**Planning & Implementation Guide**

Second Chance Act

Innovations in Supervision Initiative: Building Capacity to Create Safer Communities

**DESCRIPTION**

This Planning & Implementation Guide is intended for state, local, or tribal jurisdictions that have received an FY2018 Second Chance Act (SCA) grant for the Innovations in Supervision Initiative: Reducing Prison Populations, Saving Money, and Creating Building Capacity to Create Safer Communities (ISI) grant track. Grantees will complete this Planning & Implementation Guide in partnership with the technical assistance provider assigned by the National Reentry Resource Center. The U.S. Department of Justice’s Bureau of Justice Assistance will review the guide upon its completion. Any questions about this guide should be directed to your technical assistance provider. The National Reentry Resource Center prepared this guide with support from the U.S. Department of Justice’s Bureau of Justice Assistance (BJA). The contents of this document do not necessarily reflect the official position or policies of the U.S. Department of Justice.

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**About the Planning & Implementation Guide**

The National Reentry Resource Center (NRRC) has prepared this Planning & Implementation Guide (P&I Guide) to support grantees in the implementation of proposed initiatives and to help you track progress and make adjustments to maximize positive outcomes. The guide is not intended to serve as a step-by-step blueprint, but rather to cultivate discussion on best practices, identify considerations for your collaborative effort, and help you work through key decisions and implementation challenges.

This guide is a tool for grantees and also serves as an important tool for your NRRC technical assistance provider (“TA provider”) to understand the status and progress of your project, the types of challenges you are encountering, and the ways your TA provider might be helpful to you in making your project successful. You and your TA provider will use your responses to the self-assessment portions to collaboratively develop priorities for technical assistance.

Any questions about this guide should be directed to your TA provider.

**Contents of the Guide**

The P&I guide is divided into six sections. The questions and exercises in each section are designed to help you meet the requirements of the grant. You will be prompted to write short responses, attach relevant documents, and complete exercises, and your answers will provide insight into your program’s strengths and identify areas for improvement. Your TA provider may send you additional information on specific topics to complement certain sections. Please reach out to your TA provider with any questions you have, or if additional information or resources are needed.

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| **TA Provider Contact Information** | |
| **Name:** |  |
| **Phone:** |  |
| **Email:** |  |

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| ***Final Draft to your NRRC TA Provider, June 7, 2019*** |

**SECTION 1: IDENTIFYING IMPLEMENTATION GOALS   
*Due to your NRRC TA provider January 25th, 2019.***   
Although your TA provider has read the project narrative that you submitted in response to the SCA solicitation, there may have been updates or developments since your original application was submitted. This exercise is intended to give your TA provider a sense of your current project goals and your initial technical assistance needs. Convene team members, including key stakeholders and partners, to confirm your goals and target population and to identify any revisions to your project plan since the proposal was submitted.

If any programmatic, administrative, or financial changes have been made since you submitted your grant proposal, you are required to submit a Grant Adjustment Notice (GAN) through the GAN module in the Grants Management System (GMS). Please note that GANs are subject to approval by BJA.

**EXERCISE 1: GRANTEE SNAPSHOT**

1. Grantee Name

Click or tap here to enter text.

1. Award Number

Click or tap here to enter text.

1. Point(s) of Contact (POC)

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Name** | **Email** | **Title, Organization** |
| *Project POC* | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| *Financial POC* | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| *Researcher* | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |

1. Project Name

Click or tap here to enter text.

1. Grantee Type*(Choose one.)*

Court

Tribal

City

County

State

1. Geographic Location (*Please specify the city, county, or state where your program operations are primarily occurring.)*

Click or tap here to enter text.

1. Initiative Description *(Please briefly describe your initiative [in 300 words or fewer], including your intended long-term goals and the steps you will take to accomplish those goals.)*

Click or tap here to enter text.

1. Do you envision any changes occurring to the initiative and/or its goals as they were outlined in your grant proposal? *(E.g., changes in evidence-based practices, screening and assessment tools, program partners, staffing, budget allotments, etc.)*

Yes *(What are they?):*  Click or tap here to enter text.

No

**Target Population Basics**

1. Description & Size of Target Population*(e.g., 40 supervision staff, 100 high-risk women on probation)*

Click or tap here to enter text.

1. Exclusionary Criteria *(e.g., serious mental illness, sex offense)*

Click or tap here to enter text.

