

**MACCAC Evidenced Based Practices
Continuous Quality Improvement Plan
Approved Phases One through Four**

Last Revised April 25, 2013



Introduction

The evolution of Evidence-Based Practices (EBP) in the field of corrections has significantly changed the methods by which we provide services to clients. Agencies are well on their way developing competencies in core EBP skill areas and, subsequently, are better equipped to promote positive changes in their client populations. The application of the following five skill sets are supportive of the eight principles of EBP and essential for successful implementation: Motivational Interviewing, Effective Alliance, Risk Assessment, Case Planning, and Cognitive Behavior Programming and Coaching. However, simply launching these initiatives is not enough. Agencies must invest in sufficient staff training, reinforce methods of continuous improvement, and measure outcomes in order to assure quality services and programming. Research shows that when delivered with fidelity, Evidence-Based Practices will enhance public safety through sustained reductions in recidivism.

The Minnesota Association Community Corrections Act Counties (MACCAC) EBP Quality Improvement Work Group was established to assemble known elements of quality assurance into a format designed to promote agency alignment on a state-wide basis. What follows is a macro-level description of significant elements of a QA plan as it concerns overall outcomes and internal processes. Findings suggest that the following overarching standards must be in place to adequately initiate and support an EBP culture within an organization:

- The organization maintains a comprehensive staff development program. Staff and supervisors receive initial training and annual booster sessions on key service components from qualified instructors.
- The organization exposes staff to continuous opportunities to learn and practice through peer review, coaching, supervisor observations, booster sessions, skills training, etc.
- The organization routinely evaluates staff practices. Administrators and supervisors consistently monitor services and procedural compliance on an agency level. A systematic approach to case auditing and individual employee performance expectations are EBP-specific.

The Continuous Quality Improvement (CQI) document is divided into four phases. Within each phase, there are five Evidenced-Based Practices listed that include: (a) effective alliance; (b) motivational interviewing; (c) risk assessments; (d) case plans; and (e) cognitive behavior.

Phase One is designed to measure and prepare your agency for implementing Evidenced-Based Practices. Each MACCAC agency is expected to report all of the objectives listed in Phase One within their comprehensive plan. This ensures that agencies have set a strong foundation in which their efforts in EBP can be successful.

In Phase Two, the outcomes are designed to measure adequate training among staff in the five EBP skill sets and ensure the agency has put a process in place for measuring staff's use of the skills. Suggested QA expectations are also provided to help guide counties on best processes for training and implementing EBP practices with QA and CQI in mind.

Phase Three is designed to have each agency measure staff's quality in delivering EBP skills with fidelity. Requirements for measuring fidelity are also provided to ensure consistency across all MACCAC counties when measuring for competency in the five core EBP skill areas. In Phase Four, the agency is expected to conduct a retrospective look at its outcomes and Quality Improvement processes to see if adjustments need to be made.

In Phases Two, and Three, each EBP skill set is broken out by objectives, data baseline, target, and outcome. The objectives are defined as core operating principles for implementing EBP with fidelity. The agency sets the data benchmark based on their current status with regard to implementation of an EBP principle, while the target is where they hope to be after training efforts and working with staff in the delivery of EBP. The agency outcomes are defined as how the organization did in comparison to the target. With flexibility in target and outcomes, this allows each agency to set the pace and expectations based on resources available to support implementing EBP.

After reporting on Phase One within the comprehensive plan, each MACCAC agency will be expected to report in future plans the target outcomes starting with Phase Two and progressing to Phases Three based on competency and meeting target objectives. Within each phase and EBP principle, agencies are expected to report on all outcomes listed as mandatory. However, agencies have the choice to report on optional outcomes or other outcomes listed in additional phases based on organizational competency achievement of an EBP skill set.

Many agencies have a strong interest to implement Evidence-Based Practices with fidelity but lack the resources to internally measure, collect data, and support fidelity in the manner suggested in this CQI plan. Evaluating staff practices has mainly been a supervisory responsibility in our field. The quality improvement measures proposed in this plan are suggested to provide a road map for agencies to move forward, and yet the writers acknowledge there are many limitations regarding each individual agency's ability to evaluate staff practices in a manner that is evidence-based.

