany the Family Survey co-signed by the Part C Coordinator and SPAN Co-Director.	<b>Completed in 2006</b>
Contract with a vendor to (1) print and distribute the NCSEAM Survey; (2) For completed surveys conduct scanning and data analysis.	<p style="text-align: center;"><b>Ongoing Activity FFY 2006-2012</b></p> <p>For FFY 2009, the NJEIS contracted with Piedra Data services to coordinate the preparation, mailing, return and analysis of the survey.</p>
Contracted Vendor prints and mails to families the surveys including a unique child identification number that can be used to aggregate demographic data on responders and enable the NJEIS to ensure that a representative sample was achieved.	<p style="text-align: center;"><b>Ongoing Activity FFY 2006-2012</b></p> <p>For FFY 2009, 1,844 families were mailed surveys. The survey was coded with a unique identifier that allowed the NJEIS to aggregate demographic data on responders and conduct follow-up with non-responders.</p> <p>For FFY 2009, NJEIS conducted follow-up to obtain 99 additional survey responses from the following counties which were under represented based on the expected return rate of 20%: Atlantic (4), Burlington (4), Camden (5), Cape May (1), Cumberland (4), Gloucester (4), Salem (2), Bergen (8), Hudson (5), Passaic (7), Essex (8), Morris (4), Sussex (2), Union (6), Warren (3), Hunterdon (2), Mercer (4), Middlesex (6), Monmouth (6), Ocean (10), Somerset (4).</p>
Families mail the completed survey directly to the Contracted Vendor for survey processing (opening, scanning, data verification). Families who have not identified English as their primary language can be identified through the demographic data and the NJEIS will provide the family with a translated version of the survey (if available), or phone survey the family utilizing SPAN (PTI) families to assist with the completion of the survey.	<p style="text-align: center;"><b>Ongoing Activity FFY 2006-2012</b></p> <p>Since FFY 2007, the one page survey with the impact questions in English on one side and Spanish on the other side was utilized so that all families in the sample received the survey in both languages.</p> <p>In FFY 2009, approximately 12 families contacted SPAN with questions about the family survey and/or to get assistance in completing the survey. Four (4) of these families spoke Spanish. All families who contacted SPAN indicated that they intended to complete the survey.</p>

Improvement Activities	Status
<p>Follow-up efforts: Contracted Vendor provides a listing of the child identification numbers of families responding to the survey back to the NJEIS for follow-up as needed to ensure a good return. At no time will the Contracted Vendor share information with NJEIS on how any individual family responded.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, in order to ensure an adequate number of responses, staff contacted an additional random sample of families who had not yet responded. Ninety nine (99) families were contacted by telephone.</p>
<p>Determine which families did not respond within a set time period and follow-up by mailing a reminder post-card and/or phone call.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, the lead agency conferred with the contracted vendor and NJEIS determined that there was not a sufficient return rate and therefore additional follow-up was performed prior to closing the survey.</p>
<p>Database creation, data definition file, Rasch analysis and State-level report containing figures reportable for February 2008 APR.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, Piedra Data Services created the database, data definition file and Rasch analysis. Piedra contracted with Batya Elbaum, Ph.D. and Randall D. Penfield, Ph.D. to prepare the state report.</p>
<p>Provide targeted technical assistance as needed in counties with low response rates or disproportionate responses from subgroups of the total population served in NJEIS.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>The December 1, 2009 population by race matched the FFY 2009 survey race of respondents within +/- 0.79% for all race groups with the exception of the African American/Not Hispanic (AA/NH) and White/Not Hispanic (W/NH) groups. The NJEIS has historically observed an under-representation in survey response from the AA/NH and Hispanic race groups and therefore has conducted surveys with an over-sampling of these two populations. In addition, secondary follow-up was attempted to families from these race groups who did not respond to the initial survey request. This resulted in additional survey responses which created an over-representation of the African American/Not Hispanic race group and under-representation of the White/Not Hispanic group for FFY 2009 survey responses.</p> <p>In addition, on February 2, 2010, the DHSS distributed the results of a county analysis for the three year period (FFY 2006-2008) to the service coordination</p>

Improvement Activities	Status
	<p>units and early intervention providers and technical assistance continues to be provided as needed to continue to increase response rates. Based on a recommendation of the Steering committee on January 2011, this report will also be posted annually beginning with the FFY 2009 data on the NJEIS website.</p>
<p>Review family outcome survey results and revise procedural safeguards training as needed to address concerns identified.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>The NJEIS compared the results of FFY 2008 to FFY 2009 survey results regarding Procedural Safeguards issues. The following are the results to the question of “Early Intervention has helped me and/or my family”:</p> <ul style="list-style-type: none"> <li>▪ “Know about my child’s and family’s rights concerning EI services” decreased from 95% to 93% (3% decrease);</li> <li>▪ “Feel that I can get the services and supports that my child and family need” decreased from 93% to 92% (1% decrease) and;</li> <li>▪ “Understand how the EIS works” decreased from 95% to 94% (1% decrease).</li> </ul> <p>In addition, the DHSS distributed the results of a county analysis for the three year period (FFY 2006-2008) to the Procedural Safeguards and CSPD coordinators to inform the need for training and technical assistance.</p> <p>During FFY 2009, SPAN held an on-line teleconference workshop on early intervention. The teleconference was recorded and posted on-line. The site was accessed by 272 people and over 400 people downloaded the accompanying materials.</p>
<p>Provide information and guidance to Service Coordination Units and EIP agencies on identifying strategies that are supportive of families participating in early intervention services and designed to build upon family strengths and capacity to exercise their rights, effectively communicate their children’s needs and help their child learn and develop.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, survey results were discussed with the Part C Steering Committee and reviewed with the SICC.</p> <p>In addition, on February 9, 2010, the DHSS distributed the results of a county analysis for the three year period (FFY 06-08) to the service coordination units and early intervention providers to assist</p>

Improvement Activities	Status
	<p>in the development of local improvement activities related to performance in family outcomes.</p> <p>Regional staff met with administrators and service coordinators in county and regional groups to review the data and determine strategies for improvement in performance for this indicator. The REICs continue to emphasize the importance of effectively explaining family rights in addition to distributing those rights to families.</p> <p>The REICs have continued to work to ensure that complete Family Rights have been included in every step of the EI process: SPOE Referral, Welcome Packet, Evaluation, FIM, IFSP Review and Annual Meetings and TPCs. The Service Coordination Units have continued to be advised to make the review of family rights a specific and discreet conversation instead of embedding the conversation within the meeting.</p> <p>Regional staff are expected to meet with administrators and service coordinators in county and regional groups to review the data and determine strategies for improvement in performance for this indicator. For example, in some counties the focus will be on effectively explaining family rights in addition to distributing those rights to families.</p>
Add performance on indicator 4 to local determinations criteria beginning with FFY 2010 data.	<b>New Activity FFY 2010-2012</b>

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010:**

One new improvement activity was identified by the NJEIS Part C Steering Committee and the lead agency. Additional targets for FFY 2011 and FFY 2012 are included in the SPP.

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

**Overview of the Annual Performance Report Development:** See overview description on page one

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

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

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

#### Measurement:

Percent = [(# of infants and toddlers birth to 1 with IFSPs) divided by the (population of infants and toddlers birth to 1)] times 100 compared to national data.

FFY	Measurable and Rigorous Target
<b>2009</b> (2009-2010)	0.82 percent of infants and toddlers birth to 1 will have IFSPs

#### Actual Target Data for FFY 2009:

For FFY 2009 (2009-2010), New Jersey served 0.67% (739/110,569) of infants, birth to one, with IFSPs, compared to the national average of 1.03% (44,341/4,314,824).

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

- Data used for comparison to the national average is from 2009 posted by OSEP at: <http://spp-apr-calendar.rfcnetwork.org/search/results/sort/default/ci/5%2C6> as of December 2010.
- FFY 2009 status of 0.67% is 0.15% below the target of 0.82% as set by stakeholders for this reporting period.
- When compared with FFY 2008, the New Jersey state percentage of children birth to one year increased by 0.10% (0.57% - 0.67%) while the national percentage decreased by 0.01% (1.04% - 1.03%).
- As of December 1, 2009, 0.67% of all infants less than 12 months of age were enrolled in NJEIS. In FFY 2009, 23.81% (5/21) five of the twenty-one NJEIS counties met or exceeded the target of 0.82%.
- The total number of referrals of children, birth to age one year, received from July 1, 2009 through June 30, 2010 increased by 1.71% (3,268 to 3,324) than the number received from July 1, 2008 through June 30, 2009.
- The number of referrals from July 1, 2009 through June 30, 2010 examined by age and outcome identified that 2.95% (3324/112,710) of 2008 live births (most current resident births as of January 2011) were referred to NJEIS. This is a 0.13% increase compared to FFY 2008 (2.82%=3268/115,908).
- The ineligibility rate for children referred birth to age one was 29.8% in FFY 2008 and 29.9% in FFY 2009.
- The correction for prematurity in determining eligibility may be contributing to the ineligibility and lower birth to one rate. The Department received comment during the public comment period for NJ Rules that recommended eliminating the correction for prematurity a substantive change in

rules. This change was viewed as a substantive change requiring additional public comment and will be issued as a proposed amendment to the rules. Any change could not be effective until next year.

