



Parents as Teachers.

Quality Endorsement and Improvement Process Administrative Policies and Procedures

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I. Quality Endorsement and Improvement Process Introduction

In order to achieve the outcomes of the PAT model, PAT affiliates must adhere to model requirements and standards. The Parents as Teachers Quality Endorsement and Improvement Process (QEIP) facilitates continuous quality improvement and help ensure affiliates implement the Parents as Teachers (PAT) model with fidelity and quality. PAT affiliates engage in the QEIP in their fourth year of implementation and every five years thereafter.

Each program year beginning in the summer of 2015, a cohort of PAT affiliates that are in at least their fourth year of implementation go through the QEIP. It will take five years (from 2015-2020) for all affiliates to engage in the QEIP.

Programs that earn the Quality Endorsement are recognized by Parents as Teachers national center (PATNC) as Blue Ribbon Affiliates, delivering high quality services to children and families. The benefits involved in participating in the QEIP and earning the endorsement include:

- Providing assurance to funders, community groups and participants that an affiliate is worth their investment.
- Helping an affiliate maintain and strengthen its role in the community.
- Demonstrating that an affiliate is committed to continuously improving the quality of the services provided to children and families.
- Offering additional national recognition as a high-achieving member in the field of early childhood learning and parent engagement.

As an added benefit, parent educators earn the professional development hours required for the following year's certification renewal when they participate in QEIP. To earn these hours, parent educators must participate in the Self-Study process for at least the PAT Services area of the standards.

- Parent educators in their 2nd year and beyond can earn all the required hours. Parent educators in their 1st year can earn up to half the required hours.

The Quality Endorsement and Improvement Process has three main steps:

1. Essential Requirements Review
2. Affiliate Self-Study
3. Review and corroboration of the Self-Study

For a more detailed timeline of the entire process, please see Appendix A.

II. Quality Endorsement Cohorts – Selection and Notification

Policy

For the first five years of the QEIP, PATNC will identify eligible affiliates to be a part of the cohorts, defined as groups of affiliates that start the process at the same time.¹ Desired cohort size is equal to approximately 20% of the total number of eligible affiliates. Each cohort will repeat the QEIP every five years.

Procedures

- A. In December, the most recent APR and demographic data from Aptify (PATNC's customer database) is used to identify the pool of affiliates eligible for the next cohort, using the criteria below:
 1. The affiliate submitted the most recent APR.
 2. The affiliate is located in the United States.
 3. The affiliate has not yet participated in the QEIP.
 4. The affiliate will be in its fourth year of implementation or beyond when it begins the QEIP. Fourth year of implementation is defined as the affiliate having submitted at least three consecutive APRs by the time it begins the process.
 - a. An affiliate can request to begin the QEIP in its 3rd year of implementation. In this scenario it must have at least two complete APRs and a rationale for completing the process at that time.
 5. For cohorts 1, 2 and 3, the affiliate met or exceeded the minimum requirements for all or all but one of the Essential Requirements on the most recent APR. For cohorts 4 and 5, this criteria does not apply.
 6. Affiliates that fall into the following categories are automatically in the next cohort:
 - a. Affiliates that postponed participation in the QEIP the previous year
 - b. Affiliates that volunteered to be in the cohort
- B. In early January, the QEIP team at PATNC informs state leaders and the Implementation Support department of the programs in their state(s) that have been selected for participation in QEIP.
 1. The state leaders and Implementation Support staff are asked to inform the QEIP team if any of the selected affiliates should be excluded due to ineligibility or extenuating circumstances.
- C. In late January, the QEIP team informs the affiliates of their selection to be a part of the next cohort of the QEIP via a letter that is emailed to the supervisor.

¹ After 2020 when all existing affiliates have been assigned a cohort, new affiliates will automatically be assigned the cohort that will begin the process in their fourth year of implementation.

Quality Endorsement Cohorts Selection and Notification Procedures - continued

1. The letter asks the supervisor to inform the national office if the affiliate is accredited through Council on Accreditation (COA) or Commission on the Accreditation of Rehabilitation Facilities (CARF) and whether they would like to participate that year.
- D. Supervisors are asked to respond (copying the state leader as applicable) within two weeks. Response options are:
1. Confirm participation in the process.
 2. Request a one-time, one-year postponement².
 - a. It is not required that the affiliate notify the national center of their reason for postponing. The QEIP team does not evaluate the reason for the request.
 - b. Requests to postpone **must be made by June 30** of the year in which the affiliate is to begin the process. **Postponements cannot be granted after June 30.**

A note about consolidated affiliates

As identified in the consolidation agreement signed by the affiliate manager, consolidated affiliates submit one combined APR and go through the QEIP as one affiliate. The join date in Aptify for the consolidated affiliate is used to determine when the consolidated affiliate is in its fourth year of implementation.

A consolidated affiliate must represent the operations and practices of all its sites in a single Self-Study. Wherever possible, these operations and practices should be consistent across sites. If they are not consistent, each site's operations and practices should be clearly explained in the consolidated affiliate's Self-Study and all site-specific policies and procedures must be provided.

² Affiliates that have already used their one-time postponement in the five year cycle are not eligible to request a postponement.

