



**Illinois
State Board of
Education**

Erikson Institute

Home Visiting **Compliance** and **Quality**: Two Sides of the Same Coin?

Saima Gowani, Erikson Institute

Mary Frese, Erikson Institute

Penelope Smith, Illinois State Board of Education



**Illinois
State Board of
Education**

Whole Child • Whole School • Whole Community

Session Objectives

- Participants will understand the difference between compliance and quality in home visiting program operations.
- Participants will learn how the constructs of quality and compliance can be operationalized and measured.
- Participants will reflect on how compliance and quality decisions can be incorporated into technical assistance and program improvement activities.



Introductions of Team

Illinois State Board of Education (ISBE)

- Penelope Smith: Principal Consultant
- Early Childhood Block Grant
 - Preschool For All (3-5)
 - Prevention Initiative (0-3)

Erikson Institute

- ISBE PI Monitoring Project:
- Saima Gowani – Project Director
- Mary Frese – Research Assistant

Illinois State Board of Education (ISBE)



Monitoring System Tools

- Prevention Initiative Quality Rating Instrument (PIQRI)
- Group Observation Protocol
- Home Visit Rating Scales – Adapted and Extended (HOVRS 2.0 A+)
- Prevention Initiative Compliance Checklist (PICC)

PI Compliance Checklist

Compliance Issue 3. Identification of the program's model fidelity and quality. HV, CB, FL

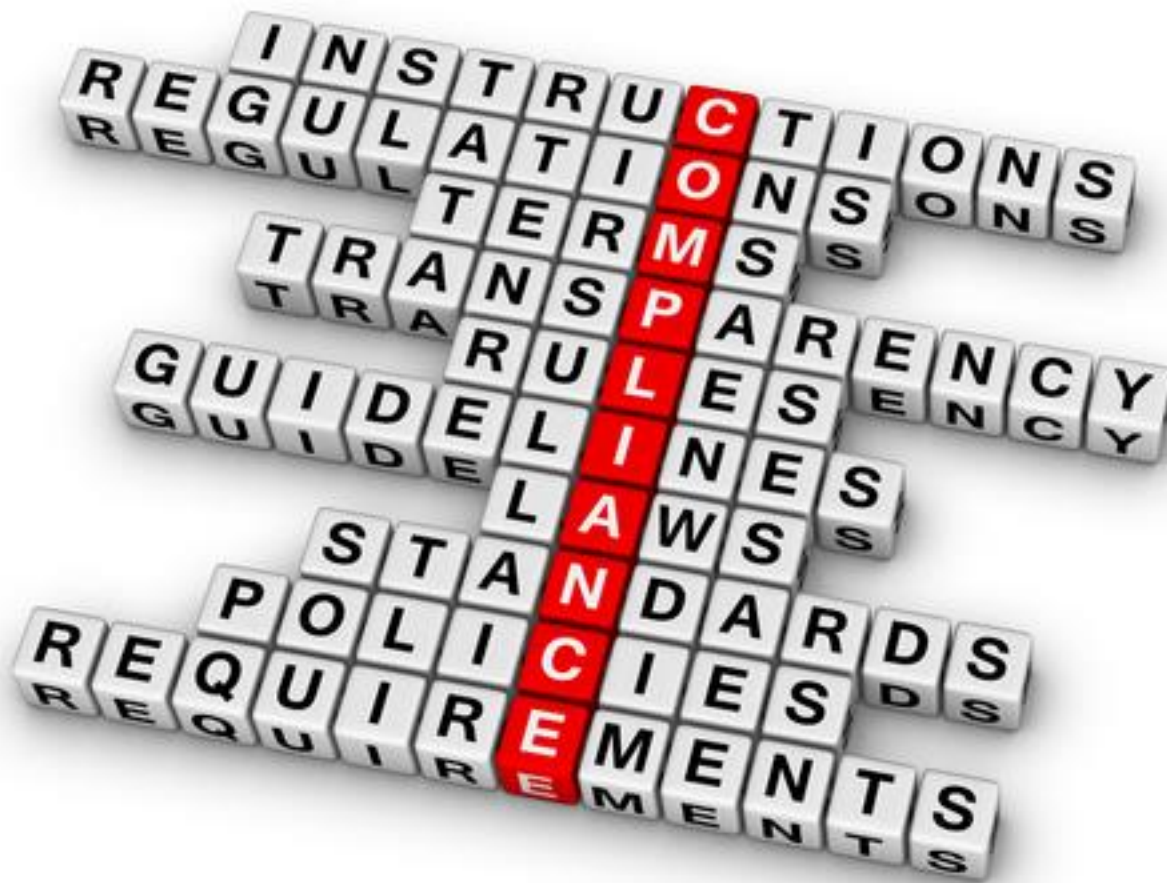
Note: The program must show the program's chosen program model's recognized current award for model fidelity and quality to receive a yes response.