Age	FFY 2008 Referrals	FFY 2009 Referrals	FFY 2008 % Growth	FFY 2009 % Growth	FFY 2008 Ineligible	FFY 2009 Ineligible
0 – 1	3,268	3324	-9.25%	1.71%	29.8%	29.9%
1 – 2	6,009	6474	-2.09%	7.74%	20.3%	19.7%
2 – 3	4,860	5184	-0.53	6.67%	23.6%	22.8%
<b>Total</b>	14,137	14,982	-3.33%	5.98%	23.7%	23.0%

Improvement Activities	Status
Run and rank county performance on percentage of children birth to one served based on the December 1 count compared to county census data.	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, county data ranged from a low of 0.25% to 1.39%. Eleven of twenty-one counties met or exceeded the 0.67% statewide average. The data are included in the Annual County Performance Reports.</p>
Select counties with low performance and prepare available data on these counties including referral sources, birth registry data, and diagnosed conditions.	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>County data are prepared and shared with the REICs and SICC committees assigned to assist with this indicator.</p>
REICs work with identified counties to analyze data, locate community resources and develop targeted child find and public awareness plans to increase the percentage of children birth to one in the identified county.	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, targeted child find plans were developed and implemented in selected counties by the four REICs. Outreach and child find events included: mailings, telephone communication, face-to-face meetings, and presentations to childcare centers, birthing hospitals, health departments, physicians, mental health centers, WIC, March of Dimes, lead prevention programs, public health nurses, Prevent Child Abuse, Religious organizations, and Division of Youth and Family Services Nurses (DYFS), Division of Youth &amp; Family Services (DYFS).</p> <p>Due to a large turnover of DYFS nurses who are assigned to children in out of home placements, presentations have focused on the referral process, definition of parent, and eligibility criteria. Foster parents have also benefitted from knowing how to access and work with NJEIS.</p>

Improvement Activities	Status
	<p>This has enhanced working relationships and communication between DYFS and NJEIS, leading to more comprehensive services to children dually eligible for DYFS supervision/services and NJEIS services. Early outreach efforts provided primary contacts with the EI referral number. These activities have helped to establish baselines to determine primary referral sources for continued outreach efforts. This has also resulted in more appropriate referrals.</p>
<p>Continue ongoing meetings between NJEIS and the Division of Youth and Family Services (DYFS) to develop policy and procedures to ensure appropriate referral of children under Child Abuse Prevention and Treatment Act (CAPTA) and/or potentially eligible children.</p>	<p style="text-align: center;"><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009 no additional progress was made with the Department of Children and Families (DCF). NJEIS continues to rely on regional training and technical assistance efforts to ensure appropriate referral of children.</p>
<p>NJEIS and DYFS facilitation of regional and local collaboration with Child Welfare Planning Councils.</p>	<p style="text-align: center;"><b>Ongoing Activity FFY 2006-2012</b></p> <p>REICs conducted outreach to seven (7) DYFS district offices through presentations and discussion meetings with 565 attendees</p>
<p>Collaborate with SPANs NICU Project to provide information to families about early intervention.</p>	<p style="text-align: center;"><b>Completed FFY 2006</b></p>
<p>Collaborate with the Family Support Committee of the SICC on activities to increase early identification and referral to NJEIS.</p>	<p style="text-align: center;"><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, the Lead agency and REIC staff continued to work with the SICC Family Support Committee on child find awareness including an EI week held in May to increase public awareness.</p> <p>EI week focused on infant toddler motor development with activities taking place in Little Gyms, Party Gyms, Bounce U and other community based locations.</p> <p>Family Support Coordinators completed the annual review and updated a community and statewide resources listing for families posted on the NJEIS.org website.</p> <p>The REIC Family Support Coordinators continued to work with the Family Support Committee of the SICC to:</p> <ul style="list-style-type: none"> <li>• Continue efforts to set up business meetings with the Departments of Pediatrics in the major hospitals. One business meeting was held in FFY 2009.</li> </ul>

Improvement Activities	Status
	<ul style="list-style-type: none"> <li>• Work with the AAP to develop an article for placement in the AAP NJ newsletter.</li> </ul> <p>In addition, the REICs completed mailings to 875 physicians advising the physicians on the change in system point of entry and increase referral of children that may be eligible for early intervention.</p> <p>Family Support Coordinators from the Mid-Jersey and Southern REICs provided information at the Annual Meeting of the American Academy of Pediatrics, New Jersey Chapter Annual Meeting in June 2010. Participating pediatricians were able to discuss referrals and New Jersey Early Intervention System procedures directly and receive materials to take back to their practices.</p>
<p>Complete two Physician Trainings through the State Improvement Grant to encourage early identification and referral of children to NJEIS.</p>	<p><b>Completed FFY 2005</b></p>
<p>Explore opportunities to collaborate with a NJ Immigration Project (NJIPN) that is reaching out to, collecting information on, and conducting outreach to immigrant families and health services.</p>	<p><b>Ongoing Activity - FFY 2006-2012</b></p> <p>SPAN submitted an application with the NJ Hospital Association for funding from the US Department of Health and Human Services to do outreach to immigrant families in 9 counties in NJ around access to health care and other needed services. This project was funded in FFY 2009 and commenced in October 2009.</p> <p>SPAN has 7 part-time staff working with immigrant families in the counties with the highest population of immigrant families. In addition to working to enroll eligible immigrant children into NJ Family Care, SPAN is sharing resources with families including information on early intervention, EPSDT, etc. SPAN is also working directly with Federally Qualified Health Centers (FQHC), faith-based organizations, schools, and community organizations, and sharing resources, including setting up Family Resource Centers in FQHCs. Under SPAN's new Integrated Systems of Care (ISC) grant from US DHHS (supplementing the ISC grant that started 18 months ago), a greater focus on early and continuous screening and working with practices around using standardized developmental screening tools as a regular part of their practice is occurring.</p>
<p>Plan presentations at grand rounds and business meetings of hospitals statewide.</p>	<p><b>Completed FFY 2006</b></p>

Improvement Activities	Status
<p>Conduct a session at St. Joseph's Hospital in Paterson, an inner city community with typically underserved populations. Links are being forged with the Pediatric Council on Research and Education (PCORE), the charitable foundation of the American Academy of Pediatrics/NJ Chapter (AAP/NJ).</p>	<p><b>Completed FFY 2006</b></p>
<p>Develop training that will be implemented at physician's offices for office staff that meet the needs of patients and families. This will include the exploration of a link with the ongoing EPIC Children's Futures project, in which PCORE participates, addressing the developmental and psychosocial needs of children 0-3 years of age in the city of Trenton.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009 NJEIS continued to work with the American Academy of Physicians NJ Chapter Committee on Youth in Foster Care and Out of Home Placements through PCORE. The committee focuses on increasing primary care physicians awareness and communication with Child Health Programs. This includes planning to help educate physicians, residents, DYFS workers, etc. through grand rounds in hospitals and access to information through websites and newsletters.</p> <p>Early Intervention is an ongoing member of the Educating Practices in Their Communities Preventing Child Abuse and Neglect (EPIC CAN) Community Resource Partner Team. The EPIC CAN Program is housed at NJPCORE and funded by the New Jersey Department of Children and Families Information shared with pediatricians in their practices provide detail to encourage referrals of young children to early intervention when developmental screening indicates that a delay or disability might be present. Children with developmental delays and disabilities are sometimes at higher risk as victims of abuse and neglect and providing services and supports to families is a form of prevention.</p> <p>In calendar year 2011, the EPIC CAN Program will be implementing quality improvement activities with pediatricians statewide for maintenance of certification credit. Early intervention family support coordinators from all regions will be invited to present information on preventing child abuse by providing services to families during learning collaborative sessions with 15 pediatric practices throughout New Jersey.</p>

Improvement Activities	Status
Explore collaboration with ongoing home visiting training projects through Prevent Child Abuse and NJ Academy for Home Visitation Training regarding screening and potential referrals to NJEIS.	<p style="text-align: center;"><b>Ongoing Activity FFY 2006-2012</b></p> NJEIS continued to work with PCORE and Department of Children and Families to develop and implement statewide agreed upon training curriculum and technical assistance for DYFS and NJEIS practitioners.

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

No revisions to improvement activities were recommended or identified by the NJEIS Part C Steering Committee or the lead agency. A proposed revision to the FFY 2010 target is included in the SPP. Additional targets for FFY 2011 and FFY 2012 are also included in the SPP.

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

**Overview of the Annual Performance Report Development:** See overview description on page one

<b>Monitoring Priority: Effective General Supervision Part C / Child Find</b>
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**Indicator 6:** Percent of infants and toddlers birth to 3 with IFSPs compared to national data.

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

<b>Measurement:</b>
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Percent = [(# of infants and toddlers birth to 3 with IFSPs) divided by the (population of infants and toddlers birth to 3)] times 100 compared to national data.
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FFY	Measurable and Rigorous Target
<b>2009</b> (2009-2010)	2.70 percent of infants and toddlers birth to 3 will have IFSPs

**Actual Target Data for FFY 2009:**

For FFY 2009 (2009-2010), New Jersey served 3.14% (10,505/334,709) of infants and toddlers, birth to three, with IFSPs, compared to the national average of 2.67% (348,604/13,055,982).

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

- Data used for comparison to the states with similar eligibility and the national average is from 2009 as posted by OSEP at: <http://spp-apr-calendar.rfcnetwork.org/search/results/sort/default/ci/5%2C6> as of December 2010.
- New Jersey exceeded the target of 2.70% by 0.44% for this indicator as set by stakeholders for this reporting period.
- When compared to FFY 2008, the percentage of infants, birth to three, with IFSPs in New Jersey increased by 0.21% (3.14% - 2.93%).
- The total number of children enrolled in NJEIS on December 1, 2009 (10,505) increased by 719, which is a 7.35% increase from December 1, 2008 (9,786).
- The total number of referrals birth to three years received July 1, 2009 through June 30, 2010 increased by 845, which is a 5.98% increase (14,137 to 14,982).
- 71.43% (15/21) of NJEIS counties met or exceeded the target of 2.70%.

Improvement Activities	Status
Run and rank county performance on percentage of children birth to three served based on the December one count compared to county census data.	<p style="text-align: center;"><b>Ongoing Activity FFY 2006-2012</b></p> In FFY 2009, a ranking of the December 2009 child count was completed.