1. Are participants supervised on… *(Participant refers to target population or participants supervised by target population; select all that apply.):*

Probation

Probation following incarceration

Parole

Other *(Please specify):* Click or tap here to enter text.

1. Jurisdiction Type *(Select all that apply.)*:

Rural

Suburban

Urban

Other *(Please specify):* Click or tap here to enter text.

1. Please provide the following documents to your TA provider by June 7, 2019 (unless otherwise indicated):

Copy of signed BJA award document, with any grantee-specific conditions – due January 25, 2019

Memoranda of understanding (MOUs) and information-sharing agreements related to the proposed grant activities (Required)

Sanctions and Incentives Matrix (Required)

Program flow chart visualizing participant screening, assessment and treatment/referral processes (Required)

Grantee agency organizational chart (Optional)

Current grantee agency strategic plan (Optional)

Gap/needs/capacity analysis (Optional)

**GRANTEE ACTION PLAN**  
  
Please list any next steps needed to accomplish goals.

Click or tap here to enter text.

**SECTION 2: ESTABLISHING A LEADERSHIP STRUCTURE AND PROJECT ROLES  
*Due to your NRRC TA provider February 22nd, 2019.***

The establishment of an effective leadership structure is not only a mandatory requirement for all ISI grantees, but an essential strategy for improving supervision outcomes. Effective planning and implementation of supervision and other services require coordination across multiple agencies, state and local justice systems, and service providers; a leadership structure can help unite all system stakeholders around what works to improve supervision and other outcomes and can increase public safety while promoting coordination across systems for data sharing, assessment, case planning, and service delivery. Finally, an effective leadership structure ensures that agency leaders work together to advance and support jurisdiction-wide supervision policy and practice changes. When describing your leadership structure and inventory of partners in the chart below, consider ways to increase collaboration among the agencies and officials who work in probation, parole, pretrial, law enforcement, treatment, reentry, and related community corrections fields.

**EXERCISE 2, PART 1: INVENTORY OF PROJECT TEAM**

Take an inventory of the people involved in this project and their respective agencies, including people in your own agency, evaluation partners, training providers, and service providers. Complete the table by providing details about each person. If a partner for a specific training or service has yet to be identified, please provide general information and note “TBD” (e.g., service provider for Moral Reconation Therapy, TBD).

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Name** | **Title/Organization** | **Role on Project Team** | **Contact Information** | **Will the organization provide direct services?**  Yes No | | **What, if any, direct services will they be providing?** |
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1. How often will you have partner meetings?

Click or tap here to enter text.

**EXERCISE 2, PART 2: COLLABORATIVE LEADERSHIP**The following exercise evaluates stakeholder support and preparedness for grant project activities.

**Internal Collaboration and Communication**

1. Apart from this ISI grant, have any evidence-based or recidivism-reduction programs been implemented *within* your agency in the last three years? Alternatively, was your agency a *part* of any evidence-based or recidivism reduction programs in the last three years?

Yes *(What are they?):* Click or tap here to enter text.

No

1. How does leadership within your agency communicate to staff the importance of effectively implementing evidence-based practices?

Click or tap here to enter text.

**External Collaboration and Communication**

1. Which elected political leaders and appointed senior officials from relevant public agencies and departments do you plan to engage in task force, working group, or stakeholder meetings?

Click or tap here to enter text.

1. Are there any other local- or state-level task forces, councils, or advisory committees that may have similar activities or goals as this grant?

Yes *(How will you communicate and coordinate with these entities?):* Click or tap here to enter text.

No

1. What strategies will you use to keep system leaders, champions, and community stakeholders informed about the progress of the grant?

Click or tap here to enter text.

1. What information about the program do you plan to share with system leaders, champions, and community stakeholders?

Click or tap here to enter text.

1. How often will you hold stakeholder meetings?

Every two weeks

Monthly

Every two months

Quarterly

Other *(Please describe):* Click or tap here to enter text.