III. Preparing for the QEIP

Policy

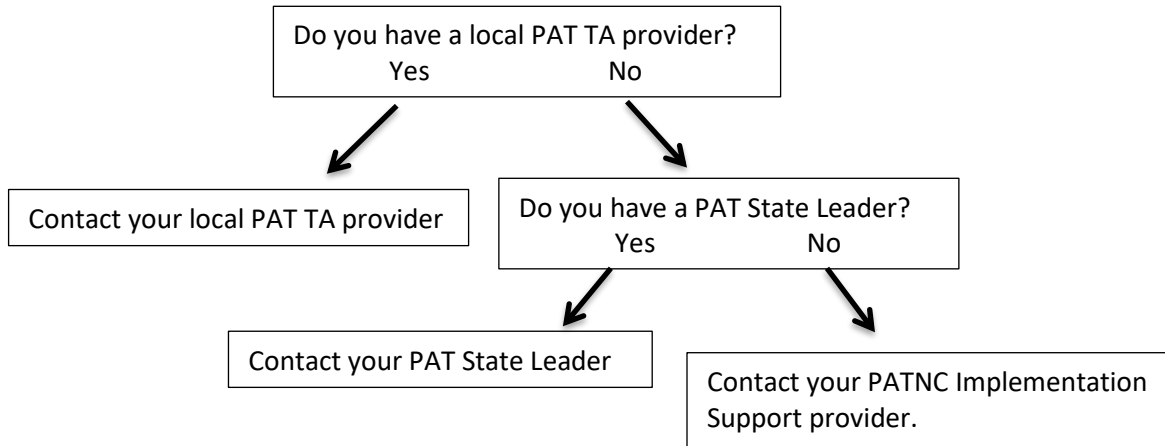
PATNC provides support and guidance to affiliates as they prepare for the QEIP. To this end, PATNC has developed resources to guide affiliates through the QEIP, including the *Quality Endorsement and Improvement Manual* and *Quality Endorsement Video Series*. In addition, PAT state office staff and PATNC staff are available for consultation.

Procedures

- A. The selection letter emailed to affiliates highlights and encourages supervisors to access the *Quality Endorsement and Improvement Manual* and *Quality Endorsement Video Series* and *Video Series Companion Materials*.
- B. Starting in January, PAT State Offices and local TA consultants, along with Implementation Support Specialists and Research and Quality staff at PATNC provide support to affiliates that will be participating in the QEIP.
 1. To keep the objectivity and credibility of the QEIP, those that support affiliates in *how* to implement the Essential Requirements and quality standards are different from those that support affiliates in the *logistics and review* portion of the process. This helps ensure that staff at PATNC who will review QEIP materials are not the same staff that help programs assess how they meet certain standards or give feedback on materials/ procedures they are developing while they prepare for the QEIP.
 - a. For questions regarding logistics of the QEIP as well as the intent and criteria of specific standards, the supervisor should contact the QEIP team at QualityEndorsement@parentsasteachers.org.
 - b. For questions about how to meet and/or implement the Essential Requirements and quality standards, the supervisor should contact the local TA provider or state leader (if there is one) or the PATNC Implementation Support provider assigned to his/her state.

Preparing for the QEIP Procedures- continued

- c. The following flowchart illustrates where to direct questions regarding how to fulfill the Essential Requirements and quality standards.



- C. Between January and June 30th the Manager of Quality and Improvement reviews and, as necessary, updates the documents and tools affiliates use to complete the Self-Study. These include:
1. Record Review Selection form
 2. Template for the Essential Requirements Success Plan
 3. Template for the Quality Standards Success Plan
 4. Affiliate Final Report Response form
 5. Essential Requirements Review Report
 6. Administrative Review checklist
 7. Administrative Review Tool
 8. Quality Endorsement Final Report
 9. Quality Endorsement Notification letters

IV. QEIP Step 1: The Essential Requirements Review

Policy

Affiliates that earn quality endorsement must demonstrate sufficient fidelity to the PAT model. This done by reviewing the affiliate's performance on the Essential Requirements based on the affiliate's Affiliate Performance Report (APR) data.

Procedures

The ER Review

- A. In June, PATNC hosts an informational webinar on the Essential Requirements Review for affiliates in the upcoming cohort, TA providers and State Leaders to explain how this part of the process works and answer questions.
 1. For affiliates in the QEIP cohort, the affiliate's APR is first reviewed for data accuracy and then their performance on the Essential Requirements is assessed.
- B. Between May 1 and August 15 affiliates submit their APR.
- C. The review of the APR for data accuracy and approval is done either by the State Office, PAT Regional Implementation Support or QEIP Reviewer, depending on where the affiliate is located (see table below).

APR Reviewer	State
State Office	Alabama, Arkansas, Colorado, Connecticut, Delaware, Florida, Georgia, Illinois, Iowa, Maine, Maryland, Massachusetts, New Jersey, New York, Pennsylvania, Rhode Island, South Carolina, Texas, Virginia, West Virginia, Wisconsin, Washington DC
PAT Regional Implementation Support	Alaska, Arizona, Idaho, Kentucky, Montana, North Carolina, Oregon, Tennessee, Utah, Washington, Wyoming
QEIP Reviewer	California, Hawaii, Indiana, Kansas, Louisiana, Michigan, Minnesota, Mississippi, Missouri, Nebraska, Nevada, New Hampshire, New Mexico, North Dakota, Ohio, Oklahoma, South Dakota, Vermont

QEIP Step 1: The Essential Requirements Review Procedures – continued

- D. Following the review of the APR for data accuracy and approval, a QEIP reviewer assesses whether each affiliate in the cohort met all Essential Requirements at or above minimum levels.
 - 1. This information is retained in a spreadsheet, which is used as a project management tool.
- E. QEIP reviewers complete an Essential Requirements Review Report that summarizes the affiliate's performance on the Essential Requirements and informs them of their next steps in the process.
- F. The affiliate's assigned Implementation Support provider at PATNC is copied on the report, along with the affiliate's local PAT TA provider and State Leader as applicable.
 - 1. All affiliates in the cohort receive this report by September 30th via an email to the affiliate supervisor.
- G. The affiliate's status is entered into Aptify in the QEIP tab on the company profile page, based on the results of the Essential Requirements Review.
 - 1. If the affiliate met or exceeded the minimum levels for all 17 Essential Requirements its status for the APR program year is Model Affiliate or Blue Ribbon Affiliate if the affiliate has earned and retained the blue ribbon to date.
 - 2. If the affiliate did not meet the minimum levels for all 17 Essential Requirements, its status is Provisional Affiliate for the program year.

