QA/CQI Symposium: Making Continuous Quality Improvement a Reality

March 17, 2017

University of Cincinnati
Corrections Institute (UCCI)

Session Objectives

• Discuss the importance of treatment fidelity within a CQI process
• Review examples of fidelity measures through group, individual interventions, risk assessments and documentation
• Examine the role of providing effective feedback to staff during the coaching process
CQI in Other Industries

- Grocery stores or department stores use “secret shoppers”
  - How they are greeted, demeanor and helpfulness of staff, condition of the store, displays, etc.
- Overall scoring of customer service
- Provide direct feedback to the corporate office on the scores
- Recommend steps to improve operations

Section 1
Is CQI in Corrections Different?
First, What Do We Know?

- “What Works” Literature
  - Principles of Effective Interventions
  - Risk, Need, Responsivity
  - Growing evidence based on individual program evaluations and meta-analyses
- CPC/CPAI Research
  - We know that key organizational factors impact a program or agency’s ability to reduce recidivism

Principles of Effective Interventions

- **Risk**
  - **WHO**
    - Deliver more intense intervention to higher risk offenders

- **Need**
  - **WHAT**
    - Target criminogenic needs to reduce risk for recidivism

- **Responsivity**
  - **HOW**
    - Use CBT approaches
    - Match mode/style of service to offender

- **Fidelity**
  - **HOW WELL**
    - Deliver treatment services as designed
Major Set of Risk/Need Factors

- Antisocial Attitudes
- Antisocial Peers
- History of Antisocial Behavior
- Family
- Substance Abuse
- Prosocial Leisure Activities
- Education / Employment

Taking Stock of the Principles of Effective Interventions

- There are more than 40 published meta-analyses of the correctional treatment literature
- Results have been replicated with remarkable consistency
- Considerable support for the RNR framework across quantitative reviews of the literature

### RNR and Reductions in Recidivism: General Recidivism

![Bar chart showing change in recidivism rates for Risk, Need, and Responsivity.]

- **Risk:** Yes - 10, No - 3
- **Need:** Yes - 19, No - 1
- **Responsivity:** Yes - 23, No - 4


---

### Principles of Effective Intervention

- **Risk** *(Who)*
- **Need** *(What)*
- **Responsivity** *(How)*
- **Fidelity** *(How well)*

- “HOW WELL” programs incorporate risk, need and responsivity
- Measures how programs are implemented and overall adherence to their respective modality of treatment
- Can be measured and monitored during group facilitation, individual sessions and in case planning
The Fidelity Principle

• Effective programs utilize CQI to help ensure program fidelity which is linked to successful program outcomes

• Poor fidelity can lead to null effects or adverse effects

• Impacts on recidivism are correlated with the quality of implementation

• Fidelity cannot be assumed

• Fidelity can be measured and monitored


Section 2

Why is CQI Important?
Continuous Quality Improvement (CQI) – What Is It Again?

• A method of continuously examining processes and making them better

• Key principles:
  – Use of data and team approaches to improve decision making
  – Involvement of entire organization to improve quality
  – Continuous improvement of all processes and outcomes

QA Verses CQI

• Audit Process
  • Emphasis on monitoring and compliance
  • Necessary and helpful
  • Can create undesired effect on staff behaviors
  • Work towards gaining acceptable scores rather than mastering skills
  • Target = Individual performance
  • Focus on compliance

• Prospective Process
  • Emphasis on data driven decisions
  • Not blame-seeking
  • Involves trust, respect, and communication
  • Move toward staff responsibility for quality, problem solving and ownership of services
  • Target = System and Processes
  • Focus on attaining proficiency or mastery of important skill
CQI Focuses on Sources and Causes

- Identification of risk points and their contribution to the problem
- Identify changes in these processes that reduce risk of re-occurrence

Benefits of CQI

- Proof of effective services
  - Maintain or secure funding
  - Improve staff morale, confidence, and retention
  - Educate key stakeholders about services
- Highlights opportunities for improvement
- Data to inform quality improvement initiatives
- Monitor/ensure treatment fidelity
- Better public safety concerns
- Engaging in CQI helps organizations to achieve their mission
The Reality is

- Many programs are implementing evidence-based practices with little evidence of strong fidelity
- Correctional agencies have a responsibility to ensure effective services
- Responsibility for EBP needs to be aligned at all levels
  – administration, management, line staff

More Reality

- Achieving and sustaining quality doesn’t just magically happen
- It requires a deliberate effort on the part of all staff
Section 3

What Happens When We Don’t Measure Our Programs?