Improvement Activities	Status
<p>Select counties with low performance and prepare available data on these counties, including referral sources, birth registry data, and diagnosed conditions.</p>	<p align="center"><b>Ongoing Activity FFY 2006-2012</b></p> <p>FFY 2009 county data were prepared and will be shared with the REICs and SICC committees assigned to assist with this indicator in the winter of 2011.</p>
<p>REICs work with identified counties to analyze data, locate community resources and develop targeted child find and public awareness plans to increase the percentage of children birth to three in the identified county.</p>	<p align="center"><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, targeted child find plans were developed and implemented in selected counties by the four REICs. Outreach and child find events included: mailings, telephone communication, face-to-face meetings, and presentations to childcare centers, birthing hospitals, health departments, WIC, March of Dimes, lead prevention programs, public health and Division of Youth and Family Services Nurses (DYFS) Division of Youth &amp; Family Services (DYFS).</p> <p>Due to a large turnover of DYFS nurses who are assigned to children in out of home placements, presentations have focused on the referrals process, definition of parent, and eligibility criteria. Foster parents have also benefitted from knowing how to access and work with NJEIS.</p> <p>This has enhanced working relationships and communication between DYFS and NJEIS leading to more comprehensive services to children dually eligible for DYFS supervision/services and NJEIS services.</p> <p>Early outreach efforts provided primary contacts with the EI referral number. These activities have helped to establish baselines to determine primary referral sources for continued outreach efforts. This has also resulted in more appropriate referrals.</p>
<p>Continue ongoing meetings between NJEIS and the Division of Youth and Family Services (DYFS) to develop policy and procedures to ensure appropriate referral of children under Child Abuse Prevention and Treatment Act (CAPTA) and/or potentially eligible children.</p>	<p align="center"><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009 no additional progress was made with the Department of Children and Families (DCF). NJEIS continues to rely on regional training and technical assistance efforts to ensure appropriate referral of children.</p> <p>REICs conducted outreach to seven (7) DYFS district offices through presentations and discussion meetings with 565 attendees.</p>

Improvement Activities	Status
<p>NJEIS and DYFS facilitation of regional and local collaboration with Child Welfare Planning Councils.</p>	<p><b>Completed FFY 2006</b></p>
<p>Collaborate with the Family Support Committee of the SICC on activities to increase referral to NJEIS.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, the Lead agency and REIC staff continued to work with the SICC Family Support Committee on child find awareness including an EI week held in May to increase public awareness.</p> <p>EI week focused on infant toddler motor development with activities taking place in Little Gyms, Party Gyms, Bounce U and other community based locations.</p> <p>Family Support Coordinators completed the annual review and updated a community and statewide resources listing for families posted on the NJEIS.org website.</p> <p>The REIC Family Support Coordinators continued to work with the Family Support Committee of the SICC to:</p> <ul style="list-style-type: none"> <li>• Continue efforts to set up business meetings with the Departments of Pediatrics in the major hospitals. One business meeting was held in FFY 2009.</li> <li>• Advertisement for placement in the AAP NJ newsletter to promote EI referral # to physicians.</li> <li>• Worked on developing tracking mechanisms to monitor outreach efforts and referral sources.</li> </ul> <p>In addition, the REICs completed mailings to 875 physicians advising the physicians on the change in system point of entry and increase referral of children that may be eligible for early intervention.</p>
<p>Complete two physician trainings through the State Improvement Grant to encourage referral of children to NJEIS.</p>	<p><b>Completed FFY 2006</b></p>
<p>Expand use of bilingual service coordinator associates (SCAs-paraprofessionals) to facilitate communication with families who are non-English-speaking.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>During FFY 2009, the staff located at the REIC offices, continued contracting with "language line" services for more immediate access to an interpreter while a family is on the telephone. The Language Line addresses the growing need of SPOE referral, SC and</p>

Improvement Activities	Status
	<p>ongoing EIPS to address the needs of other language speakers. A total of 117 calls were interpreted between July 1, 2009 and June 30, 2010. Languages have included: Mandarin, Haitian Creole, Turkish, Portuguese, Arabic, Korean, Burmese, Hindi, Tamil, Spanish, Vietnamese, Urdu, Bengali, Japanese, Albanian, Gujarati, French, and Karen.</p>
<p>NJEIS Autism Project Specialist follows national research and incorporates the information into NJEIS recommended practice for the early identification of children on the autism spectrum.</p>	<p style="text-align: center;"><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, the DHSS-NJEIS continued to employ a full time Autism Project Specialist that advises and serves as a resource to the NJEIS, Department of Health and Senior Services and Governor's Office.</p> <p>The Autism Project Specialist is appointed by the Commissioner of DHSS to serve a three year term on the Governor's Council for Medical Research and Treatment of Autism. In addition the Autism Project Specialist was selected as the Commissioner's designee to the NJ Adults with Autism Task Force.</p> <p>The Service Guidelines for Children with Autism in the NJEIS were published in 2010 to reflect systemic and best practice changes since the initial publication in 2003. The Autism Project Specialist will provide training and technical assistance to EIPs on the guidelines throughout FFY 2010.</p> <p>The Autism Project Specialist continued to provide technical assistance, as needed, to practitioners and families to assist with the development of appropriate IFSPs.</p> <p>In FFY 2010, NJEIS will collaborate with the "Early Autism Developmental Disabilities Monitoring (ADDMM)" autism surveillance efforts of the CDC. This project aims to identify the prevalence of ASD in the 2006 birth year utilizing NJEIS records as a part of its research methods.</p>

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010:**

No revisions to improvement activities were recommended or identified by the NJEIS Part C Steering Committee or the lead agency. Additional targets for FFY 2011 and FFY 2012 are included in the SPP.

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

**Overview of the Annual Performance Report Development:** See overview description on page one

<b>Monitoring Priority: Effective General Supervision Part C / Child Find</b>
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**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.

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

<b>Measurement:</b>
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Percent = [(# of infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting 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.
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Account for untimely evaluations, assessments, and initial IFSP meetings, including the reasons for delays.
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FFY	Measurable and Rigorous Target
<b>2009 (2009-2010)</b>	100% of eligible infants and toddlers with IFSPs will have an evaluation and assessment and an initial IFSP meeting conducted within Part C's 45-day timeline.

**Actual Target Data for FFY 2009:**

a. Number of infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting was conducted within Part C's 45-day timeline	<b>324</b>
b. Number of infants and toddlers with IFSPs evaluated and assessed for whom an initial IFSP meeting was required to be conducted	<b>331</b>
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 (Percent = [(a) divided by (b)] times 100)	<b>97.89%</b>

For FFY 2009, 97.89% (324/331) of eligible infants and toddlers with IFSPs received an evaluation and assessment and had an initial IFSP meeting conducted within Part C's 45-day timeline. Family reasons were included in both the numerator and denominator.

291 children received an evaluation and assessment and had an initial IFSP meeting conducted within the Part C 45 day timeline. An additional 29 children had delays in their initial IFSP meeting due to family reasons and an additional 4 children were delayed due to extreme weather and the disruption was proportional to the severity of the weather. Therefore, 324 (291+29+4) of 331 children

had a timely initial IFSP meeting as monitored by the lead agency through the procedures described below.

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

- NJEIS performance for this indicator increased 6.3% from 91.59% in FFY 2008 to 97.89% in FFY 2009.
- 19 out of the 21 counties had 100% compliance. The remaining 2 counties were at 94.12% and 84.21%.
- The NJEIS database includes the referral, evaluation and IFSP dates for each child. Edit checks for missing data prohibit data entry to proceed if missing critical data (i.e. Initial IFSP Meeting date cannot be entered if missing eligibility determination). If the period between the referral and the IFSP meeting is greater than 45 days the database requires a delay reason. These data are then used to conduct the monitoring desk audit.
- Sampling methodology for the twenty-one counties was implemented to ensure that the NJEIS population which varies widely for each county, is appropriately represented based on the population size of the county. Therefore, a county stratified random sampling plan with a 95% confidence level and +/- 5 confidence interval ensures that child records from both small and densely populated counties are appropriately represented.
- Monitoring begins with a data desk audit based on a stratified random sample of three months of FFY 2009 data (November, December and January). This included inquiry where the monitoring team conducted a drill down to obtain child specific information, reasons for delays and verification of an initial IFSP meeting, although late. The service coordination units and EIP Targeted Evaluation Teams (TETs) were asked to submit copies of child progress notes, and service encounter verification logs. The monitoring team used all the information received and reviewed service claim data to determine where in the process the delay occurred and who was responsible.
- Data reported for this indicator are taken from the NJEIS data system and reflect actual days from the date of referral to the date of the initial IFSP meeting for every eligible child for whom an initial IFSP meeting was required to be conducted.
- Of the 2,396 children for whom an initial IFSP meeting was required to be conducted during the months of November 2009, December 2009 and January of 2010, data from a random selection of 331 children were monitored. Of the 331 children, 324 of the IFSPs were in compliance with the 45 calendar day requirement, including the 33 initial IFSP meetings that were delayed because of family reasons.
- The 33 family-initiated reasons were included in the calculations and documented in service coordinator notes and NJEIS data system. Family reasons include family moving, child illness or hospitalization, family response time, failure to attend scheduled appointments, family requested delays related to the parent's work schedule and extreme weather delays.
- In order to determine the responsibility for the noncompliance, additional data were reviewed to determine the following:
  - Of the 7 IFSP meetings which were delayed for systems reasons, six (1.8%) were due to one service coordination unit and one (0.3%) delay was the result of a Targeted Evaluation Team (TET).
  - NJEIS reviewed documentation to verify that all 7 children who were delayed for system reasons received their initial IFSP meeting although late. The range of days delayed included: one (1) child received their IFSP meeting 1 day late and; six (6) children received their IFSP meeting 6-8 days late.
- It is important to note that only two (2) agencies performed at less than 100% compliance for this indicator, impacting statewide performance. One agency had a very low compliance percentage of 84.2%. If this agency's data was excluded from the sample, NJEIS compliance would have been 99.7%.

- Based on FFY 2009 APR monitoring data, no findings were issued. Although there were two agencies with non-compliance:
  - Correction was verified for the one delay by the TET agency prior to the issue of the finding. In this instance, subsequent data on all new children referred to this agency in one month period was reviewed and no noncompliance was identified. Therefore, this agency was not issued a finding.
  - The other agency was a service coordination unit that was still in the process of correcting a finding made on this requirement based on procedural safeguards data in FFY 2008. This agency has longstanding noncompliance.
    - This agency was moved from At-Risk status to High Risk Grantee status on February 17, 2009 (FFY 2008).
    - In April 2010, this agency was successful in the service coordination competitive grant process. However, the agency was placed under special conditions to correct non-compliance by December 2010 or the DHSS would proceed to terminate the grant due to on-going unsatisfactory performance.
    - The DHSS-NJEIS issued a letter in December 2010 to the agency noting they had made significant progress and are at 98% compliance. As a result, the agency grant status was changed from High Risk to At Risk. It is expected that the finding will be closed no later than June 30, 2011.

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

The process NJEIS uses to verify correction is comprehensive with data drill down to the child specific level. In addition, monthly updated data is used to track and verify correction of all noncompliance. Activities for documentation and verification of the correction include updated data from database; faxed copies of progress notes and IFSPs from child records; verification of claims and service authorization data; and in some cases on-site visits to verify child records. Specific verification activities for each indicator are provided in the narrative under each indicator in this APR.