Agency Preparedness Vision:

Phase One-Agency Preparedness Vision: MACCAC agencies are prepared to foster EBP with quality assurance as a priority.

<i>Objectives</i>	<i>Narrative Update</i>
Assess the agency's mission/vision and operating principles/policies for alignment with EBP practices	
Conduct an organizational assessment and evaluate the culture/structure support for implementation of EBP	
Develop an EBP plan to guide implementation strategies and progress	
Ensure staff's participation in EBP through communication strategies and/or involvement in a task force	
Develop a plan that outlines methodology for tracking outcomes	
Define actual outcomes to establish a baseline and to establish a process to measure outcomes annually	
Ensure hiring strategies and performance expectations are aligned with EBP	

PHASE TWO - EBP Implementation with Quality Improvement Measures

Effective Alliance

Phase Two-Effective Alliance Vision: All agents are proficient in professional, effective alliance techniques.

<i>Objectives</i>	<i>Agency Determined Data/Benchmarks/Baseline</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Define agent/client relationship including boundaries</p> <p>Establish importance and strategies for implementation of effective alliance</p> <p>Train agents on the 14 effective alliance traits</p> <p>Implement an offender survey tool</p> <p>Ensure supervisory assessment/audit plan includes assessed effective alliance traits</p>	<p>(Example)</p> <p>See Example Attachment X</p>	<p>Mandatory:</p> <p>XXX% of targeted service delivery staff are trained in effective alliance</p> <p>XXX% of targeted service delivery staff have been observed to assess effective alliance skills</p> <p>Optional:</p> <p>Effective alliance client surveys were completed on XXX % of service delivery staff</p>	<p>Mandatory: (Example)</p> <p>See Example Attachment X</p> <p>Optional:</p> <p>See Example Attachment X</p>

PHASE TWO - EBP Implementation with Quality Improvement Measures

Motivational Interviewing

Phase Two-Motivational Interviewing Vision: All designated probation & corrections officers effectively engage the client in targeting those behaviors and criminogenic needs that impact recidivism.

<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>	<i>Suggested QA Expectations</i>
<p>Establish standards for MI as adopted at the agency level</p> <p>Provide training for all staff on MI One and MI Two by certified trainers</p> <p>Establish supervisory expectations for coaching and for evaluating staff</p> <p>Continue applied skill practice and feedback in order to retain MI skills</p>	TBD	<p>Mandatory:</p> <p>XXX% of targeted service delivery staff and management receive MI One and MI Two or equivalent training by a certified trainer (<i>Current standard is 16 hours each for MI One and Two</i>)</p> <p>XXX% of targeted service delivery staff are assessed by an evaluation method including observation</p>	TBD	<p>Management agrees to promote all phases of MI skill set development</p> <p>MI One and MI Two or equivalent training plan is adopted for all service delivery staff and a plan is in place for MI Three or booster sessions to occur within a six month timeframe.</p> <p>Supervisors understand their role and actively engage staff in MI development</p> <p>Department training plan dedicates strategies/resources to support training, coaching and evaluation of MI</p>
		<p>Optional:</p> <p>XXX% of non-service delivery staff including support and supervisors receive MI training by a certified trainer and curriculum</p>		

PHASE TWO - EBP Implementation with Quality Improvement Measures Risk Assessment

Phase Two-Risk Assessment Vision: All targeted clients' criminogenic risk & needs factors are properly assessed.

<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>	<i>Suggested QA Expectations</i>
<p>Establish standards for risk assessment as adopted at the agency level</p> <p>Implement an initial criminogenic risk/needs assessment on targeted cases</p> <p>A pre-screening tool is utilized on clients who otherwise would not receive an initial risk/needs assessment</p> <p>Persons yielding a high score are referred for a full assessment</p> <p>Appropriate trailer assessments are completed on clients</p>	TBD	<p>Mandatory:</p> <p>XXX % of the targeted population with an initial risk/needs assessment completed within XX days of client availability</p> <p>XXX% of targeted population with a pre-screen completed within 30 days of referral</p> <p>XXX% of targeted service delivery staff are evaluated by a inter rater reliability method in their scoring of risk/ need assessment tools</p>	TBD	<p>Within 30 days after initiating this phase:</p> <ul style="list-style-type: none"> Standards should be set relative to target populations. First priority should be devoted to highest severity cases The choice of a validated prescreening tool should be decided upon and integrated into the client intake process. Agency cutoff scores are established to separate levels of supervision <p>Agency establishes assessment and reassessment policies</p>