On Boarding

CQI Case Planning

The Odd Couple of Ethics and CQI

Trauma Informed Care in Corrections

Sex Offender Programs in Ohio’s Prisons

Dosage

Measuring and Improving Fidelity to Evidence-Based Practices

QA/CQI for Program Sustainability

My Head Hurts!!!!

Behavior Management System Development and Implementation

How I Became a Believer

Overcoming Hurdles in the Coaching Process

From the End of the Bench to Put Me In, Coach

Using Data to Transform Community Correction Interventions

Social Reinforcement to Probation/Parole

How to go from “As Is” To Desired/Perfect State

My Head Hurts!!!!

So what does this all mean for my agency?
Let’s talk how we can bring things together!
Program Integrity and Treatment Effects

- Change in Recidivism Rates

As Scores for Integrity Rise
Recidivism Rates Decrease

Program Integrity And Treatment Effect for Adult Non-Residential Programs

As Scores for Integrity Rise
Recidivism Rates Decrease

Program Percentage Score

Change in Recidivism Rates

Program Integrity And Treatment Effect for Juvenile Programs

As Scores for Integrity Rise
Recidivism Rates Decrease

Section 4

Committing Your Agency

Hard-hitting Agency Questions When Developing CQI Standards?

- What is your agency's central mission statement?
- How do you achieve that mission statement?
- What is the role of EBP and fidelity?
- How will a CQI process help you accomplish your mission?
- How do you make data driven decisions?
Other Considerations

• What is your current assessment of staff in providing evidence-based practices?

• What are the challenges in achieving staff proficiency?

• What changes could facilitate improvement in this supervision?

Core Concepts in Designing CQI Plans
Common Definitions

Outcomes
(An expected result in an individual's behavior, knowledge or skills or the change in practices or policies attained in an activity or program)

Indicators
(An observable and measurable behavior or finding used to understand information about complex systems)

Measures
(An instrument, device, or method that provides information on an outcome)

Target
(A desired level of a measure at a specified time in the future)

Benchmark
(a similar measure for a similar group against which progress can be gauged)

Baseline
(the performance level for a measured before the program begins)

Framework for assessing progress


It's A Lot For Just One Person

• Group Observations
• Individual Session Observations
• File Reviews
• Documentation Reviews
• Case Note Reviews
• Assessment Observations

• Coaching/Supervision Sessions
• Writing QA reports/making recommendations
• Checking Grievances/Complaints
• Satisfaction Surveys
• Reinforcing Tracking
• Sanction Tracking
• Training Observation
• Monthly Meeting Notes

These are just programming considerations!
Designing a CQI Plan

- Develop CQI committee/team
- Decide what to measure
- Division of CQI team roles and responsibilities
- Monitoring proficient staff
- Monitoring staff who are not proficient
- Change planning
- Long term CQI considerations

Designing a CQI Plan

- Formalize your plan for CQI
  - What to monitor
  - How to monitor
- Use objective data to inform decision making
- Develop reinforcements
- Develop change planning
- Consider regular group booster sessions to address agency deficiencies
- Consider sustainability (policies/procedures)
Section 5
What Can We Measure?