**SECTION 3: DEFINING YOUR TARGET POPULATION AND USING A RISK AND NEEDS ASSESSMENT  
*Due to your NRRC TA provider March 29th, 2019.***

The target population for your initiative should be based on documented groups of people who significantly contribute to recidivism rates and are at high risk of committing violence. The target population must be narrow enough to allow for focused planning, but also significant enough that reducing recidivism among that population can have an impact on the overall recidivism rate in your jurisdiction or community. BJA requires grantees to follow the risk principle when selecting a target population. The risk principle states that the greatest reductions in recidivism will be achieved by focusing programming and resources on people who are assessed as having a higher risk of recidivism. The needs principle, also addressed in the assessment, states that the type of intervention a person receives matters a great deal; when the programming or services targets criminogenic needs—the dynamic risk factors that affect a person’s risk for recidivism—the likelihood of recidivism goes down. Validated screening and assessment tools are utilized to identify the target population. This section allows you to describe in detail the services available for your initiative’s target population. Additionally, this section asks you to identify what risk and needs assessment tool your team is currently using and what related trainings your staff receive.

**EXERCISE 3, PART 1: DEFINING YOUR TARGET POPULATION**

Are you providing staff training as part of this grant initiative? *(If you answer no, skip to question 7.)*

Yes

No

1. How many staff will receive grant-funded training?

Click or tap here to enter text.

1. Is staff participation voluntary?

Yes

No

1. What are your selection criteria for staff that will be trained as part of this grant project?

Click or tap here to enter text.

1. Will staff incentives be offered to encourage participation in grant-funded training?

Yes *(What are those staff incentives?):* Click or tap here to enter text.

No

1. How will staff performance evaluations reflect the new skills gleaned through grant-funded training?

Click or tap here to enter text.

1. Are you providing direct services as part of this grant initiative? *(If you answer no, skip to Exercise 3, Part 2.)*

Yes

No

1. Please provide a description of your target population. *(Select all that apply.)*

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | Age | | | | Risk Level | | | Sex/Gender | | Other *(Please describe.)* |
| 18-24 | 25-44 | 45-64 | 65+ | Low | Moderate | High | Male | Female |  |
| Target Population |  |  |  |  |  |  |  |  |  | Click or tap here to enter text. |

1. What is the racial/ethnic composition of your target population, in numerical percentages?

% White: Click or tap here to enter text.

% Black or African American: Click or tap here to enter text.

% American Indian or Alaska Native: Click or tap here to enter text.

% Asian: Click or tap here to enter text.

% Native Hawaiian/Other Pacific Islander: Click or tap here to enter text.

% Hispanic or Latino: Click or tap here to enter text.

% Other: Click or tap here to enter text.

1. What strategies will you use to engage participants from various cultural or racial/ethnic backgrounds?

Click or tap here to enter text.

1. How many people do you plan to serve per year and in total throughout the course of this grant? *(Please answer in numerals.)*

Per year: Click or tap here to enter text.

In total: Click or tap here to enter text.

1. Is participation voluntary?

Yes

No

1. Will participants be referred or recruited into the program for these services?

**Referred** *What methods will you use to identify and refer participants? Please indicate which staff or partners will be involved in referral, as well as when and where this process will occur. (E.g., a service provider refers potential participants to probation/parole staff 30 days prior to release. Probation/parole staff and service providers then meet with potential participants to discuss the services that are provided):* Click or tap here to enter text.

**Recruited** *What methods will you use to identify and recruit participants? Please indicate which staff or partners will be involved in recruitment, as well as when and where this process will occur. (E.g., parole/probation staff recruit potential participants 30 days prior to release by inviting them to a meeting where community-based professionals discuss the services they provide):* Click or tap here to enter text.

1. Is there a process for alerting the community supervision officer when a person under their supervision has been booked into jail?

Yes

No

1. Does the supervision officer connect with the person prior to release from jail?

Yes *(Please elaborate):* Click or tap here to enter text.

No

**EXERCISE 3, PART 2: RISK AND NEEDS ASSESSMENT**

A validated screening and assessment tool should be used to identify the target population. This section asks you to identify what tool is currently being used by your team. The exercise further allows you to identify where there are assessment gaps in your system in order to plan for the implementation of assessments. For those currently in the process of selecting and implementing a tool, please provide an anticipated training and start date for these activities.

1. What is the name of the *validated* criminogenic risk and needs assessment is currently utilized or will be for this initiative?

Correctional Assessment and Intervention System (CAIS)

Wisconsin Risk and Needs (WRN) instruments

Correctional Offender Management Profile for Alternative Sanctions (COMPAS)

Level of Service Instruments (LSI, LSI-R, LS/CMI, LSI-R:SV, LS-RNR)

Offender Screening Tool (OST)

Ohio Risk Assessment System (ORAS)

Other *(Please specify.):*  Click or tap here to enter text.