NJEIS has:

1. Accounted for all instances of noncompliance identified through the NJEIS database, desk inquiry, and record review and in some instances onsite data verification. The DHSS confirmed that an IFSP meeting was held, although late for any child whose IFSP meeting did not occur in a timely manner, unless the child was no longer in the jurisdiction of NJEIS as verified by the monitoring team through claims data, service encounter verification sign-off, IFSP team pages and progress notes (Prong 1).
2. Identified the responsible agencies, the percentage of noncompliance in each county and determined reasons for delay (root causes).
3. Determined if any policies, procedures and/or practices contributed to the reasons for delays. If yes, the correction action plan required the agency to establish and/or revise appropriate policies, procedures and/or practices. In addition, the NJEIS-08, No Provider Available Policy (NPA) and Procedure was revised and distributed to provide additional clarification statewide (Prong 2).
4. Ensured that each agency with identified non-compliance is correctly implementing the specific regulatory requirements based on a monthly review and verification of timely initiation of services for all children who had an IFSP event. These monthly reviews continue until the agency is operating at 100% compliance for this indicator at which point the finding is closed (Prong 2).

#### **Correction of Previously Reported FFY 2008 Noncompliance**

Based on FFY 2008-2009 monitoring data, findings and corrective action plans (CAPs) were issued to four agencies on July 7, 2009:

- One Regional Early Intervention Collaborative (REIC)
- Two Targeted Evaluation Teams (TET)
- One Service Coordination Unit (SCU)

Correction was verified for all four findings within four (4) months. NJEIS verified that each agency was: (1) is correctly implementing the 45-day timeline requirements (i.e., achieved 100% compliance) in 34 CFR §§303.321(e)(2), 303.322(e)(1), and 303.342(a) based on a review of at least two months of new referrals to the agency that demonstrated compliance with C-7 as collected through the State data system and receipt of documentation from child records; and (2) has conducted the initial evaluation, assessment, and IFSP meeting, although late, for any child for whom the 45-day timeline was not met, consistent with OSEP Memo 09-02.

- In addition, NJEIS issued one finding on indicator 7 in FFY 2008 (2/17/09) through a Procedural Safeguards Office complaint. The DHSS-NJEIS issued a letter in December 2010 to the agency noting they had made significant progress and are at 98% compliance. As a result, the agency grant status was changed from High Risk to At Risk. It is expected that the finding will be closed no later than June 30, 2011.

Improvement Activities	Status
Track progress of individual referrals through SPOE data and as necessary address potential delays.	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, the NJEIS lead agency and REICs continued to review referral data through the state database and, as needed, addressed potential delays. As a part of this activity, the REICs reviewed referral data adding several new data points including dates of communication and assignment to evaluation teams and ongoing service coordination.</p> <p>The REIC's have instituted utilization of county based Master Provider Assignment spread sheet (Broadcast) to monitor timely assignment and service delivery for all children with new IFSPS.</p>
Complete a competitive Request for Proposal to increase the number of Targeted Evaluation Teams (TETs) and ensure back-up TETs in each county.	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, no RFP release was deemed necessary.</p>
Conduct monitoring activities on the 45 day requirement annually including a desk audit, conduct inquiry to obtain additional information from counties, issue findings of noncompliance if necessary, implement corrective action plans, provide technical assistance, and assure correction of noncompliance in accordance with federal requirements.	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>The desk audit on the 45 day requirement was conducted based on November 2009, December 2009 and January 2010 data.</p>

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010:**

No revisions to improvement activities were recommended or identified by the NJEIS Part C Steering Committee or the lead agency. Additional targets for FFY 2011 and FFY 2012 are included in the SPP.

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

**Overview of the Annual Performance Report Development:** See overview description on page one

**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
<b>2009</b> (2009-2010)	A. 100% of all children exiting Part C will receive timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including IFSPs with transition steps and services.
	B. 100% of all children exiting Part C will receive timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including notification to LEA, if child is potentially eligible for Part B.
	C. 100% of all children exiting Part C will receive timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including a transition conference, if the child is potentially eligible for Part B.

**Actual Target Data for FFY 2009:**

Indicator 8A

For FFY 2009, 100% (295/295) of all children exiting Part C received timely transition planning to support their transition to preschool and other appropriate community services by their third birthday including IFSPs with transition steps and services.

- 295 children of 295 children's IFSPs contained transition steps and services as monitored by the lead agency through the procedures described below.

#### Indicator 8B

For FFY 2009, 100% (264/264) of all children exiting Part C and potentially eligible for Part B received timely transition planning to support their transition to preschool and other appropriate community services by their third birthday including notification to the local education agency (LEA).

- 264 children of 264 children exiting Part C had notification to the LEA as monitored by the lead agency through the procedures described below.

#### Indicator 8C

For FFY 2009, 90.48% (228/252), of all children exiting Part C received timely transition planning to support their transition to preschool and other appropriate community services by their third birthday including a transition conference, if child potentially eligible for Part B. Family reasons were included in both the numerator and denominator.

- 228 children of 252 children had a timely Transition Planning Conference as monitored by the lead agency through the procedures described below. This includes 31 conferences which were delayed due to family reasons.
- 37 families did not provide approval to conduct the transition conference and were not included in the numerator or denominator.
- 24 TPCs were late due to system reasons. These system reasons all related to service coordination who have responsibility for convening a timely transition planning conference.

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

#### Indicator 8A

- NJEIS made progress on this indicator moving from 99.7% reported for FFY 2008 to 100% for FFY 2009.
- Data reported for 8A were collected through the annual self-assessment record review process. Data reported on the self assessment is verified against what is in the child's record (e.g. NJEIS IFSP Review Transition Information Page, progress notes, TPC invitation, notification/identification letters).
- The DHSS-NJEIS requires that local agencies institute self-improvement plans based on performance issues for these indicators and ensures that the local agencies demonstrate 100% compliance by January. Agencies that do not demonstrate 100% compliance by January are issued findings and corrective action plans by DHSS-NJEIS for correction within six months.
- Self-assessment data were reported for eighteen counties during FFY 2009. New grantees were funded for the three remaining counties. These new grantees are completing self assessments in FFY 2010.
- The 100% calculation is based on 295/295 records in compliance.

#### **Correction of Previous Noncompliance as Required in the OSEP Response Table**

- In FFY 2008, only one (1) child was identified through the self assessment monitoring as not having transition steps and services on their IFSP. Correction was verified by January 2009 prior to the issuing of a finding. Therefore, no finding was necessary.

#### Indicator 8B:

- Self-assessment data were reported for eighteen counties during FFY 2009. New grantees were funded for the three remaining counties. These new grantees are completing self assessments in FFY 2010.
- NJEIS made progress on this indicator moving from 98.9% reported for FFY 2008 to 100% for FFY 2009.

- Data reported for 8A and 8B were collected through the annual self-assessment record review process.
- Data reported on the self assessment is verified against what is in the child's record (e.g. NJEIS IFSP Review Transition Information Page, TPC invitation, progress notes, notification/identification letters).
- The DHSS-NJEIS requires that local agencies institute self-improvement plans based on performance issues for these indicators and ensures that the local agencies demonstrate 100% compliance by January. Agencies that do not demonstrate 100% compliance by January are issued findings and corrective action plans by DHSS-NJEIS for correction within six months.
- The 100% calculation is based on 264/264 records in compliance.

**Correction of Previous Noncompliance as Required in the OSEP Response Table**

- In FFY 2008, only one (1) child was identified through the self assessment monitoring as not having timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including notification to LEA. Correction was verified by January 2009 prior to the issuing of a finding. Therefore, no finding was necessary.

**Indicator 8C:**

- NJEIS performance for this indicator slipped from 92.7% in FFY 2008 to 90.48% in FFY 2009. Slippage is due to 9 agencies: Six (6) SCUs who had no findings in this indicator last year, were found noncompliant and were issued a finding for FFY 2009 performance.
- Three (3) SCUs are repeat offenders with low compliance. One (1) of these 3 did not correct within 12 months. Two (2) SCUs corrected in 6-11 months but were both found non-compliant again in FFY 2009.
- Four (4) SCUs with the lowest compliance percentages (80, 57%, 50% and 40%) brought the statewide percentage down. These four SCU grantees were replaced by new grantees who were awarded responsibility of service coordination in these counties.
- The NJEIS uses two sources of data from the database 1) the authorization date of the TPC obtained from the team page signed by the parent and 2) the date of the TPC recorded from the service coordinator verification log. The monitoring team confirms this data through desk audit analysis. Based on these dates, and the child's date of birth, an inquiry is prepared for the county to identify possible non-compliance.
- Sampling methodology was implemented to ensure that the NJEIS population, which varies widely for each county, is appropriately represented based on the population size of the county. Therefore, a county stratified random sampling plan with a 95% confidence level and +/- 5 confidence interval ensures that child records from both small and densely populated counties are appropriately represented.
- Monitoring begins with a data desk audit based on a stratified random sample of three months (February, March and April 2010) of FFY 2009 data. This included inquiry where the monitoring team conducted a drill down to obtain child specific information, reasons for delays and verification of a transition planning conference, although late. The service coordination units were asked to submit copies of child progress notes; IFSP and service encounter verification logs. The monitoring team used all the information received and reviewed service claim data to determine where in the process the delay occurred and who was responsible.
- Data were reported for all twenty-one counties.
- A data desk audit was conducted on 1,949 children that turned 3 during February, March and April of FFY 2010. Of the 1,949 children, data from a random selection of 289 children were monitored. Of the 289 children, 37 families declined the TPC, reducing the total number of records monitored to 252 children.
- Results of the FFY 2009 monitoring included:
  - 90.48% (228/252) of all children exiting Part C received timely transition planning to support their transition to preschool and other appropriate community services by their third birthday including a transition conference, if the child was potentially eligible for Part B.

- The numerator and denominator do not include the 37 families who did not provide approval to conduct a transition planning conference.
- The 228 timely transition planning conferences include 31 TPCs which were delayed for family reasons.
- Of the 252 children, 197 were timely, 31 were delayed due to family reasons and 24 untimely due to NJEIS.
- 12 of the 24 children who were delayed for system reasons received their TPC although late. The range of delay was: 3 children 1-5 days late; 7 children 6-20 days late and; 2 children 21-45 days late. The remaining 12 children exited the system prior to receiving a TPC.
- The 31 family-initiated reasons were included in the calculations and documented in service coordinator notes. Family reasons include family vacations, family out of the country, child illness or hospitalization, family response time, family failure to attend scheduled appointments, family requested delays and extreme weather delays whereby the disruption was proportional to the severity of the weather.
- Based on FFY 2009 monitoring data, eight (8) counties were issued findings and four (4) were issued corrective action plans on July 9, 2010. The remaining four (4) counties were not required to complete a CAP due to the change in the grant funded agencies. NJEIS allowed the new agencies time to assume the responsibilities and reviewed current TPC data in September 2010. NJEIS determined that all four (4) counties continued to have systemic noncompliance and received a CAP on December 20, 2010. All agencies will continue to be followed in the annual NJEIS monitoring schedule.
- The counties are making progress as of January 2011 and are scheduled to achieve 100% compliance within twelve months of the identified finding.