Compliance	Documentation	Notes
<p>3.1 Evidence of alignment and compliance with the chosen program model.</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	<p>Describe the evidence that the program presented to illustrate quality as a result of compliance with the program model.</p> <p>Program Model Documentation:</p> <p><input type="checkbox"/> Baby TALK Quality Confirmation</p> <p><input type="checkbox"/> Early Head Start Federal Monitoring Report</p> <p><input type="checkbox"/> Healthy Families America Accreditation</p> <p><input type="checkbox"/> Nurse Family Partnership Efforts to Outcomes (ETO)</p> <p><input type="checkbox"/> Parents as Teachers Quality Endorsement</p> <p><input type="checkbox"/> Other (describe):</p> <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	

- <https://www.isbe.net/Documents/block-grant-pi-checklist.pdf>



Compliance



Compliance Ex 1: Qualified Staff

Compliance refers to whether programs are meeting the standards set forth by governing agencies, typically either funders or program models:

Example 1. (PICC Indicator 6.1) 6.1 Program employs qualified staff in accordance with program model.

Yes

No

Compliance Ex 2: Developmental Screening

Programs are either in or out of compliance based on a predetermined threshold:

- Example 2. (PICC Indicator 10.1) Any child enrolled, 6 months or longer and 3 months or older, must have a completed, comprehensive, research-based developmental screening in the child's/ family's file. Yes No



Compliance Ex 3: Caseload Sizes

- Example 3. (PICC Indicator 9.1) Program meets or exceeds the program caseload as defined in the Early Childhood Prevention Initiative 0-3 electronic grant.
 - Yes
 - No



Resources

Fiscal Year 2019 Early Childhood Block Grant-Prevention Initiative for Birth to Age 3 Years RFP: https://www.isbe.net/Documents/FY19_RFP_PI.pdf

Illinois Administrative Rules (23 Ill. Adm. Code), Section 235:
<https://www.isbe.net/documents/235ARK.pdf>

Birth to 5 Program Standards: <https://www.isbe.net/documents/o-5-program-stds.pdf>

Illinois Early Learning Guidelines for Children Birth to Age Three:
<https://www.isbe.net/documents/el-guidelines-0-3.pdf>

Prevention Initiative Compliance Checklist: <https://www.isbe.net/Documents/block-grant-pi-checklist.pdf>