ER Review Results

- A. Affiliates that met or exceeded the minimum levels for all 17 Essential Requirements proceed to step 2: the Affiliate Self-Study.
- B. Affiliates that did not meet the minimum levels for all 17 Essential Requirements complete an Essential Requirements Success Plan and receive another Essential Requirements Review when they submit their next APR.
 - 1. These affiliates are expected to complete an Essential Requirements Success Plan to address the Essential Requirements that were below minimum levels.
 - a. The link to this plan is sent with their Essential Requirements Review Report.
 - b. The Essential Requirements Success Plan is due by the end of October.
 - 2. The Implementation Support provider at PATNC and the affiliate's TA provider or state leader (as applicable) assist the affiliate in developing and implementing this plan.
 - 3. A QEIP reviewer completes another Essential Requirements Review the following year.

- a. If the affiliate meets all 17 Essential Requirements upon its second Essential Requirements Review, its status changes to model affiliate and it proceeds with the Affiliate Self-Study at that time.
- b. If the affiliate does not meet all 17 Essential Requirements in its second Essential Requirements Review, it will refine and implement its Essential Requirements Success Plan with assistance from the Implementation Support person at PATNC and its TA provider or state leader (as applicable).
 - (1) The affiliate's status remains provisional.
 - (2) In this situation, the affiliate repeats the QEIP three years later, beginning with the Essential Requirements Review.

QEIP Step 1: The Essential Requirements Review Procedures – continued

A Note about Implementation of the Essential Requirements

If an affiliate that passed the Essential Requirements Review stops implementing one or more of the Essential Requirements at any point during the QEIP or afterwards, the affiliate supervisor must notify their state leader or their PATNC Implementation Support Provider if there is not a state leader so that appropriate support can be given. If the state leader is notified, they will inform the assigned PATNC Implementation Support Provider.

Similarly, if a state leader or Implementation Support provider discovers that an affiliate currently in the QEIP cohort or an affiliate that has earned the blue ribbon has stopped doing an Essential Requirement, then the following steps need to be taken so appropriate support can be given. *This is not about the performance level associated with the Essential Requirements, but rather no longer doing one or more Essential Requirement.*

1. The state leader and/or PATNC Implementation Support Provider will follow up with the affiliate to verify that an Essential Requirement is no longer being implemented, and investigate why that is the case.
2. The state leader and/or PATNC Implementation Support Provider will work with the affiliate to help the affiliate resume implementing the needed Essential Requirement.
3. The PATNC Implementation Support Provider appropriately guides the affiliate to complete the next APR in a way that reflects whether the Essential Requirement was met. For example, if it comes to be known that a Blue Ribbon affiliate is not designed to be meeting an Essential Requirement in May, and the affiliate does not have time to put measures into place to be meeting the Essential Requirement by the time the APR is completed, then that will need to be reflected in the report.
4. If after a period of support and technical assistance, the affiliate is still no longer implementing the Essential Requirement, the PATNC Implementation Support Provider will inform the Manager of Quality and Improvement. The affiliate's status will be changed to provisional at the appropriate time.

V. QEIP Step 2: The Affiliate Self-Study

Policy

Affiliates that met or exceeded the minimum levels for all of the Essential Requirements continue to step 2 of the QEIP. In the Affiliate Self-Study, staff illustrate and rate how they meet the 100 Quality Standards, identifying strengths and making improvements along the way.

Procedures

- A. In early October, the QEIP team hosts a webinar on the Self-Study for affiliates, TA providers and State Leaders to explain how this part of the process works and answer questions.
- B. By November 1, the QEIP team emails each affiliate in the cohort a unique link to that year's Self-Study Web Survey.
 1. In the case of a consolidated affiliate, the email goes to the lead supervisor designated in the customer database.
- C. Between October 1 and March 31, affiliates compile their Affiliate Self-Study, which is due by April 1 (if April 1 falls on a weekend, it will be due the following Monday).
- D. Prior to April 1, affiliates need to request and collect family permission for file reviews from currently enrolled families that enrolled prior to January 1. It is important to note that families can decline to give permission.
 1. Affiliates using the most current PAT Participation Agreement/Consent for Services Sample already request consent for file reviews by TA providers and QEIP Reviewers. An additional consent is not required.
- E. Affiliates are expected to review their Self-Study prior to submitting it to ensure that all the documents they uploaded are successfully attached.
 1. The affiliate should save the PDF version of their Self-Study and print it if they choose.
- F. Affiliates must submit the Self-Study by April 1. With the possible exception of a two business day grace period, the national office is unable to accept late submissions.
 1. As a part of the Self-Study, affiliates must submit the Record Review Selection form listing the initials and date of enrollment of families that gave permission for QEIP file reviews.
 - a. An affiliate Self-Study submitted without the Record Review Selection form is considered incomplete.
- G. An affiliate that met all of the Essential Requirements based on the Essential Requirements review but does not submit the Self-Study or submits it late is no longer in compliance with Essential Requirement #17.

QEIP Step 2: The Affiliate Self-Study Procedures – continued

1. The affiliate's status changes to provisional.
2. The affiliate must develop and implement an Essential Requirements Success Plan.
 - a. If this was the affiliate's first time engaging in the process within a five-year cycle, they will repeat the QEIP starting that summer.
 - b. If this was the affiliate's second time engaging in the process within the five-year cycle, they will begin the process again in three years and remain in Provisional Affiliate Status during that time.

VI. QEIP Step 3: Determining Review Type

Policy

In order to confirm that affiliates met the Quality Standards they had rated as met, the QEIP team reviews all self-studies self-rated at or above 75% in one of two ways: administrative review or in-depth review.

Procedures

- A. In the week following April 1, the Manager of Quality and Improvement will sort the Self-Studies into two groups:
1. One for those that self-rated meeting less than 75% of the standards.
 2. One for those that self-rated meeting at least 75% of the standards.