**Correction of Previous Noncompliance as Required in the OSEP Response Table**

- NJEIS is reporting on 7 findings issued on FFY 2008 performance. Six were related to FFY 2008 monitoring and one was through a focused monitoring visit during FFY 2008.
- NJEIS ensures that six (6) out of the seven (7) counties with identified non-compliance for this indicator, were successful in achieving 100% correction of the non-compliance within twelve months under a corrective action plan with DHSS-NJEIS. One county is continuing to improve however, has not been successful in achieving 100% correction within twelve months.

NJEIS has:

1. Accounted for all instances of noncompliance identified through the NJEIS database, desk inquiry, and record review and in some instances onsite data verification. The DHSS confirmed that transition planning conferences were initiated for each child, although late as verified by the monitoring team through claims data, service encounter verification sign-off, and progress notes. Verification of correction is pending in the one county who is still in process of correcting non-compliance.
2. Identified the responsible agencies, the percentage of noncompliance in each county and determined reasons for delay (root causes).
3. Determined if any policies, procedures and/or practices contributed to the reasons for delays. If yes, the correction action plan required the agency to establish and/or revise appropriate policies, procedures and/or practices.
4. Ensured that that each agency with identified non-compliance is correctly implementing the specific regulatory requirements as verified through monthly corrective action plan reports and updated TPC data.

Improvement Activities	Status
Conduct monitoring activities on the transition planning conference requirements and exiting data annually including a desk audit, conduct inquiry to obtain additional information from counties, issue	<p style="text-align: center;"><b>Ongoing Activity FFY 2006-2012</b></p> In FFY 2009, the desk audit on the TPC requirement was conducted based on February, March and April children exiting the NJEIS at age three. Corrective Action

Improvement Activities	Status
findings of noncompliance if necessary, implement corrective action plans, provide technical assistance and assure correction of noncompliance in accordance with federal requirements.	Plans were issued requiring 100% compliance as soon as possible but no later than one year.
Revise the self assessment tool to collect LEA notification information.	<b>Completed FFY 2006</b>
Track transition activities through monthly self-assessment record reviews and as necessary address issues for improvement.	<b>Ongoing Activity FFY 2006-2012</b> In FFY 2009, contracted agencies conducted monthly self-assessment record reviews and, as necessary, initiated improvement plans. The annual self-assessment results were reported to the REICs in September 2010.
Conduct review of self-assessment data and any county developed improvement plans annually, conduct inquiry to obtain additional information from counties, issue findings of noncompliance if necessary, implement corrective action plans, provide technical assistance, and assure correction of noncompliance in accordance with federal requirements.	<b>Ongoing Activity FFY 2006-2012</b> Agencies requiring correction from FFY 2009 self-assessment related to transition activities were required to submit monthly self-assessment findings to REICs for up to the first six months (due January 2011) as a sanction. REICs tracked improvement and advised the lead agency that no additional sanctions were needed.
Enhance SPOE to allow REICs and Service Coordination Units to run reports to track status of transition planning conferences.	<b>Completed FFY 2008</b>
When the enhancement to SPOE is completed, track transition planning conference data through SPOE data report and as necessary address potential issues in meeting the requirements.	
Create and implement a Transition Planning Page for the IFSP form and process.	<b>Completed FFY 2006</b>
Continue availability of workshops for families at the regional collaborative offices and transition trainings conducted in collaboration between Parts B & C.	<b>Ongoing Activity FFY 2006-2012</b> In FFY 2009: <ul style="list-style-type: none"> <li>▪ 40 "Turning Three-Transition from Early Intervention Services" workshops were provided to families – 220 attendees plus 2 training in Spanish with 14 participants.</li> <li>▪ 2 on-line webinar transition workshops for 29 family members.</li> <li>▪ 8 School District collaboration meetings were held including 2 inner city, 3 suburban, 3 counties)</li> <li>▪ 2 presentations were provided to school</li> </ul>

Improvement Activities	Status
	<p>district &amp; EI personnel (Part B/C Trainings) – 99 attendees</p> <ul style="list-style-type: none"> <li>▪ 565 people accessed a recorded SPAN on-line transition to preschool workshop (teleconference occurred on May 20, 2009) and over 1,000 people downloaded the accompanying materials.</li> </ul>
<p>Plan for and conduct a statewide training on Transition requirements.</p>	<p style="text-align: center;"><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, a workgroup of regional Part B and C trainers, led by NJEIS CSPD and 619 coordinators revised the transition training jointly conducted by NJEIS and NJDOE-OSEP to reflect evidence-based practices in addition to legal requirements.</p> <p>Regional trainings are pending completion of clarifications on the OSEP Transition FAQ issued in December 2009. NJEIS has initiated planning with NJDOE-OSEP to address clarifications on transition responsibilities released by OSEP in December 2009. Once NJ policies and procedures are determined, the transition training will be revised and regional trainings will be scheduled. The revised timeline for training is FFY 2010.</p>
<p>Revise and disseminate the Transition Handbook for families.</p>	<p style="text-align: center;"><b>In Progress</b></p> <p>This activity has been delayed awaiting final Part C regulations, and due to clarifications on transition responsibilities released by OSEP in December 2009.</p>
<p>Discuss with NJDOE-OSEP the opportunity for collaboration between the Part C and Part B stakeholders regarding transition activities and issues.</p>	<p style="text-align: center;"><b>Ongoing Activity FFY 2006-2012</b></p> <p>NJEIS and NJDOE-OSEP continued a longstanding collaboration regarding transition activities and issues. A workgroup comprised of regional Part B and C trainers is led by the NJEIS CSPD and 619 Coordinators. In FFY 2009, the workgroup revised the transition training jointly conducted by NJEIS and NJDOE-OSEP to reflect evidence-based practices in addition to legal requirements.</p> <p>Regional representatives continue to handle issues as they arise, plan trainings, and conduct county meetings. Local meetings and networking between EI and LEA special education staff are ongoing.</p>

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010:**

No revisions to improvement activities were recommended or identified by the NJEIS Part C Steering Committee or the lead agency. Timelines were modified as noted under status. Additional targets for FFY 2011 and FFY 2012 are included in the SPP.

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

**Overview of the Annual Performance Report Development:** See overview description on page one

**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
FFY 2009	100%

**Actual Target Data for FFY 2009:**

**92.86%=[13/14\*100]**

Annually, NJEIS monitors all agencies (service coordination units, early intervention program providers and targeted evaluation teams) through a variety of monitoring activities. These activities include: focused on-site monitoring, data desk audits, self assessments, dispute resolutions and fiscal monitoring. Selection of agencies for specific monitoring activities is based on performance and is described in the state performance plan and additional information is included in specific indicators of the APR.

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

NJEIS performance for this indicator had slippage from FFY 2008 performance of 93.1% to FFY 2009 performance of 92.86%. Verification of correction was completed for 13 out of 14 findings within the one year requirement.

Slippage was due to one remaining uncorrected finding related to a service coordination unit. In February 2009, the SCU was moved from At-Risk to High-Risk grant status due to this long standing noncompliance. On June 16, 2010 this unit was placed under special conditions due to on-going unsatisfactory performance and current High Risk Grantee status. The DHSS-NJEIS issued a letter in December 2010 to this agency noting they had made significant progress in correcting the C7 finding

(98% compliance for C7). As a result, the agency grant status was changed from High Risk to At Risk. It is expected that the remaining finding will be closed no later than June 30, 2011.

In addition, the slippage is due to fewer findings being issued in FFY 2008. In FFY 2007, 27 of 29 findings issued were corrected timely. In FFY 2008, 13 of 14 findings issued were corrected timely. There was one less findings that went uncorrected in FFY 2008 over FFY 2007. However, the percentage of timely corrected compliance is lower even though the number of uncorrected findings is less. Statistically the use of percentages to measure performance does not accurately reflect performance for this indicator.

**Timely Correction of FFY 2008 Findings of Noncompliance (corrected within one year from identification of the noncompliance):**

1. Number of findings of noncompliance the State made during FFY 2008 (the period from July 1, 2008, through June 30, 2009) (Sum of Column a on the Indicator C 9 Worksheet)	<b>14</b>
2. Number of findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS programs of the finding) (Sum of Column b on the Indicator C 9 Worksheet)	<b>13</b>
3. Number of findings <u>not</u> verified as corrected within one year [(1) minus (2)]	<b>1</b>

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

4. Number of FFY 2008 findings not timely corrected (same as the number from (3) above)	<b>1</b>
5. Number of FFY 2008 findings the State has verified as corrected beyond the one-year timeline ("subsequent correction")	<b>0</b>
6. Number of FFY 2008 findings <u>not</u> yet verified as corrected [(4) minus (5)]	<b>1</b>

**Actions Taken if Noncompliance Not Corrected**

Verification of correction was completed for 13 out of 14 findings within the one year requirement. The remaining finding was due to one service coordination unit. In February 2009, the agency was moved from At-Risk to High-Risk grant status due to long standing noncompliance. On June 16, 2010 this unit was placed under special conditions due to on-going unsatisfactory performance and current High Risk Grantee status. The DHSS-NJEIS issued a letter in December 2010 to this agency noting they had made significant progress in correcting the C7 finding (98% compliance for C7). As a result, the agency grant status was changed from High Risk to At Risk. It is expected that the remaining finding will be closed no later than June 30, 2011.

**Verification of Correction of FFY 2008 findings (either timely or subsequent)**

The process NJEIS uses to verify correction is comprehensive with data drill down to the child specific level, monthly updated data is used to track and verify correction of all noncompliance. Activities for documentation and verification of the correction include updated data from database; faxed copies of progress notes and IFSPs from child records; verification of claims, IFSP pages and service authorization data; and in some cases on-site visits to verify child records. Specific verification activities for each indicator are provided in the narrative under each indicator in this APR.