<p>involving sex crimes and/or domestic violence</p> <p>A re-assessment of criminogenic risk/needs is completed on all cases where supervision level needs to be re-determined according to agency population.</p> <p>Risk/needs scores drive level of supervision</p> <p>Professional override decisions are limited to exceptional situations</p>		<p>Optional:</p> <p>XXX% of clients assigned and supervised according to the appropriate level of supervision based on agency policy</p>	<p>Within 90 days after initiating this phase:</p> <ul style="list-style-type: none"> • Initial assessments are being routinely completed on high prescreens. • The use of appropriate trailer assessments has been implemented • All initial risk/needs assessments are posted immediately upon completion of cases involving a PSI/PDR • A system is implemented to track completion of initial assessments and reassessments • Baseline testing for purposes of enhancing inter rater reliability has been accomplished
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PHASE TWO - EBP Implementation with Quality Improvement Measures Case Plans

Phase Two-Case Plan Vision: All targeted clients' dynamic criminogenic risk factors are addressed.

<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>	<i>Suggested QA Expectations</i>
<p>Complete agent skill training</p> <p>Identify a target population requiring a case plan</p> <p>Establish standards for a criminogenic based case plans as adopted at the agency level</p>	TBD	<p>Mandatory:</p> <p>XXX% of targeted service delivery staff that complete case plan training</p> <p>XXX% of completed case plans on target population</p> <p>XXX% of targeted service delivery staff's case plans audited annually for quality assurance</p> <p>XXX% of targeted service delivery staff receiving annual effective case management booster sessions</p>	TBD	<p>Case Plan training as approved by CSAC</p> <p>Case plans on targeted populations should be initiated within 30 days after assessment</p> <p>Agency selects a case plan reflective of SMART goals, based on criminogenic risk factors, and geared towards negotiated change</p> <p>The choice of an audit tool should be established that includes peer review, and supervisor observation (see examples in exhibit attachments)</p>

		Optional: XXX% of case plans targeting criminogenic needs		Audit function focuses on inclusion of Effective Alliance, Cog interventions, risk assessment and MI
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PHASE TWO - EBP Implementation with Quality Improvement Measures Cognitive Behavior and Coaching

Phase Two-Cognitive Behavior and Coaching: All targeted clients are taught new skills so they can effectively manage their thoughts and behaviors and avoid recidivism.

<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>	<i>Suggested QA Expectations</i>
<p>Establish standards for cognitive behavior interventions as adopted at the agency level</p> <p>Select research based cognitive behavior curriculum(s) based on target population</p> <p>Train cognitive behavior facilitators by a master certified trainer</p> <p>Implement a screening process to ensure clients are properly targeted for cognitive behavior interventions</p> <p>Utilize a pre-and post-test/survey to evaluate</p>	TBD	<p>Mandatory:</p> <p>XXX% of targeted service delivery staff that have been trained in a recognized one on one cognitive behavior skill strategies for working with clients on an individual basis</p> <p>XXX% of staff facilitating cognitive behavior groups are trained by a master trainer certified in a curriculum</p> <p>XXX% of staff facilitating cognitive behavior groups where their delivery of the curriculum was assessed for quality by either an offender survey or observation tool</p>	TBD	<p>Agency uses recognized individual cognitive skill building processes</p> <p>Agency needs are established for cognitive interventions</p> <p>Agency establishes screening process for review of appropriateness of cognitive behavior programming</p> <p>Certified trainers observing and rating others are trained in an observation tool</p> <p>Cognitive facilitators are trained in effective alliance and Motivational Interviewing</p> <p>Cognitive facilitators have been trained in group therapeutic programming</p>