Where CQI Should Exist in Other Life Areas!
- At 15 or 16 you go to driver’s education and get your license = Driving with fidelity
- Add #SelfieTime to your ride = #UhOh
- Are you the master driver you once were?
### Common Areas to Monitor

<table>
<thead>
<tr>
<th>Risk Assessments</th>
<th>Group Observations</th>
<th>Individual Interventions</th>
<th>Quality Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instrument completion</td>
<td>Frequency of role plays</td>
<td>Targets criminogenic needs</td>
<td>Clinical implications</td>
</tr>
<tr>
<td>Case Management Plan</td>
<td>Follows curriculum structure</td>
<td>Core Correctional Practices</td>
<td>Operational implications</td>
</tr>
<tr>
<td>Assessment Interview</td>
<td>Behavior management components</td>
<td>Makes good use of time</td>
<td>Risk management</td>
</tr>
<tr>
<td>Inter-rater reliability</td>
<td></td>
<td>Addresses responsivity</td>
<td>Reflection of providers</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Offender Change and Other Indicators

<table>
<thead>
<tr>
<th>Offender Change</th>
<th>Client Satisfaction</th>
<th>Employee Satisfaction</th>
<th>System/Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Client Satisfaction Surveys</td>
<td>• Access to services</td>
<td>• Pay/benefits</td>
<td>• Incidents</td>
</tr>
<tr>
<td>• Dosage and Structured Time</td>
<td>• Involvement in treatment planning</td>
<td>• Adequate resources</td>
<td>• Complaints and grievances</td>
</tr>
<tr>
<td>• Treatment Progress</td>
<td>• Safety</td>
<td>• Communication</td>
<td>• Quality of external services</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Training Satisfaction</td>
<td>• Contracted services</td>
</tr>
</tbody>
</table>
Section 6

Supervising and Coaching

Transitioning from Quality Assurance to Quality Improvement

**Quality Assurance**
- Systemic process of checking to see whether a service is meeting specified requirements
- Emphasis on auditing for compliance with set standards

**Continuous Quality Improvement**
- Formal approach to the analysis of performance and efforts to improve it
- Emphasis on continuously improving processes to meet standards
- Supervision and coaching assists in attaining proficiency
Supervision – What Is It?

• Intervention provided by a proficient staff member
• Has the purposes of:
  – Enhancing professional functioning of the staff person
  – Monitoring the quality of professional services offered to participants

Process of Supervision

1. Direct observation of sessions
2. Structured feedback about adherence and competence
3. Coaching to improve implementation with proficiency
4. Continue evaluation with frequency until reach proficiency
Supervision Strategies

- Demonstration/modeling
- Role-playing
- Corrective feedback and coaching
- Reinforcement

Organizational Requirements for Effective Supervision

- Supervisors trained and competent in evidence-based practices
- Supervisors trained on how to supervise and coach staff
- Infrastructure that allows for (and requires) supervision
  - Supervisors given time to supervise
  - Supervisors held accountable for supervision
Feedback and Coaching

Without Observation

- No chance to reinforce good work
- No correcting mistakes or inconsistencies
- No provision for gaps in skill
- No assurance of fidelity with model
- Participant problem behaviors increase
Coaching Video Clip 1: Kelly Provides Reinforcement to Jaime

CCP Coaching Session
Jaime

Coaching Video Clip 2: Kelly Provides Constructive Feedback to Jaime
**Benefits of Peer Coaching**

- Peer coaching can be as effective as traditional supervision
- Encourages camaraderie and working relations
- Positively related to desired behavior change
- Some evidence that it improves retention


---

**Overcoming Resistance**

- Administration must **walk the walk**
- Ensure early successes to increase buy-in
- Recognition of staff for using the process
- Openly acknowledge the extra work required
- Demonstrate front-end planning to minimize workload issues
Potential Strategies

- Start small
  - For example, desk top review of assessments versus observation-based ratings
- Use technology to increase efficiencies
  - For example, videotape interactions for observation-based ratings
- Take the time to build expertise
  - Train on evaluation methodology
  - Insure understanding of purpose (e.g., QI versus punishment)

We Can’t Forget Our Successes!

- If results are not measured, successes cannot be distinguished from failures
- If successes cannot be distinguished, they cannot be replicated
- If failures cannot be identified, they cannot be corrected
- If results cannot be demonstrated, support cannot be secured
Competent Staff → Better Quality Implementation → Re-Offending

Less Competent Staff → Poorer Quality Implementation → Re-Offending

We can decrease re-offending behavior or We can make them worse!

Thank you for your participation in this course!

Produced by the University of Cincinnati Corrections Institute
Contact us

Eric Willoughby
Jr. Research Associate
Eric.Willoughby@uc.edu
513-556-0989