Self-rating of less than 75% of the Quality Standards

- A. In early April, the QEIP team will email these affiliates (copying the state leader/TA provider and PAT Implementation Support Provider) notifying them that their Self-Study will not be reviewed by PATNC.
1. These affiliates will be reminded that they can choose to repeat the QEIP starting that summer (beginning with the Essential Requirements Review), but are not required to do so³.
 2. The email, containing the Quality Standards Success Plan, will encourage the affiliate to complete this plan with support from their Implementation Support Provider at PATNC and TA provider or state leader (as applicable).
 3. These affiliates will be asked to notify the QEIP team by June 30 of their decision regarding whether they plan to repeat the QEIP.
 4. If the affiliate chooses not to repeat the QEIP process, its status remains Model Affiliate (or changes to this in the case of a previously Blue Ribbon affiliate), the affiliate receives annual ER Reviews from their state office and/or PATNC Implementation Support Provider, and begins the QEIP again approximately four years later.
 5. If the affiliate chooses to repeat the QEIP, the QEIP team will complete their Essential Requirements Review with the next APR due by August 15th.
 - a. If the affiliate meets or exceeds the minimum levels for all 17 Essential Requirements, it moves on to the Self-Study.
 - b. The affiliate can use documents and narratives they submitted in their previous Self-Study that still apply, and/or update them as needed.

³ Only affiliates that are completing the QEIP for the first time in the five-year cycle are eligible to repeat the process starting that summer. Affiliates that are engaging in the process for the second time in their five-year cycle (either because they did not meet all Essential Requirements the first time, didn't submit a Self-Study the first time or self-rated at less than 75% the first time) are not eligible to repeat and must wait until their cohort begins the process again in about 4.5 years.

QEIP Step 3: Determining Review Type procedures- continued

- 1) The Self-Study will be due by April 1.
- c. Upon submission of a Self-Study with at least 75% of the Quality Standards self-rated as met, the national center will review it and if at least 75% of the Quality Standards are confirmed to be met, endorsement will be awarded and be good for four years.

Self-Rating of at Least 75% of Quality Standards

- A. In early April, the QEIP team will select a sample of these affiliates for in-depth review, and the remaining affiliates will go through an administrative review⁴.
 1. The Manager of Quality and Improvement will create a table with data and information on each of the eligible affiliates to ensure the in-depth review sample is representative of PAT affiliates overall in terms of population served, size, demographics and geography.
 2. The table is sorted by state, so the breakdown of the number of programs per state is evident. Affiliates that are the only representative from their state are treated as a group.
 3. Additional data points included in the table are:
 - a. the percentage of high needs families served
 - b. the number of families served
 - c. the racial and ethnicity percentage breakdown of families served
 - d. whether the program is funded through the Maternal, Infant, and Early Childhood Home Visiting program
 - e. the type of host organization
- B. Using the table created, the QEIP team will use a stratified sampling method to determine which affiliates are to be selected for the in-depth review.
 1. The stratified sampling considerations include the following:
 - a. Selecting a geographically diverse group with representatives from different states.
 - b. The total number of PAT affiliates in the states.
 - c. Selecting a diverse representation of affiliates in terms of size, funding source and types of families served.
- C. When grouping affiliates, if there are groups of affiliates in states that have few total programs (2-5) it may make sense to merge those groups. For example, if there are only two HI programs and two FL programs in PAT, and all four of those affiliates are in the pool to be selected, it may make sense to consolidate those groups for selection purposes.

⁴ The number and percentage of in-depth reviews completed is proprietary information, and is therefore not published in these policies and procedures.

1. When choosing affiliates within each group of states, attempts are made to have a roughly equal percentage of programs chosen from each group. This may or may not be possible depending on the size of each group.
- D. In mid-April, affiliates will be notified via email of their assignment to either the in-depth review sample or the administrative review group.

VII. QEIP Step 3: In-depth Review

Policy

The QEIP team applies additional methods, specifically interviews and file reviews, to its review of a sample of randomly selected affiliate self-studies. These affiliate self-studies are selected from within a representative sample. All QEIP reviewers maintain the confidentiality of the information reviewed. To this end, sign the PAT Reviewer Confidentiality and Nondisclosure Statement (Appendix C). These are maintained in the Research and Quality department and affiliates can request a copy if necessary.

Procedures

In-Depth Review Process

- A. The activities that comprise the in-depth review are focused on confirming only the Quality Standards that the affiliate rated as met and include corroboration, confirmation and quality endorsement committee approval.
 1. In-depth review activities occur between April and September.
- B. In the first week of April, after the QEIP team selects the affiliates for either the in-depth or administrative review, the QEIP team will use the submitted Record Review Selection Forms to randomly select three family files to be submitted for in-depth review, using the random number function in Excel.
- C. In mid-April, the QEIP team will email these affiliates to inform them of their selection for the in-depth review. The email will also contain information about the family file review and scheduling of interviews.
 1. The affiliate will be informed of the three family files to be submitted to PATNC.
 - a. Affiliates have one week to submit.
 - b. Each file submitted must include a copy of the family's consent for file review.
 - c. The affiliate may opt to submit the records using Dropbox, allow access to their database system for the families selected and/or mail files using a signature receipt.
 - (1) Dropbox - For this option, the supervisor must set up a Dropbox account if the affiliate doesn't already have one, and create the folder that contains the family files. The affiliate will scan and upload the family files and save them in the designated folder, and then send the link to the folder to the national office reviewer. No other files should be uploaded to the folder and the link should not be sent to anyone else. The national office reviewer will not share the link and will delete the email containing the link once he/she has completed the file reviews. The supervisor must delete the files once the reviewer notifies the supervisor that the file reviews are complete. The reviewer will close out of the files when not viewing them and will not download and save any of the files to his/her computer.