<p>client's learned competences based on the group curriculum</p> <p>Train staff in using cognitive behavior skills exercises in individual meetings with clients that contain explaining/describing, feedback, modeling, skill practice, feedback and homework</p> <p>Assess staff in their use of cognitive behavior skill exercises during individual meetings with clients</p>		<p>XXX% of high risk cases where an offender survey, case audit tool, or observation tool was used to gauge staff's delivery of individual cognitive behavior skill exercises with offenders</p>		<p>Staff members are observed at least twice a year after initially being trained and providing cognitive interventions to offenders</p>
		<p>Optional:</p> <p>XXX% of clients are screened by defined guidelines for a cognitive behavior group</p> <p>XXX% of high risk clients whose survey response indicate participation in a cognitive behavior skill exercise</p>		<p>Agency establishes methodology for measuring integration of cognitive skills within individual meetings</p>

PHASE THREE - EBP Implementation with Fidelity Motivational Interviewing

Phase Three-Motivational Interviewing Vision: All designated probation & corrections officers effectively engage the clients in targeting those behaviors and criminogenic needs that impact recidivism.				
<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>	<i>Fidelity Requirements</i>
<p>Provide ongoing training for new staff on all phases of MI by certified trainers</p> <p>Supervisors receive adequate training to effectively audit MI skill set</p> <p>Continued role modeling and skill practice by targeted staff and management in order to retain MI skills</p> <p>Increased competency in all trained staff's use of MI</p>	<p>TBD</p>	<p>Mandatory:</p> <p>XXX% of targeted service delivery staff and management attend annual MI booster sessions (booster sessions begin within 6 months of training)</p> <p>XXX% of targeted service delivery staff and management are assessed as competent based on evaluation method including observation</p>	<p>TBD</p>	<p>Established standards of practice, roles and policy</p> <p>On-going skill development includes:</p> <ul style="list-style-type: none"> • Role modeling and skill practice • Case reviews • Exit interviews • Case plan audits • Feedback tapes

PHASE THREE - EBP Implementation with Fidelity Risk Assessment

Phase Three-Risk Assessment Vision: All targeted clients' criminogenic risk & needs factors are properly assessed.				
<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>	<i>Fidelity Requirement/Methods</i>
<p>Accurate risk/needs assessments scores accurately drive level of supervision</p> <p>Increased scoring proficiency on risk//needs tools</p> <p>Clients yielding a high score on a pre-screen are referred for a full assessment</p> <p>Professional override decisions are limited to exceptional situations</p> <p>A re-assessment of criminogenic risk/needs is completed on clients with an active case plan</p>	TBD	<p>Mandatory:</p> <p>XXX% of trailer assessments completed within XX days of client availability</p> <p>XXX% of clients that scored high on a pre-screen were referred for a full assessment</p> <p>XXX% of targeted service delivery staff demonstrate scoring proficiency based on inter-rater reliability as defined by the tool</p> <p>XXX% of client target population with a re-assessment completed at least annually</p>	TBD	<p>Within 60 days after initiating this phase:</p> <ul style="list-style-type: none"> Procedures to enhance and further evaluate inter-rater reliability are established on a re-occurring basis, and adherence tracking measures are established <p>Fidelity is achieved by:</p> <ul style="list-style-type: none"> Performing risk/needs assessments on client target population, completing them at correct intervals, and scoring is proficient (as measured by inter-rater- reliability)

		<p>Optional:</p> <p>XXX% of overrides (target should be no more than 10%)</p>	<p>Upon conclusion of this phase:</p> <ul style="list-style-type: none">• Staff provided booster training• Competency methods include comparative scoring against a valid assessment
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PHASE THREE - EBP Implementation with Fidelity Case Plan

Phase Three-Case Plan Vision: All targeted clients' dynamic criminogenic risk factors are reduced.

<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>	<i>Fidelity Requirements</i>
<p>Properly execute case plans that include SMART goals</p> <p>Ongoing boosters and a menu of resources for staff that support ongoing skill development</p> <p>Observation provides feedback on skill progressions/agency assessment</p> <p>Increased feedback to staff from supervisors on effective relationship with clients on establishing agreed upon offender goals based on criminogenic factors</p> <p>All case plans address responsivity, triggers, client</p>	<p>TBD</p>	<p>Mandatory:</p> <p>XXX% of case plans completed on target population</p> <p>XXX% of the case plans meeting fidelity that include: responsivity, triggers, client strengths, criminogenic factors, and consideration in structuring the offender's time based on level of risk</p> <p>XXX% of targeted service delivery staff receiving annual case planning booster sessions</p>	<p>TBD</p>	<p>Comprehensive training on case plan competency</p> <p>Reliance on a criminogenic case plan that reflects risk/need areas</p> <p>Case plans negotiated with client participation</p> <p>Clearly mapped strategies and goals for change</p> <p>Goals are a main contact focus</p> <p>Case plan reflective of programs and resources related to client responsivity factors</p>