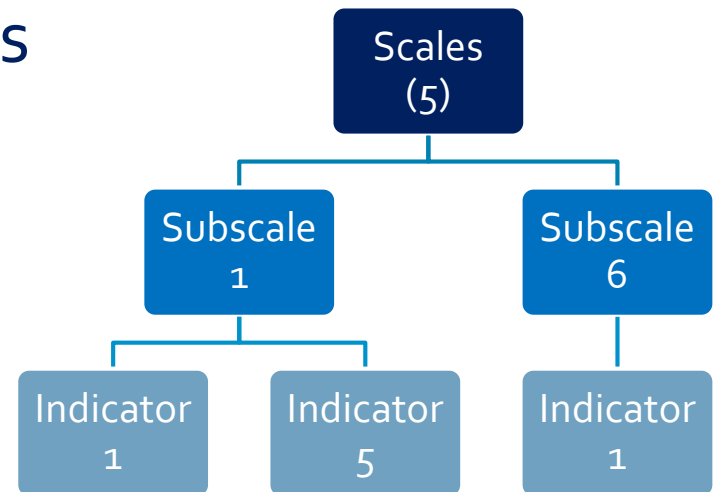
Prevention Initiative Quality Rating Instrument (PIQRI)

- Structure of tool
- Sections of the tool
- Indicators
- Rating / Scores

PIQRI Organization

5 Broad Scales

- Home Visitor Staff Qualifications
- Program Service Delivery
- Program Characteristics
- Program Management and Development
- Progress Monitoring



PIQRI Organization

Each of the 5 Scales are broken into more specific
Sub-scales

- Scale C: Program Characteristics include:
 - Program Model
 - Program Emphasizes Child Development and Well-being
 - Program Emphasizes Strong Working Relationships with Families
 - Services Tailored to Family Strengths and Needs



PIQRI Organization

Each Sub-scale Contains Indicators

- Scale: Program Characteristics
- Subscale: Service Tailored to Family Strengths and Needs
- Indicator 1: Assessing Individual Family Strengths and Needs
- Indicator 2: Adaptation of Materials to Diverse Family Strengths and Needs



PIQRI Scoring

- Score 1 – Low Quality
- Score 3 – Average Quality
- Score 5 – Above Average Quality
- Score 7 – High Quality



PIQRI Scoring

Subscale: C2. Program Content Emphasizes Child Development and Well-Being

1 Low Quality	3 Average Quality	5 Above Average Quality	7 High Quality			
Indicator Row 1: Training Emphasizes Child Development and Well-Being						
1.1 Program has significant gaps in training on the three core content areas of child development, health and safety, or the parent-child relationship.	1.3 Program provides at least initial training on all three of the core content areas of child development, health and safety, and the parent-child relationship.	1.5 Program requires ongoing training and professional development on at least two of the three core content areas of child development, health and safety, and the parent-child relationship.	1.7 Program requires ongoing training and professional development on all three of the core content areas of child development, health and safety, and the parent-child relationship.			
Indicator Row 2: Materials Emphasize Child Development and Well-Being						
2.1 Program materials and content have significant gaps in information on the three core content areas of child development, health and safety, or the parent-child relationship.	2.3 Program materials and content provide at least some overview of all three of the core content areas of child development, health and safety, and the parent-child relationship.	2.5 Program materials and content provide consistent attention to at least two of the three core content areas of child development, health and safety, and the parent-child relationship.	2.7 Program places in-depth emphasis on the importance of all three of the core content areas of child development, health and safety, and the parent-child relationship.			
Indicator Row 3: Supervision Emphasizes Child Development and Well-Being						
3.1 Home visitors report that supervision does not cover all of the three core content areas of child development, health and safety, and the parent-child relationship.	3.3 Home visitors report that supervision covers all three of the core content areas, with some focus on child development, health and safety, and the parent-child relationship.	3.5 Home visitors report that supervision regularly covers all three of the core content areas of child development, health and safety, and the parent-child relationship.	3.7 Home visitors report that supervision regularly covers all three of the core content areas AND most report that supervisor at least twice a year observes and provides feedback on home visitor practice in all three core program content areas.			
Circle Subscale Score						
1 All Indicator rows scored 1 and none scored 3, 5, or 7.	2 At least 1 Indicator row scored 1, and others scored 3, 5, or 7.	3 All Indicators rows scored 3 and none scored 5 or 7.	4 At least one Indicator row scored 3, and others scored 5 or 7.	5 All Indicator rows scored 5 and none scored 7	6 At least one Indicator row scored 5 and others scored 7.	7 All Indicator rows scored 7.