NJEIS has:

1. Accounted for all instances of noncompliance identified through the NJEIS database, desk inquiry, and record review and in some instances onsite data verification. The DHSS confirmed that the required activity occurred for each child, although late as verified by the monitoring team through claims data, service encounter verification sign-off, IFSP pages and progress notes (prong 1)
2. Identified the responsible agencies, the percentage of noncompliance in each county and determined reasons for delay (root causes).
3. Determined if any policies, procedures and/or practices contributed to the reasons for delays. If yes, the correction action plan required the agency to establish and/or revise appropriate policies, procedures and/or practices (prong 2).
4. The DHSS ensures that that each agency with identified non-compliance is correctly implementing the specific regulatory requirements as verified through monthly corrective action plan reports including review of subsequent data to ensure correction has occurred (prong 2).

**Correction of Remaining FFY 2007 Findings of Noncompliance (if applicable)**

NJEIS has no remaining uncorrected FFY 2007 findings of noncompliance.

If the State reported less than 100% for this indicator in its FFY 2007 APR and did not report that the remaining FFY 2007 findings were subsequently corrected, provide the information below:

1. Number of remaining FFY 2007 findings noted in OSEP's June 2010 FFY 2008 APR response table for this indicator	0
2. Number of remaining FFY 2007 findings the State has verified as corrected	0
3. Number of remaining FFY 2007 findings the State has NOT verified as corrected [(1) minus (2)]	0

**Correction of Any Remaining Findings of Noncompliance from FFY 2006 or Earlier (if applicable)**

Provide information regarding correction of any remaining findings of noncompliance from FFY 2006 or earlier using the same table format provided above for findings made in FFY 2007.

NJEIS has no remaining uncorrected FFY 2006 or earlier findings of noncompliance.

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010 (if applicable):**

**Improvement Activities/Timelines/Resources:**

Improvement Activities	Status
Conduct Annual Desk Audits with SPOE data to identify potential non-compliance, conduct inquiry to obtain additional information as needed, issue findings of noncompliance if necessary, implementation of corrective action plans, provide technical assistance, and assure correction of noncompliance in accordance with federal requirements.	<b>Ongoing Activity FFY 2006-2012</b> Desk audits and inquiries were conducted that identified non-compliance; findings and corrective action plans were issued; and corrective action plans were tracked until correction was verified.

Improvement Activities	Status
<p>Conduct Incident Report inquiry with provider agencies to determine if individual child/family issues raised with the Procedural Safeguards Office are indicative of a systemic problem and, if yes, cite a finding of noncompliance, implement a corrective action plan, provide technical assistance, and assure correction of noncompliance in accordance with federal requirements.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>During FFY 2009, one hundred and fifty-six (156) families received approximately 952.9 hours of compensatory services in accordance with NJEIS decisions through informal resolution by the Procedural Safeguards Office. This included 186.75 hours of developmental intervention; 250.65 hours of Speech &amp; Language Therapy; 141.5 hours of Physical Therapy; 356 hours of Occupational Therapy; 6 hours of Social Work services and 12 hours of Family Training. Three informal resolutions resulted in sanctions to two Early Intervention Program (EIP) provider agencies that were required to provide 19.5 hours of compensatory services at their expense.</p>
<p>Identify potential non-compliance issues through annual self-assessment data analysis, conduct inquiry to obtain additional information as needed, issue findings of noncompliance if necessary, implement corrective action plans, provide technical assistance, and assure correction of noncompliance in accordance with federal requirements.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>No noncompliance was identified in FFY 2009 through the self assessment monitoring for indicators 8a and 8b.</p>
<p>Conduct on-site focused monitoring visits based on incident reports, procedural safeguards complaints, self-assessment data and concerns identified through on-going review of system point of entry (SPOE) database.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, NJEIS state staff conducted one onsite focused monitoring visit as follow-up to an agency with ongoing compliance issues. The agency was under at risk sanctions. During the visit, correction of the noncompliance was verified and the finding was closed.</p>
<p>Identify areas for additional professional development using data from Procedural Safeguards Office reports and implement professional development activities as needed to ensure compliance.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, training and technical assistance was provided by the lead agency through statewide and regional provider meetings and training events.</p>
<p>Review information from procedural safeguards workshops to identify area on which clarification of law, regulations, policies and procedures are needed to ensure compliance. Issue and disseminate clarifications as needed.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>There were no specific clarifications necessary during this year.</p>

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010:**

No revisions to improvement activities were recommended or identified by the NJEIS Part C Steering Committee or the lead agency. Additional targets for FFY 2011 and FFY 2012 are included in the SPP.

**INDICATOR C-9 WORKSHEET**

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2008 (7/1/08 through 6/30/09)	(a) # of Findings of noncompliance identified in FFY 2008 (7/1/08 through 6/30/09)	(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	5	5	5
	Dispute Resolution: Complaints, Hearings	1 (Hudson SCU)	1	1
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	0	0	0
	Dispute Resolution: Complaints, Hearings	0	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	0	0	0

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2008 (7/1/08 through 6/30/09)	(a) # of Findings of noncompliance identified in FFY 2008 (7/1/08 through 6/30/09)	(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	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	0	0	0
	Dispute Resolution: Complaints, Hearings	0	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	0	0	0
	Dispute Resolution: Complaints, Hearings	0	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	*1	*1	0
	Dispute Resolution: Complaints, Hearings	0	0	0

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2008 (7/1/08 through 6/30/09)	(a) # of Findings of noncompliance identified in FFY 2008 (7/1/08 through 6/30/09)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
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	2	2	2
	Dispute Resolution: Complaints, Hearings	0	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: B. Notification to LEA, if child potentially eligible for Part B; and	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	3	3	3
	Dispute Resolution: Complaints, Hearings	0	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	*1	*1	1
	Dispute Resolution: Complaints, Hearings	0	0	0

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2008 (7/1/08 through 6/30/09)	(a) # of Findings of noncompliance identified in FFY 2008 (7/1/08 through 6/30/09)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
OTHER AREAS OF NONCOMPLIANCE: Failure to insure provision of on-going service coordination to eligible children.	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	1	1	1
	Dispute Resolution: Complaints, Hearings	0	0	0
OTHER AREAS OF NONCOMPLIANCE:	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other			
	Dispute Resolution: Complaints, Hearings			
<b>Sum the numbers down Column a and Column b</b>			14	13

Percent of noncompliance corrected within one year of identification =  $14/13 \times 100 = 92.86\%$   
(column (b) sum divided by column (a) sum) times 100

\*There was one finding in SFY 2008-2009 for Indicator 7 issued as a result of a procedural safeguards complaint (page 33, last bullet) and one finding for Indicator 8C issued as a result of an onsite focused monitoring (page 39, bullet #11). There were no additional findings resulting from the annual data desk audit of indicators 7 and 8c from the FFY 2008 issued prior to June 30, 2009. The findings of noncompliance from SFY 2008-2009 that were issued in FFY 2009 will be reported in C-9 in the APR for FFY 2010 to be submitted in February 2012.

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

**Overview of the Annual Performance Report Development:** See overview description on page one

<b>Monitoring Priority: Effective General Supervision Part C / General Supervision</b>
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**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)

<b>Measurement:</b> Percent = [(1.1(b) + 1.1(c)) divided by 1.1] times 100.
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FFY	Measurable and Rigorous Target
<b>2009</b> (2009-2010)	100% of signed written complaints with reports issued will be resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.

**Actual Target Data for FFY 2009: 100% of signed written complaints with reports issued were resolved within 60 days.**

During FFY 2009, six signed written complaints were received. Four were investigated, with reports issued within the required timeline. One request was dismissed and one complaint was resolved through mediation.

Therefore [4+0 divided by 4 times 100] = 100%.

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

- During FFY 2009, six signed written complaints were received and four were investigated compared to FFY 2008 during which four signed written complaints were received and three were investigated.
- Details about the complaints filed in FFY 2009 are as follows:
  - Two of the six complaint requests received in FFY 2009 were dismissed/withdrawn. The complaint that was dismissed did not involve a Part C matter under Individuals with Disabilities Education Act (IDEA). The other complaint was settled through mediation.
  - The four remaining complaint requests were resolved with the issuance of reports within the required timeline.
  - Three of the four complaints resulted in a finding of noncompliance:
    - One of the three resulted in compensatory service hours for the child for failure to comply with the child’s IFSP.
    - The remaining two cases resulted in a determination that the occupational therapist who provided services to the two families committed fraud. Both families were offered make-up services and the occupational therapist is no longer permitted to enroll/work as an NJEIS practitioner.

- The allegations made in the remaining complaint were investigated and could not be substantiated.

<b>Improvement Activities</b>	<b>Status</b>
<p>Maintain a procedural safeguards database to track requests for alternative dispute resolution.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>During FFY 2009, a procedural safeguards database continued to be maintained and enhanced as needed.</p>
<p>Evaluate and revise the procedural safeguards training format and materials following completion of federal regulations resulting from IDEA reauthorization.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, NJEIS continued development of an online version of procedural safeguards training with support from the Northeast Regional Resource Center (NERRC) and three national consultants. A series of six modules are under development with a target completion date by spring 2011. Three of the modules (primary language, prior notice and parental consent) are in final draft.</p> <p>Planning has continued with the state contracted Human Resources Development Institute to enroll practitioners in a learning management system that will be used to register online, develop individualized learning plans, and track completion of required professional development activities.</p>
<p>Conduct periodic procedural safeguards trainings in each region for practitioners and families.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, twenty-nine procedural safeguards trainings were conducted and attended by 426 service coordinators, practitioners and administrators. The trainings were offered in each region on a monthly or as needed basis to ensure access statewide. Enrollment supported the continuation of evening sessions in two regions. Weekend sessions were discontinued due to low enrollment.</p> <p>In FFY 2009, NJEIS continued development of an online version of procedural safeguards training with support from the Northeast Regional Resource Center (NERRC) and three national consultants. A series of six modules are under development with a target completion date by spring 2011.</p>

<p>Link the REIC data regarding informal complaints by families resolved at regional level with the state procedural safeguards database</p>	<p><b>This activity is now scheduled to occur during FFY 2010-2011</b></p> <p>This activity had been delayed due to insufficient staffing resources.</p> <p>During FFY 2009, the REICs continued to collect and compile data related to informal complaints by county and according to 19 topical issues. Discussions also continued on the feasibility of a database that can link the REIC data with the lead agency database.</p>
<p>Explore the feasibility of developing online training and other innovative learning opportunities for families and practitioners.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, NJEIS continued development of an online version of procedural safeguards training with support from the Northeast Regional Resource Center (NERRC) and three national consultants. A series of six modules are under development with a target completion date by spring 2011. Three of the modules (primary language, prior notice and parental consent) are in final draft.</p> <p>Planning has continued with the state contracted Human Resources Development Institute to enroll practitioners in a learning management system that will be used to register online, develop individualized learning plans, and track completion of required professional development activities.</p> <p>Research into options for conducting webinars to provide training and technical assistance for service coordinators, practitioners, program administrators and REIC personnel was initiated. The implementation is targeted in FFY 2010.</p>
<p>Revise Family Rights Handbook.</p>	<p><b>Completed FFY 2009</b></p> <p>The Family Rights Handbook was revised in October 2009.</p>

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010:**

No revisions to improvement activities were recommended or identified by the NJEIS Part C Steering Committee or the lead agency. Timelines were modified as noted under status. Additional targets for FFY 2011 and FFY 2012 are included in the SPP.