<p>strengths, criminogenic factors, and consideration in structuring the client's time based on level of risk</p>		<p>Optional:</p> <p>XXX% of average risk reduction based on initial and final re-assessment on closed cases</p> <p>XXX% of targeted service delivery staff have been observed at least annually in their negotiation of case plans and goals with clients</p>		<p>PSI recommendations initiate effective case plans by addressing risk reduction and responsivity</p>
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PHASE THREE - EBP Implementation with Fidelity Cognitive Behavior and Coaching

Phase Three-Cognitive Behavior and Coaching: All targeted clients are taught new skills so they can effectively manage their thoughts and behaviors and avoid recidivism.				
<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>	<i>Fidelity Requirements</i>
<p>Staff facilitating cognitive behavior groups are engaging clients and delivering the curriculum with fidelity</p> <p>Staff members are assessed as using cognitive behavior skill exercises with fidelity during individual meetings with clients</p> <p>Establish yearly continuous quality improvement methods for trained facilitators</p>	TBD	<p>Mandatory: XXX% of the staff facilitating cognitive behavior groups are observed adhering to the curriculum and engaging clients</p> <p>XXX% of targeted service delivery staff in individual meetings are explaining, modeling, practicing, providing feedback and assigning homework for enhancing client skills</p> <hr/> <p>Optional: XXX% of eligible clients that were screened and appropriate for cognitive behavior groups were referred and completed</p>	TBD	<p>Staff providing cognitive behavior interventions are evaluated</p> <p>Staff providing cognitive behavior interventions are assessed to adherence to the curriculum or cognitive intervention principles</p> <p>Staff providing cognitive behavior interventions are assessed in their facilitation style and skills via observation or a survey tool</p> <p>Staff incorporates agency cognitive group skills in individual sessions with clients</p>

PHASE FOUR - EBP Implementation Evaluation

Phase Four-To review agency's process outcomes for fidelity in effective alliance, risk assessment, MI, case plans, and delivery of cognitive skills techniques.		
<i>Objectives</i>	<i>Evaluation Leading to Implementation Changes</i>	<i>Narrative</i>
Reviewed agency's auditing/assessment process for EBP fidelity	What direct evaluation practices were implemented to enhance the measuring of EBP fidelity within the organization?	
Enhanced increased data management capabilities to effectively and reliably measure EBP outcomes	What data management practices were modified or created to efficiently and reliably measure EBP outcomes?	
Reviewed identified areas where agency did not meet targeted QA outcome(s) as defined in Phase One through Phase Three	What strategies did your agency implement to addresses gaps in meeting targeted outcomes as defined in Phase One through Phase Three?	
Increased targets as agency progresses in delivering EBP principles with fidelity	What targets were increased from previous year's measures as defined in Phase One through Three?	
Reviewed EBP training delivery model for efficacy in skill development	What strategies did you implement to enhance the quality of EBP training for staff? Administrative Staff?	

Evaluated client feedback for potential change in practices or/policies	Based on offender feedback, what EBP practices/policies were modified to enhance offender's engagement in the delivery of EBP principles?	
Assessed current EBP practices for new innovations and technologies	What additional EBP principles/practices did you newly implement, or change based on research/best practices?	
Added additional EBP principles measured for Quality Assurance and Continuous Quality Improvement	What additional defined targets and outcomes were created for measuring added EBP principles?	
Develop an action plan to collaborate and/or evaluate client vendor services in their alignment of EBP principles and practices	What modifications were made to vender services based on EBP principles?	
Develop an action plan to increase criminal justice stakeholder understanding and buy-in for EBP principles and practices	What modifications were made to the criminal justice system policy and practices based on EBP principles?	
Develop an assessment plan to evaluate the hiring practices and ensure hired staff are competent in EBP skills	Based on assessment of staff hired, what modifications were made to hiring and evaluation practices?	