Operationalizing Definitions: Compliance Versus Quality

Compliance

- **Developmental Screening**
 - Use appropriate screening
 - Results shared with parents
 - Updated every 6 months
 - Parent consent for screening is on file

Quality

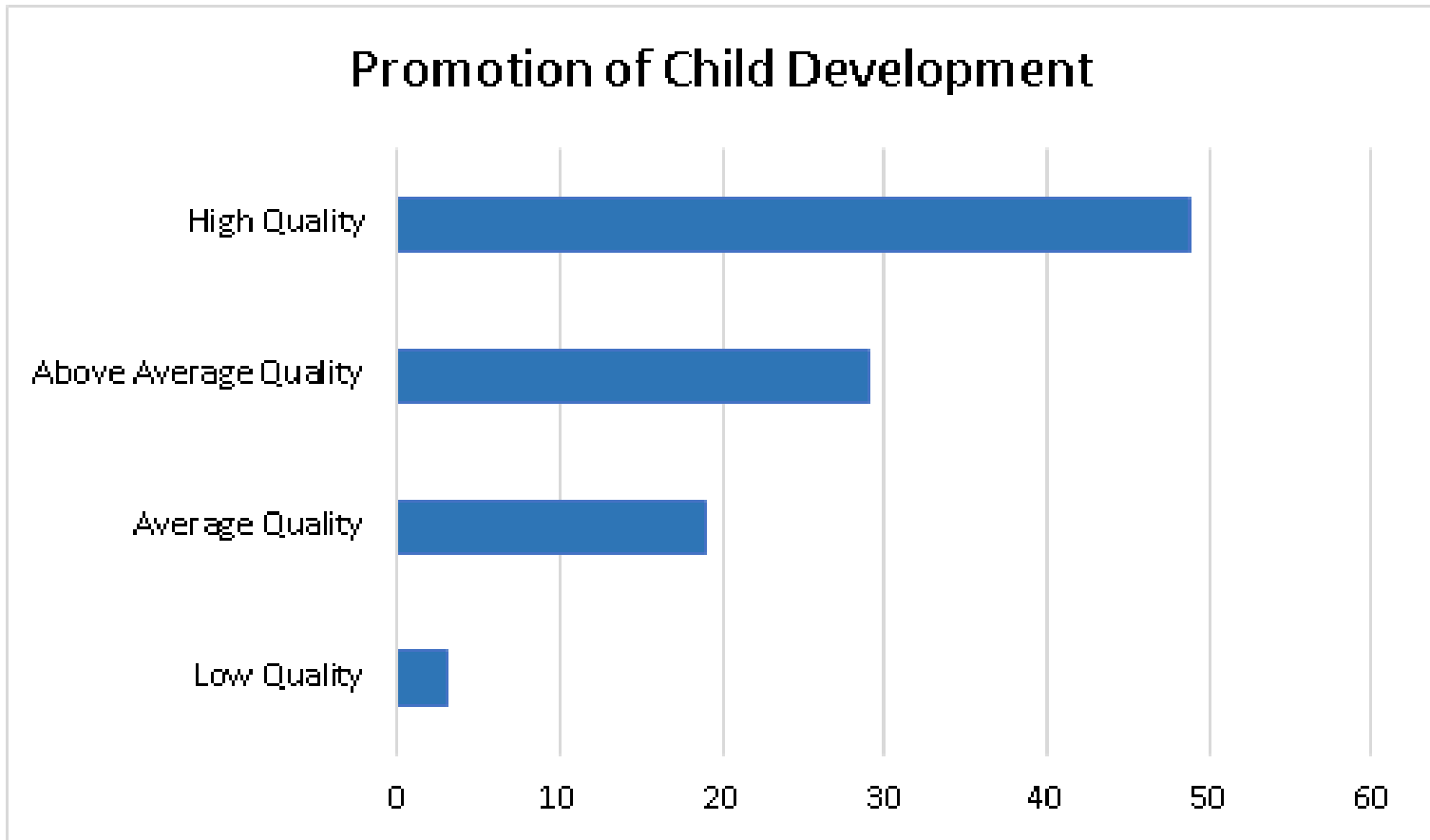
- **Promotion of Child Development**
 - Uses appropriate screening
 - Does screening collaboratively with family
 - Updated twice annually
 - ***Uses screening results to plan goals and activities***
 - ***Provides relevant developmental information to family***
 - ***Provides on-going monitoring of development between screens***