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

**Overview of the Annual Performance Report Development:** See overview description on page one

<b>Monitoring Priority: Effective General Supervision Part C / General Supervision</b>
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**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)

<b>Measurement:</b> Percent = [(3.2(a) + 3.2(b)) divided by 3.2] times 100.
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FFY	Measurable and Rigorous Target
2009 (2009-2010)	100% of fully adjudicated due process hearing requests will be fully adjudicated within the applicable timeline.

**Actual Target Data for FFY 2009:**

In FFY 2009, no due process hearings were conducted since both of the two requests received were resolved without a hearing and within the required timeline.

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

- During FFY 2009, two requests for due process hearing were received and both were resolved without a hearing. The two requests for due process hearing both were filed in conjunction with a request for mediation. Both requests came from the same family.
  - The initial mediation did not result in an agreement but the parent withdrew the request for a due process hearing.
  - The parent then submitted a second request for a due process hearing with mediation. The second mediation resulted in an agreement and the matter did not progress to a hearing.

Improvement Activities	Status
Maintain a procedural safeguards database to track requests for dispute resolution.	<b>Ongoing Activity FFY 2006-2012</b> During FFY 2009, a procedural safeguards database continued to be maintained and enhanced as needed.
Link the REIC data regarding informal complaints by families resolved at regional level with the state procedural safeguards database.	<b>This activity is now scheduled to occur during FFY 2010-2011</b> This activity had been delayed due to insufficient staffing resources During FFY 2009, the REICs continued to collect and compile data related to informal

Improvement Activities	Status
	complaints by county and according to 19 topical issues. Discussions also continued on the feasibility of a database that can link the REIC data with the lead agency database.
Evaluate and revise the procedural safeguards training format and materials following completion of federal regulations resulting from IDEA reauthorization.	<p align="center"><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, NJEIS continued development of an online version of procedural safeguards training with support from the Northeast Regional Resource Center (NERRC) and three national consultants. A series of six modules are under development with a target completion date by spring 2011. Three of the modules (primary language, prior notice and parental consent) are in final draft.</p> <p>Planning has continued with the state contracted Human Resources Development Institute to enroll practitioners in a learning management system that will be used to register online, develop individualized learning plans, and track completion of required professional development activities.</p>
Conduct bi-annual or more frequently as needed, training for Hearing Officers.	<p align="center"><b>FFY 2009- No longer Applicable</b></p> <p>As a result of the promulgation of N.J.A.C. 8:17 in November 2008, the hearing panel was replaced with judges from the Office of Administrative Law. As a result, all due process hearings are heard by an administrative law judge.</p> <p>Therefore this activity is considered completed and will no longer be an ongoing activity.</p>
Conduct periodic procedural safeguards trainings in each region for practitioners and families.	<p align="center"><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, twenty-nine procedural safeguards trainings were conducted and attended by 426 service coordinators, practitioners and administrators. The trainings were offered in each region on a monthly or as needed basis to ensure access statewide. Enrollment supported the continuation of evening sessions in two regions. Weekend sessions were discontinued due to low enrollment.</p>
Continue recruitment of hearing officers to ensure adequate coverage for hearings requested.	<p align="center"><b>Completed FFY 2008 No Longer Applicable</b></p> <p>As a result of the promulgation of N.J.A.C. 8:17 in November 2008, the hearing panel</p>

Improvement Activities	Status
	<p>was replaced with a judges from the Office of Administrative Law. As a result, all due process hearings are heard by an administrative law judge.</p> <p>Therefore this activity is considered completed and will no longer be an ongoing activity.</p>
Revise Family Rights Handbook.	<p><b>Completed FFY 2009</b></p> <p>The Family Rights Handbook was revised in October 2009.</p>

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010:**

No revisions to improvement activities were recommended or identified by the NJEIS Part C Steering Committee or the lead agency. Timelines were modified as noted under status. Additional targets for FFY 2011 and FFY 2012 are included in the SPP.

**Part C State Annual Performance Report (APR) for FFY 2009-2010**

**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
	<b>Not applicable for New Jersey Part C system because Part B due process procedures have not been adopted by NJEIS.</b>

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

**Overview of the Annual Performance Report Development:** See overview description on page one

<b>Monitoring Priority: Effective General Supervision Part C / General Supervision</b>
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**Indicator 13:** Percent of mediations held that resulted in mediation agreements.

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

<b>Measurement:</b> Percent = [(2.1(a) (i) + 2.1(b) (i)) divided by 2.1] times 100.
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FFY	Measurable and Rigorous Target
<b>2009</b> (2009-2010)	NJEIS had less than ten mediations; therefore no targets have been set for this indicator.

**Actual Target Data for FFY 2009:**

For FFY 2009 (2009-2010), New Jersey’s Part C System received three requests for mediation. Of these three requests for mediation:

- Two mediations were related to two separate requests for a due process hearing. The first mediation did not result in a resolution. The second mediation reached agreement. Both mediations pertained to the same family.
- One mediation was not held as the family withdrew their request for mediation. The matter was resolved informally.

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

- Since the number of mediations was less than ten, targets were not established.

Improvement Activities	Status
Maintain a procedural safeguards database to track requests for dispute resolution.	<p style="text-align: center;"><b>Ongoing Activity FFY 2006-2012</b></p> <p>During FFY 2009, the database continued to be used to track informal and formal requests for assistance and/or dispute resolution.</p> <p>Additionally, the PSO added more detailed information in the PSO database regarding compensatory services issued.</p> <p>The data continue to be used by the monitoring team and Procedural Safeguards Office (PSO) to identify potential issues and trends within counties, regions or statewide. Data analysis is conducted when preparing for data verification visits, focused monitoring visits, incident investigations, and corrective actions.</p>

Improvement Activities	Status
<p>Link the REIC data regarding informal complaints by families resolved at regional level with the state procedural safeguards database.</p>	<p><b>This activity is now scheduled to occur during FFY 2010-2011</b></p> <p>This activity had been delayed due to insufficient staffing resources.</p> <p>During FFY 2009, the REICs continued to collect and compile data related to informal complaints by county and according to 19 topical issues. Discussions also continued on the feasibility of a database that can link the REIC data with the lead agency database.</p>
<p>Evaluate and revise the procedural safeguards training format and materials following completion of federal regulations resulting from IDEA reauthorization.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>This activity remains on hold pending promulgation of the final Federal Part C Regulations.</p>
<p>Conduct bi-annual or more frequently as needed, training for Mediators.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>Mediators were notified and provided access to the new NJEIS rules that were finalized in November 2008.</p> <p>During FFY 2009, the PSO provided updated NJEIS policies and procedures to mediators.</p>
<p>Conduct periodic procedural safeguards trainings in each region for practitioners and families.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>In FFY 2009, twenty-nine procedural safeguards trainings were conducted and attended by 426 service coordinators, practitioners and administrators. The trainings were offered in each region on a monthly or as needed basis to ensure access statewide. Enrollment supported the continuation of evening sessions in two regions. Weekend sessions were discontinued due to low enrollment.</p>
<p>Conduct recruitment of mediators to ensure adequate coverage for hearings requested.</p>	<p><b>Ongoing Activity FFY 2006-2012</b></p> <p>This is an ongoing activity as needed. In FFY 2009 there were adequate numbers of mediators available and no additional recruitment was necessary.</p> <p>The PSO will be recruiting mediators and providing training to new recruits in FFY 2010.</p>

Improvement Activities	Status
Revise Family Rights Handbook.	<p style="text-align: center;"><b>Completed FFY 2009</b></p> The Family Rights Handbook was revised in October 2009.

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010:**

No revisions to improvement activities were recommended or identified by the NJEIS Part C Steering Committee or the lead agency. Timelines were modified as noted under status. Additional targets for FFY 2011 and FFY 2012 are included in the SPP.

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

**Overview of the Annual Performance Report Development:** See overview description on page one

**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
<b>2009</b> (2009-2010)	<ul style="list-style-type: none"> <li>▪ 100% of state reported data including 618, SPP and APR will be timely.</li> <li>▪ 100% of state reported data including 618, SPP and APR will be accurate.</li> </ul>

**Actual Target Data for FFY 2009:**

14a. **100%** of state reported data including 618, SPP and APR are timely.

14b. **100%** of state reported data including 618, SPP and APR are accurate.

SPP/APR Data - Indicator 14			
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

SPP/APR Data - Indicator 14			
APR Indicator	Valid and Reliable	Correct Calculation	Total
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> - If the FFY 2009 APR was submitted on-time, place the number 5 in the cell on the right.		5
	<b>Grand Total</b> - (Sum of subtotal and Timely Submission Points) =		35

618 Data - Indicator 14					
Table	Timely	Complete Data	Passed Edit Check	Responded to Data Note Requests	Total
<b>Table 1 - Child Count</b> Due Date: 2/1/10	1	1	1	1	4
<b>Table 2 - Program Settings</b> Due Date: 2/1/10	1	1	1	1	4
<b>Table 3 - Exiting</b> Due Date: 11/1/10	1	1	1	N/A	3
<b>Table 4 - Dispute Resolution</b> Due Date: 11/1/10	1	1	1	N/A	3
<b>Subtotal</b>					14
<b>618 Score Calculation</b>			<b>Grand Total</b> (Subtotal X 2.5) =		35

<b>Indicator #14 Calculation</b>	
A. APR Grand Total	35.00
B. 618 Grand Total	35.00
C. APR Grand Total (A) + 618 Grand Total (B) =	70.00
Total NA in APR	0.00
Total NA in 618	0.00
<b>Base</b>	<b>70.00</b>
D. Subtotal (C divided by Base*) =	1.000
E. Indicator Score (Subtotal D x 100) =	100.0

\*Note any cell marked as N/A will decrease the denominator by 1 for APR and 2.5 for 618

In FFY 2009 (2009-2010) 100% of New Jersey's APR data were timely and accurately reported. The child specific electronic database, standardized state paperwork, and REIC responsibility for data entry assist in ensuring the integrity of data reported.