QEIP Step 3: In-depth Review procedures- continued

- (2) Access to database - For this option the supervisor will grant the reviewer access to the affiliate's database system. The account provided to the reviewer should only allow access to the three files selected for review. The reviewer will not share his/her password information and will close out of the database when not viewing family files. The account must be deleted once the reviewer notifies the supervisor that the file reviews are complete.
 - (3) Mailing files - For this option the supervisor will mail copies of the three family files to the reviewer. The files must be addressed to the assigned PAT reviewer and must require a signature receipt upon delivery. The files that are sent must be copies, not originals.
2. The reviewer will not leave files on his/her desk and will lock them in a file cabinet when not reviewing them. Upon completion of the file reviews, the PAT reviewer submit the files to be shredded, and they will be held in a locked container until shredding occurs.
- D. The affiliate will also be informed of the available weeks (between May and September) in which they can schedule their interviews.
1. The reviewer will email the supervisor to schedule the interviews below:
 - a. The supervisor interview: takes about 90 minutes and includes all affiliate supervisors, along with administrator(s) if possible.
 - b. The parent educator interview: takes about 90 minutes and includes up to seven parent educators. If the affiliate has more than seven parent educators, it can choose seven parent educators to participate in the interview. If this is done, the parent educators that participate should have caseloads that collectively represent the variety of families served by the affiliate.
 - c. The advisory committee interview: takes about 30 minutes. A minimum of two and a maximum of seven advisory committee members should participate in the advisory committee interview. The members that participate in this interview are selected by the affiliate supervisor.
 - d. The state leader/regional TA provider interview takes place for affiliates that have this resource. The reviewer will email the TA representative or State Leader directly to schedule it. This interview takes about 30-45 minutes.
 2. Weeks will be assigned to affiliates on a first come first serve basis.
 3. The interviews will be scheduled to take place in the week that was established for each affiliate. Three or four interviews take place, and the exact date and time will be established by the reviewer and the supervisor.

QEIP Step 3: In-depth Review procedures- continued

- E. Between April and September, the assigned reviewer will prepare for each affiliate's interviews by conducting a thorough review of the Self-Study and family files.
 - 1. The family files will be reviewed using the PAT Family File Review Tool. As part of each file review, six personal visit records are randomly selected for review, using the random number function in Excel.
 - 2. The reviewer will use the Self-Study Review Tool to record notes regarding the content supplied for each standard.
 - 3. Preliminary ratings for each Quality Standard are recorded on the Self-Study Review Tool.
 - 4. After reviewing the Self-Study and family files, the assigned reviewer will conduct the interviews referenced above, which will be tailored based on the Self-Study review and family file reviews conducted.
- F. The assigned reviewer will use the information from the interviews to review and rate the remaining Quality Standards on the Self-Study Review Tool.
 - 1. Any standards not able to be rated or that warrant follow-up questions will be tagged.
- G. The assigned reviewer will meet with the Manager of Quality and Improvement and/or the Director of Quality Improvement to review each Self-Study, discussing the standards that warrant follow-up or were not able to be rated.
 - 1. If a final determination on a rating cannot be made, the standard is tagged for review by the Quality Endorsement Review committee.
- H. The Quality Endorsement committee meets monthly and will review the findings of all in-depth reviews.
 - 1. The Quality Endorsement committee is a multi-departmental committee that includes representatives from the Research and Quality Improvement department, the Affiliations and Implementation Support department and the Training, Curriculum and Program Innovations department.
 - a. A quorum of at least one representative from each department is required for decision making. Representatives can participate remotely or, with prior briefing, via email.
 - b. The Quality Endorsement Committee makes the final decision regarding awarding the endorsement to each affiliate selected for in-depth review.
 - c. Any Quality Standards that were tagged by the reviewer are presented to the committee and the committee makes the final determination on whether those standards are rated as met.
- I. Following final review by the Quality Endorsement Committee, the reviewer will prepare a comprehensive report for each in-depth review, highlighting strengths and recommendations for each section of the Quality Standards, as well as whether quality endorsement has been earned and next steps for the affiliate.

- J. In September, the reviewer will check each affiliate's APR and PMR to assess that all 17 Essential Requirements continue to be met. The results of this Essential Requirements Review check are incorporated into the final report.
- K. The QEIP team will also check that each affiliate is current on their affiliate fee.
- L. The final report is emailed to affiliates by October 15, and the PATNC Implementation Support provider and the local PAT TA provider and State Leader are copied as applicable.

VIII. QEIP Step 3: Administrative Review

Policy

The remainder of the self-studies not randomly selected for in-depth review receive an administrative review. All QEIP reviewers maintain the confidentiality of the information reviewed. To this end, sign the PAT Reviewer Confidentiality and Nondisclosure Statement (Appendix C). These are maintained in the Research and Quality department and affiliates can request a copy if necessary.

Procedures

- A. The activities that comprise the administrative review are focused on confirming only the Quality Standards that the affiliate rated as met. Administrative review activities occur between April and September.
- B. In April, the affiliates selected for the administrative review will be assigned a QEIP reviewer.
- C. The QEIP reviewer will use the Administrative Review Tool to assess that the appropriate documentation was uploaded and the necessary information was supplied in narrative or table form for each standard the affiliate rated as “met”.
 1. Any Quality Standards that do not have the appropriate documentation or information supplied will be notated on the tool.
 2. Any standards for which the reviewer is not able to determine a rating or that warrant follow-up will be tagged.
- D. The QEIP reviewers meet weekly as an Administrative Review committee during the review period to discuss any tagged standards, help ensure consistency across reviewers and make decisions regarding the rating of those tagged standards.
 1. If unable to make a determination, questions will be brought to the Quality Endorsement Committee for final consensus.
- E. The QEIP reviewer will email the State Leader and/or TA Provider (as applicable) if the administrative review indicates that the affiliate met at least 75% of the standards to confirm that the State Leader and/or TA Provider recommends the affiliate be awarded the quality endorsement.
- F. The reviewer will prepare a final report for each affiliate that includes the final rating for each Quality Standard, an explanation for why any Quality Standards were rated as not met, whether endorsement was earned and next steps.
- G. In September, the reviewer will check each affiliate’s APR and PMR to assess that all 17 Essential Requirements continue to be met. The results of this Essential Requirements Review check are incorporated into the final report.
- H. The QEIP team will also check that each affiliate is current on their affiliate fee.
- I. The final report is emailed to affiliates by October 15, and the PATNC Implementation Support provider and the local PAT TA provider and State Leader are copied as applicable.

IX. QEIP Review & Essential Requirements

Policy

The QEIP Team works together with the local TA provider and PAT state office (as applicable), along with the PATNC Implementation Support provider to follow up on and address any information that emerges during step 3 of the QEIP that indicates an essential requirement is not being implemented.