PICC 10: Developmental Screening

Number	Compliance Item	Percent Compliance 2018
10.1	Developmental Screening Given	64%
10.1.8	Developmental Screening Updated Every 6 mos.	36%
10.1.9	Developmental Screening Results Shared with Parents	32%
10.2	Signed Permission for Developmental Screening	43%

PIQRI: Scale A2.1

Promotion of Child Development



Compliance and Quality

Can you have one without the other?

The two concepts are not interchangeable. It is theoretically possible, for example, to be compliant to funding mandates yet still be lacking in quality. In turn, it is also possible to be out of compliance with model standards and still deliver a program that has many high commendable elements.

What issues are created in this dichotomy?

- Sometimes measures of quality and compliance give somewhat conflicting feedback
 - Programs can show quality on a conceptual level but still be out of compliance
 - Example: Transition Planning



Quality Vs. Compliance

(Ex: Transition Plans)

- Quality
 - Informal/formal plans
 - Begun at least 3 months prior to the child's transition
 - Developed in collaboration with the family, referral agency
- Compliance
 - Formal, written plan
 - Begun 6 months prior to transition
 - **Must be available in the file**



System Changes Made

- Intentional in our definitions of measurement
 - Ex: transition plans – 2 years and 6 months – made sure both tools considered high quality in the same way
- Created some scaled items for the PICC to better represent levels of compliance rather than holding to hard and fast “yes” or “no” distinctions

Marrying Quality and Compliance: Transition Plans

PICC 16.1: Evidence in each child's/family's file, as applicable, that the program develops **written individualized Transition Plans** to ensure children and families experience a seamless transition of services.

- Needs Improvement: Less than 50% of the child/family files reviewed have a written transition plan developed with the family as designated with signatures.
- Adequate: At least 50% of the child family files reviewed have a written transition plan developed with the family as designated with signatures.
- Exemplary: At least 90% of the child/family files reviewed have a written transition plan developed with the family as designated with signatures.



Marrying Compliance and Quality

Ex: Caseloads

PICC 9.1.4: Is program caseload full?

- Needs Improvement: Program is at less than 90% of their intended caseload capacity
- Adequate: Program is between 90-99% of their intended caseload capacity
- Exemplary: Program is at 100% of their intended caseload capacity and carrying a waitlist

Strengths of Looking at Both Compliance and Quality

- Looking at the same issue from a different lens

How to Use the Feedback/Results to Improve Overall Program Quality?

- Programs think about how to provide high quality services that are also in compliance – how to integrate the tools to provide the best services
- How to support best practices through use of tools
- Research



Activity

- Small groups
- Review the real/redacted monitoring results
- Develop the Action Steps that would be taken to comprehensively address one of the concerns or areas of relative improvement
- Identify how the plan will support both compliance (if applicable) and the quality of the staff practices or program



**Illinois
State Board of
Education**

Erikson Institute

**Thank YOU
The End**



Saima Gowani, EdM, Erikson Institute

Mary Frese, Erikson Institute

Penelope Smith, Illinois State Board of Education



**Illinois
State Board of
Education**

Whole Child • Whole School • Whole Community