In FFY 2009 (2009-2010) 100% of New Jersey's 618 data were timely and accurately reported. The child specific electronic database, standardized state paperwork, and REIC responsibility for data entry assist in ensuring the integrity of data reported.

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

NJEIS has implemented a number of measures to ensure that data reflects compliance with requirements to report both timely and accurate data.

**618 Data** - EIS has developed and distributes reports that monitor a number of business rules to help identify child records that may need to be updated or closed. A combination of the child count reports and possible closed reports assist in ensuring accurate data by identifying specific records that require review, holding counties responsible for the accuracy of the database, greatly improving the accountability of the early intervention system, verifying that the database contains accurate data, and ensuring that reports generated from the database are reliable.

- The NJEIS database includes a drop down list for race/ethnicity, closed reasons, and settings that limits choices, provides standard data collection and reduces data entry input errors.
- NJEIS data reports are provided to the Service Coordination Units (SCU) at least twice per year for data clean-up and verification to ensure that the December Tables are valid and accurate.
  - Aged out Active - Children who have reached their third birthday without an exit date or exiting reason recorded in the SPOE child record
  - Intake greater than 90 Day - Records that have been open for more than 90 days without an Initial IFSP being recorded
  - Active No IFSP - Children who have not been closed and have no active IFSP recorded in the SPOE child record

- No Authorizations - Children with an active IFSP but no authorizations for services for 60 days
- No Direct Services - Children with an active IFSP and authorization however, no services received in the last 60 days
- NJEIS provides instructions and technical assistance to the counties to help them identify the data changes required. In order to ensure that the changes identified are ultimately updated in the SPOE database, the counties provide a report to NJEIS on the changes required. NJEIS then monitors the data system to ensure that the changes are made so that generated reports are accurate.
- The SCUs are required to attest to an accurate December 1 report in January of each year prior to the February 1 submission of Table 1 and 2.
- The NJEIS Data Manager conducts a final review of the child count and ensures there are no duplicates.

#### **Monitoring Data Desk Audit - Indicators 1, 7, and 8C**

- The monitoring process NJEIS uses is comprehensive with data drill down to the child specific level. The monitoring team conducts activities to document, verify and correct data as needed. This is done through review of child records which includes progress notes, IFSPs, claims and service authorization data; and in some cases on-site visits to verify child records.
- NJEIS Monitoring team uses the NJEIS database to gather a stratified random sample of three months of FFY 2009 data for a data desk audit.
- The monitoring team conducts the desk audit to identify possible non-compliance.
- A data desk inquiry is sent to the appropriate provider agency to:
  - Verify the data for accuracy;
  - Provide opportunity for data clean up;
  - Submit data corrections as appropriate;
  - Provide reasons for any non-compliance identified by the local agency and/or DHSS-NJEIS;
  - Provide barriers and improvement for correction of each incident of non-compliance.

**Indicator 1** – Timely service data passes through a number of edit checks including that there is a valid IFSP date with a billing authorization within the IFSP period, a claim filed by the provider agency supported by a service encounter verification log signed by the parent and an explanation of benefits provided to the family as a secondary verification that the service type, date and intensity are accurate.

**Indicator 2** – Covered in the 618 Data description above.

**Indicator 3** – In selecting the BDI-2 to report on child outcomes, NJEIS chose a standardized tool with published reliability and validity. The use of palm pilots with BDI software eliminates common scoring errors up to 80% by guiding users through the appropriate item administration for each domain. The palm software also computes all necessary calculations including basal, ceiling, raw scores and standard scores to eliminate operator error. The electronic storing of child outcome data from the BDI is accomplished through a password protected web-based data system from the Riverside Publishing Company.

For children selected and included in indicator 3A, 3B & 3C, DHSS compares authorized evaluation date and evaluator information to ensure the BDI system and the SPOE system match prior to the inclusion of data in reporting. Any data errors identified through a periodic audit of the BDI data base by DHSS are remanded to the targeted evaluation teams for correction.

**Indicator 4** – The NJEIS used the Impact on Family Scale (IFS) family survey. This survey was developed and validated by the National Center for Special Education Accountability Monitoring (NCSEAM). The Rasch measurement framework was used for analysis and reporting. In addition,

the NJEIS also instituted a chi square test to verify that the returned sample was representative of each county.

**Indicator 5 & 6** – Covered in the 618 Data description above.

**Indicator 7** – The NJEIS database includes the referral, evaluation and IFSP dates for each child. Edit checks for missing data that prohibits data entry to proceed if missing critical data (i.e. Initial IFSP Meeting date cannot be entered if missing eligibility determination). If the period between the referral and IFSP is greater than 45 days the database requires a delay reason. This data is then used to conduct the monitoring desk audit.

**Indicator 8A & 8B** – Self Assessment data is reviewed and verified by the REIC and DHSS-NJEIS and a rubric is used to ensure complete and accurate information is submitted. Data reported on the self assessment is verified against what is in the child’s record (e.g. NJEIS IFSP Review Transition Information Page, TPC invitation, progress notes).

**Indicator 8C** – The NJEIS uses two sources of data from the database 1) the authorization date of the TPC obtained from the team page signed by the parent and 2) the date of the TPC recorded from the service coordinator verification log. The monitoring team confirms this data through desk audit analysis. Based on these dates, and the child’s date of birth, an inquiry is prepared for the county to identify possible non-compliance.

**Indicator 9** – The NJEIS monitoring team maintains a tracking log of the verification of correction for all findings of non-compliance issued.

**Indicator 10, 11 & 13** - The NJEIS procedural safeguards office maintains a database which includes: contacts to the procedural safeguards office, type of dispute request, and the date the request is opened and closed. This information is used to compile the data reported in indicator 10, 11 and 13.

**General Procedures to Ensure Valid and Reliable Data**

- NJEIS has established procedures and implemented edit checks including:
  - A data quality tracking matrix to identify and correct “funky data” including identification of inaccurate or missing information and duplicate entries.
  - Restricted drop-down lists for data fields that minimize data errors due to typographical error or submission of incorrect information.
- Data must be entered into critical fields in the NJEIS database in order to allow data entry to progress.
- REICs and SCUs have the capacity within the system to generate reports and review for errors manually.
- Ongoing on-site and remote consultation and technical assistance is provided to ensure data integrity.
- REIC responsibility for data entry and follow-up assist in ensuring the integrity of data reported.
- Providing child count reports to the counties that include a list of children between referral and initial IFSP, and children with an active IFSP allows service coordinators to verify and update the current status of child data as recorded in the data system.

Improvement Activities	Status
Maintain and enhance the electronic management information business rules to eliminate data entry errors through automated checks and balances.	<p style="text-align: center;"><b>Ongoing Activity FFY 2006-2012</b></p> Additional enhancements are pending the successful re-bid of the Central Management Office contract.

Improvement Activities	Status
Conduct periodic data runs of SPOE database to identify and as needed correct missing and/or questionable data.	<p align="center"><b>Ongoing Activity FFY 2006-2012</b></p> In FFY 2009 the NJEIS state staff continued to use a data matrix to audit and identify missing or questionable data (funky data).
Maintain a data entry check list and conduct follow-up of missing data or potential data errors.	<p align="center"><b>Ongoing Activity FFY 2006-2012</b></p> In FFY 2009, the REIC's continued to issue "Oops tickets" or email inquiries on follow up corrections needed. The NJEIS state staff continue to issue and verify correction of missing or inaccurate data based on running data reports.
Continue enhancements of SPOE Database as described throughout the SPP.	<p align="center"><b>Not Completed</b></p> State fiscal concerns, increased workload resulting from ARRA funds, limited resources and a change in administration have delayed issuing a new RFP for the CMO. An RFP has been drafted and was forwarded in November 2010 to the State Office of Information Technology where a Business Case Review is being conducted. The State Treasury continues to approve contract extensions that maintain the Central Management Office until the RFP can be awarded and transition to an enhanced online web-based application can be completed under a new CMO contract.

**Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010:**

No revisions to improvement activities were recommended or identified by the NJEIS Part C Steering Committee or the lead agency. Timelines were modified as noted under status. Additional targets for FFY 2011 and FFY 2012 are included in the SPP.

U.S. DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES, OFFICE OF SPECIAL EDUCATION PROGRAMS

TABLE 4

REPORT OF DISPUTE RESOLUTION UNDER PART C, OF THE  
INDIVIDUALS WITH DISABILITIES EDUCATION ACT  
**2009-2010**  
**New Jersey**

SECTION A: WRITTEN, SIGNED COMPLAINTS	
(1) Total number of written, signed complaints filed	6
(1.1) Complaints with reports issued	4
(a) Reports with findings of noncompliance	3
(b) Reports within timeline	4
(c) Reports within extended timelines	0
(1.2) Complaints pending	0
(a) Complaints pending a due process hearing	0
(1.3) Complaints withdrawn or dismissed	2
SECTION B: MEDIATION REQUESTS	
(2) Total number of mediation requests received	3
(2.1) Mediations held	2
(a) Mediations held related to <b>due process complaints</b>	2
(i) Mediation agreements related to <b>due process complaints</b>	1
(b) Mediations held not related to <b>due process complaints</b>	0
(i) Mediation agreements <b>not related to due process complaints</b>	0
(2.2) <b>Mediations pending</b>	0
(2.3) Mediations not held	1
SECTION C: Due Process Complaints	
(3) Total number of <b>due process complaints</b> filed (for all States)	2
(3.1) Resolution meetings (applicable ONLY for states using Part B due process hearing procedures)	-9
(a) Written settlement agreements reached through resolution meetings	-9
(3.2) Hearings (fully adjudicated) (for all States) -	0
(a) Complete EITHER item (1) <u>OR</u> item (2), below as applicable.	-9
(1) Decisions within timeline - <b>Part C</b> Procedures	0
(2) Decisions within timeline - <b>Part B</b> Procedures	-9
(b) Decisions within extended timeline (applicable ONLY if using Part B due process hearing procedures)	-9
(3.3) <b>Hearing pending (for all States)</b>	0
(3.4) <b>Due process complaint withdrawn or dismissed (including resolved without a hearing) (for all States)</b>	2