Procedures

- A. If information emerges during the review process that indicates the affiliate did not meet one or more of the Essential Requirements, The Manager of Quality and Improvement discusses this further with the affiliate supervisor, the national office Implementation Support contact and the local PAT TA provider and State Leader, as applicable.
- B. The Quality Endorsement Committee will discuss any issues regarding Essential Requirements that emerged during the review process and make a determination of whether the Essential Requirement is met.
- C. If determined that an Essential Requirement is not met, the Manager of Quality and Improvement and the Director of Quality Improvement will schedule a call with the State Leader/TA Provider (as applicable) to notify them of this finding and the change to provisional status.
- D. This information will be detailed in the final report sent to the affiliate along with next steps.

X. Notification of Quality Endorsement Results

Policy

PATNC clearly communicates the results of the QEIP in a timely manner, offering meaningful feedback in the QEIP report and providing a response opportunity to the affiliate.

Procedures

Possible Outcomes

- A. Formal notification of the results of the QEIP are provided to affiliates, their PATNC implementation support providers, TA providers and state leaders (if applicable) in the QEIP cohort by October 15. The following outcomes are possible:
1. **Blue Ribbon Affiliate:** Affiliates that meet at least 75% of the Quality Standards and all 17 Essential Requirements in both Essential Requirement Reviews earn the Blue Ribbon and receive an official award letter, quality endorsement certificate, the response form, permission to use the blue ribbon affiliate logo and marketing toolkit.
 2. **Model Affiliate:** Affiliates that meet fewer than 75% of the Quality Standards and all 17 Essential Requirements retain their Model Affiliate status and receive a QEIP letter, response form and Quality Standards Success Plan.
 3. **Provisional Affiliate (type 1- met at least 75 quality standards):** Affiliates that meet at least 75% of the Quality Standards but either through the review process or the second Essential Requirements Review did not meet at least one Essential Requirement will be in Provisional Affiliate status. These affiliates receive a QEIP letter, response form and Essential Requirements Review Success Plan.
 4. **Provisional Affiliate (type 2- did not meet at least 75 quality standards):** Affiliates that meet fewer than 75% of the Quality Standards and either through the review process or the second Essential Requirements Review did not meet at least one Essential Requirement will be in Provisional Affiliate status. These affiliates receive a QEIP letter, response form and Essential Requirements Review Success Plan and Quality Standards Success Plan.

Responding to an inaccuracy in the review

- A. By October 15, affiliates that submitted the Self-Study receive a final report that details which standards were met and which standards were not met, along with the results of the two Essential Requirement Reviews conducted in the course of the QEIP.
- B. The affiliate supervisor has one month (30 days) from the date he/she receives the final report from PATNC to submit a response for standards that they believe PATNC did not rate accurately based on the information supplied in the Self-Study.
1. This response must be submitted using the Affiliate Final Report Response form.

Notification of Quality Endorsement Results procedures- continued

2. The response must identify the standard(s) to be addressed, clearly describe the inaccuracy based on the information that was provided with the Self-Study, and provide specific information that warrants rating the applicable standard as “met”.
3. The completed form should be sent via email to the Quality Endorsement team who will acknowledge receipt of the email within two business days.
 - a. The Quality Endorsement team will review and respond to the response within 30 days.
 - (1) The Quality Endorsement Committee will be consulted as necessary to decide on the proper response.
 - (2) If additional time is needed for approval from the Quality Endorsement Committee, the affiliate will be notified of the delay.
 - b. An addendum to the final report will be added as appropriate and will be emailed to the affiliate within 30 days of receiving the affiliate’s response.

Options for Affiliates that did not earn the blue ribbon

- A. Affiliates that meet between 65%-74% of the Quality Standards and all 17 Essential Requirements can either:
 1. Accept the rating given and maintain Model Affiliate status. The affiliate receives annual ER Reviews from their state office and/or PATNC implementation support provider, and begins the QEIP again approximately four years later. OR
 2. Complete and submit a Quality Standards Success Plan to PATNC by November 15, and provide evidence that additional standards have been met in April⁵.
 - a. The affiliate’s local and national technical assistance provider(s) are available to help the affiliate develop their Quality Standards Success Plan.
 - b. Once the Quality Standards Success Plan is submitted, the QEIP team will inform the affiliate of the specific information, data and/or documents that the affiliate will need to supply to demonstrate that it has met the standards it is addressing in its Quality Standards Success Plan.
 - c. The affiliate implements the Quality Standards Success Plan between November and March.

⁵ Only affiliates that are completing the QEIP for the first time in the five-year cycle are eligible to submit the Quality Standards Success Plan to PATNC. Affiliates that are engaging in the process for the second time in their five-year cycle are not eligible to submit the Quality Standards Success Plan and will retain their Model Affiliate status.

Notification of Quality Endorsement Results procedures- continued

- d. By April 15, the affiliate submits the specific data and/or information referenced in b above, demonstrating they are now meeting the standards addressed in their success plan. This information must be submitted in the format specified by the QEIP team.
 - e. By May 15, the QEIP team reviews the data and information submitted by the affiliate and determines whether the affiliate met additional standards.
 - (1) If now determined to be meeting at least 75% of the Quality Standards, the affiliate earns the Blue Ribbon which is good for 4.5 years at that point.
 - (2) If determined to be meeting fewer than 75% of the Quality Standards, the affiliate maintains model affiliate status.
- B. Affiliates that meet less than 65% of the Quality Standards and all 17 Essential Requirements can either:
1. Accept the rating given and maintain Model Affiliate status. The affiliate receives annual ER Reviews from their state office and/or PATNC implementation support provider, and begins the QEIP again approximately four years later. OR
 2. Opt to repeat the QEIP starting in the current year⁶. The supervisor must notify the Quality Endorsement team via email of that decision by October 31.
 - a. The affiliate is sent a link to the current Self-Study. It can use documents and narratives from their previous Self-Study as applicable.
 - b. The affiliate submits the Self-Study by April 1.
 - c. If endorsement is earned, it is good for four years.
- C. Affiliates that meet at least 75% of the Quality Standards but did not meet at least one Essential Requirement will complete the following step:
1. Complete and submit an Essential Requirements Success Plan to PATNC by November 15.
 2. Upon submission of the next APR, if all Essential Requirements are met, the affiliate will earn the Blue Ribbon designation which will be good for four years.
- D. Affiliates that met between 65%-74% of the Quality Standards and did not meet at least one Essential Requirement will complete an Essential Requirements Success Plan and can either:
1. Accept the rating given on the Quality Standards, and upon submission of the next

⁶ Only affiliates that are completing the QEIP for the first time in the five-year cycle are eligible to repeat the QEIP. Affiliates that are engaging in the process for the second time in their five-year cycle are not eligible to complete the QEIP and will retain their Model Affiliate status.

Notification of Quality Endorsement Results procedures- continued

APR if all Essential Requirements are met, the affiliate would earn Model Affiliate Status OR

2. Complete and submit a Quality Standards Success Plan to PATNC by November 15, and provide evidence that additional standards have been met in April⁷.
 - a. The affiliate's technical assistance provider(s) are available to help the affiliate develop their Quality Standards Success Plan.
 - b. Once the Quality Standards Success Plan is submitted, the QEIP team will inform the affiliate of the specific information, data and/or documents that the affiliate will need to supply to demonstrate that it has met the standards it is addressing in its Quality Standards Success Plan.
 - c. The affiliate implements the Quality Standards Success Plan between November and March.
 - d. By April 15, the affiliate submits the specific data and/or information referenced in b above, demonstrating they are now meeting the standards addressed in their success plan. This information must be submitted in the format specified by the QEIP team.
 - e. By May 15, the QEIP team reviews the data and information submitted by the affiliate and determines whether the affiliate met additional standards.
 - (1) If now determined to be meeting at least 75% of the Quality Standards, the affiliate has the ability to earn the Blue Ribbon if all Essential Requirements are met upon submission of the APR that summer.
 - (2) If determined to be meeting fewer than 75% of the Quality Standards, the affiliate will remain a Provisional Affiliate until the APR is submitted, and at that point can earn Model Affiliate status if all Essential Requirements are met.
- E. Affiliates that met less than 65% of the Quality Standards and did not meet at least one Essential Requirement will complete an Essential Requirements Success Plan.
1. Upon submission of the next APR if all Essential Requirements are met, the affiliate would earn Model Affiliate status.
 2. These affiliates are not eligible to repeat the process in the current year as all Essential Requirements were not met.

⁷ Only affiliates that are completing the QEIP for the first time in the five-year cycle are eligible to submit the Quality Standards Success Plan to PATNC. Affiliates that are engaging in the process for the second time in their five-year cycle are not eligible to submit the Quality Standards Success Plan and will retain their Model Affiliate status.

XI. Alternate Pathways to Earning the Quality Endorsement

Policy

Some PAT affiliates already go through a comprehensive, rigorous accreditation process with complementary standards. These affiliates are eligible for a modified QEIP Self-Study. At this time, the two accreditations recognized for this purpose by PAT are: Council on Accreditation (COA) & Commission of Accreditation and Rehabilitation Facilities (CARF).

Procedures

- A. These affiliates have the opportunity to complete a modified QEIP Self-Study, following a successful Essential Requirements Review.
 - 1. A successful Essential Requirements Review means that the affiliate is meeting all 17 Essential Requirements at or above minimum levels.
- B. After confirming that they are meeting all 17 Essential Requirements, affiliates that are CARF or COA accredited may submit their CARF or COA accreditation certificate to confirm their current accreditation status and then complete a modified Affiliate Self-Study.
- C. The modified Affiliate Self-Study takes into account the PAT Quality Standards that overlap with CARF or COA standards and requires that the affiliate only respond to the PAT Quality Standards that CARF or COA do not address.
- D. These affiliates complete the modified Self-Study and submit it by April 1.
- E. These self-studies are reviewed like all of the others.

XII. Maintaining the Quality Endorsement

Policy

Once earned, the quality endorsement and blue ribbon designation is valid for up to five years as long as the affiliate continues to submit the Affiliate Performance Report (APR), meet the Essential Requirements and pay the affiliate fee. These criteria help maintain the value and integrity of the endorsement.

Procedures

- A. The Implementation Support team at PATNC, in coordination with PAT State Offices, conduct Essential Requirements Reviews each year with affiliates not participating in the QEIP at that time.
 - 1. To maintain its quality endorsement and blue ribbon status, the affiliate's Essential Requirements Review must indicate that the affiliate is meeting all 17 Essential Requirements.
 - a. If the affiliate is not meeting the minimum levels for one or more Essential Requirement, the affiliate is moved to Provisional Affiliate status for that program year.
 - (1) If the affiliate is once again meeting or exceeding the minimum level for one or more Essential Requirement, based on the data it submits on the next APR, the affiliate returns to Blue Ribbon Affiliate status.
 - (2) If the affiliate indicates on the following APR that it is still not meeting the minimum levels for one or more Essential Requirement, the affiliate retains Provisional Affiliate status.
 - (3) This process repeats annually.
- B. If an affiliate that passed the Essential Requirements Review stops implementing one or more of the Essential Requirements at any point during the QEIP or afterwards, the affiliate supervisor must notify their state leader or their PATNC Implementation Support Provider if there is not a state leader so that appropriate support can be given.
 - 1. If the state leader is notified, they will inform the assigned PATNC Implementation Support Provider.
- C. If a state leader or implementation support provider discovers that an affiliate currently in the QEIP cohort or an affiliate that has earned the blue ribbon has stopped doing an Essential Requirement, then the following steps need to be taken so appropriate support can be given.
 - 1. For both B and C, this is not about the performance level associated with the Essential Requirements, but rather no longer doing one or more Essential Requirement.
 - 2. The state leader and/or PATNC Implementation Support Provider will follow up with the affiliate to verify that an Essential Requirement is no longer being implemented, and investigate why that is the case.

Maintaining the Endorsement Procedures- continued

- D. For both B and C above, the state leader and/or PATNC Implementation Support Provider will work with the affiliate to help the affiliate resume implementing the needed Essential Requirement.
- E. The PATNC Implementation Support Provider appropriately guides the affiliate to complete the next APR in a way that reflects whether the Essential Requirement was met. For example, if it comes to be known that a Blue Ribbon affiliate is not designed to be meeting an Essential Requirement in May, and the affiliate does not have time to put measures into place to be meeting the Essential Requirement by the time the APR is completed, then that will need to be reflected in the report.
- F. If after a period of support and technical assistance, the affiliate is still no longer implementing the Essential Requirement, the PATNC Implementation Support Provider will inform the Manager of Quality and Improvement.
 - 1. The affiliate's status will be changed to provisional at the appropriate time.
 - 2. The national implementation support person provides the affiliate with the Essential Requirements Success Plan template.
 - a. The TA provider, state leader and/or PATNC implementation support person consult with the affiliate to help them address the relevant issues.
- G. The affiliate has 30 days to appeal this decision in writing, either by email or letter.
 - 1. The Quality Endorsement Committee will review the appeal and make a final decision within 30 days of its receipt.
 - 2. If the affiliate has submitted its Essential Requirements Success Plan and its next APR indicates that they are once again implementing all Essential Requirements and doing so at or above the minimum levels for each, they will regain their Blue Ribbon Affiliate status.

Appendix A

QEIP (QEIP) Timeline

The activities outlined in these 2 columns are specific to the cohort completing the QEIP

		Affiliate activities/tasks	PATNC activities/tasks
Program year 1	July	<ul style="list-style-type: none"> Complete APR for prior program year by 8/15 	<ul style="list-style-type: none"> Review PMRs & prepare ER Review Reports
	August		
	September	<ul style="list-style-type: none"> Receive & review ER Review Report If not meeting 1 or more ERs, develop an ER Success Plan (in this scenario, affiliate stops here, implements its ER Success Plan & ER Review is done again next year) 	<ul style="list-style-type: none"> Send ER Review Reports (& Success Plans as applicable) to affiliates by 9/30 Implementation Support staff along with local TA staff available to help with ER Success Plans
	October	<ul style="list-style-type: none"> If meeting all ERs, compile the Self-Study 	<ul style="list-style-type: none"> Provide support: <ul style="list-style-type: none"> > Research & Quality staff available for logistical questions about QEIP and to clarify intent & criteria of specific standards > Expansion & Model Replication staff available to answer questions about how an affiliate currently meets certain standards and materials/ procedures it is developing
	November	<ul style="list-style-type: none"> If not already obtained, get permission for QEIP family file reviews 	
	December		
	January	<ul style="list-style-type: none"> Submit the Affiliate Self-Study Web Survey, including the Record Review Selection Form to PATNC by 4/1 	
	February		
	March		
	April	<ul style="list-style-type: none"> If selected for in-depth review, <ul style="list-style-type: none"> > submit 3 family files to the national office this month > identify dates/times for interviews with national office reviewer (some could take place this month as well) 	<ul style="list-style-type: none"> Notify each affiliate that self-rates meeting at least 75% of the standards if it will have an In-Depth or Administrative Review Randomly select files based on Record Review Selection Form & notify affiliate of selected files Identify dates/times for interviews Begin review of self-studies
May	<ul style="list-style-type: none"> Respond to clarification questions from reviewer as needed 	<ul style="list-style-type: none"> Continue review of self-studies, conduct interviews, review family files & review findings with QEIP Committee 	
June			
Program Year 2	July	<ul style="list-style-type: none"> If receiving an in-depth review, participate in interviews 	<ul style="list-style-type: none"> Check most recent PMR and affiliate fee status to confirm affiliates continue to meet all ERs
	August		
	September	<ul style="list-style-type: none"> Submit APR for prior program year by 8/15 	
	October	<ul style="list-style-type: none"> Review QEIP report which indicates endorsement status If meeting less than 75% (either by self-rating or national office review), develop a Quality Standards 	<ul style="list-style-type: none"> Send affiliates their QEIP report (& Success Plans as applicable) and award endorsements Expansion & Model Replication staff along with local TA staff available to help with Quality Standards Success Plans

		Success Plan (65-74%: affiliate can submit evidence of improvement by April & earn the endorsement w/in the program year; less than 65%: can repeat process next year)	
November	<ul style="list-style-type: none"> Submit Response Form if needed to follow-up on any ratings considered inaccurate in the report 	<ul style="list-style-type: none"> QEIP committee reviews & replies to any Response Forms 	
Dec			
Jan			
Feb			
March			
April	<ul style="list-style-type: none"> If desired, submit information/data demonstrating Quality Standards Success Plan objectives have been met by 4/15 Respond to clarification questions from reviewer as needed 	<ul style="list-style-type: none"> National office reviews information/data submitted regarding Quality Standards Success Plan and awards endorsement as appropriate 	
May	<ul style="list-style-type: none"> Receive final notification from the national office 		

Appendix B

PAT QEIP

Reviewer Confidentiality and Nondisclosure Statement

I understand that I have a legal and ethical duty to maintain and promote the confidentiality and privacy of family files submitted to PAT national office by PAT affiliates as part of the in-depth review component of the QEIP. By signing below I agree to the following:

1. I am responsible for protecting personally identifiable information in the family files submitted as part of the QEIP and for conducting myself in accordance with PAT national office's policies and procedures. This applies equally to physical files submitted, files submitted electronically via Dropbox, and when access is granted to the database system used by an affiliate.
2. I will not misuse or be careless with family files and will keep any physical files submitted in a locked file cabinet.
3. I will safeguard and not disclose my individual authorization to access confidential information (i.e. link to electronic files, account password).
4. I will not copy, release or alter any personally identifiable information.
5. I will discontinue access to the family file once I have completed my review. I will shred all physical copies of files upon completion of the review in the locked shredder designated for confidential material. If files have been submitted electronically via Dropbox, I will delete the email with the link to the uploaded files upon completion of my review and will send an email to the affiliate supervisor reminding him/her to delete the uploaded files. If I have been granted access to the database system used by an affiliate I will send an email to the affiliate supervisor reminding him/her to delete my account.

Name _____

Signature _____

Title _____

Date _____