1. Does the risk and needs assessment you will be using for this initiative consider prior incidence of violence/assault when calculating scores for criminal history or behavior?

Yes *(Please explain.):* Click or tap here to enter text.

No *(Why not?):* Click or tap here to enter text.

1. Is this assessment currently in use or will it be implemented as part of the grant project? Has it been validated, or are there plans to validate it?

Currently in use, validated on target population *(When did this validation take place?):* Click or tap here to enter text.

Currently in use, not validated on target population *(Why not?):* Click or tap here to enter text.

Will be implemented in the future, no plans to validate it *(Why not?):* Click or tap here to enter text.

Will be implemented in the future, there are plans to validate it *(Please describe these plans.):* Click or tap here to enter text.

1. What staff have received or will receive training on the administration and scoring of the risk and needs assessment?

Click or tap here to enter text.

1. Will such staff training be implemented as part of this grant?

Yes

No

1. How do you currently incorporate the results of the risk and needs assessment into a participant’s case plan? If you do not yet use a validated risk and needs assessment, how will assessment results be incorporated into a participant’s case plan?

Click or tap here to enter text.

1. Will participants be periodically reassessed?

Yes *(When and by whom?):* Click or tap here to enter text.

No

1. How is the assessment information currently recorded, stored, and retrieved? If you do not yet use a risk and needs assessment, how will it be recorded, stored, and retrieved?

Electronically

Paper files

Electronic health record

Other *(Please specify.):* Click or tap here to enter text.

1. Which partners will have access to the results? Will they receive this information automatically or is it available upon request?

Yes, automatically *(Which partners?):* Click or tap here to enter text.

Yes, upon request *(Which partners?):* Click or tap here to enter text.

No access *(Which partners?):* Click or tap here to enter text.

**GRANTEE ACTION PLAN**  
  
Please list any next steps needed to accomplish goals.

Click or tap here to enter text.

**SECTION 4: DATA COLLECTION, PERFORMANCE MEASUREMENT, AND PROGRAM EVALUATION**  
***Due to your NRRC TA provider April 26th, 2019.***

**EXERCISE 4, PART 1:  LOGIC MODEL**

A logic model demonstrates the causal relationships between goals, activities, and results. It is a useful tool to visualize the purpose and scope of proposed activities, including the resources needed and expected outcomes. If you have already completed a logic model for your program, please attach it to this guide. If not, please use the sample logic model below, which can be filled out with information from the previous sections of the guide. When noting outcomes, consider how you plan to measure those outcomes. Please note that goals and inputs/resources may correspond to multiple activities, outputs, and outcomes. For additional examples, templates, and information on developing a logic model please visit the [W.K. Kellogg Foundation's Logic Model Development Guide](https://www.wkkf.org/resource-directory/resource/2006/02/wk-kellogg-foundation-logic-model-development-guide).

Please refer to your program narrative for project goals, activities, and timeline.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Project Goal(s)** | **Inputs/Resources (Existing and Grant Funded)** | **Activities and Timeline** | **Outputs/Process Measures** | **Short-Term Outcomes (Define length of time in response)** | **Long-Term Outcomes (Define length of time in response)** |
|  |  |  |  |  |  |
| *Example: Implement risk and/or needs assessment tool.* | *Example: Grant funds; correctional staff training funds*. | *Example: Integrate tool into intake process and reentry case planning (Beginning March 2019)* | *Example: Number of assessments completed* | *Example: (Short term = within 6 months of implementation). Administer risk and needs assessment tool for all participants upon intake.* | *Example: (Long term = by year 2 of implementation). Develop all case plans based on needs identified through assessment.* |
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**EXERCISE 4, PART 2: DESCRIBING THE EVALUATION PLAN**

The “Innovations Suite” of grant programs invests in the development of practitioner-researcher partnerships that use data, evidence, and innovation to create strategies that are both effective and economical. These strategies can be achieved through the implementation of continuous quality improvement plans that measure outcomes and promote accountability.[[1]](#footnote-1) This includes collecting data on short-term outcomes to indicate progress toward recidivism-reduction objectives *(*e.g., changes in individual attitudes, behaviors, or responsiveness to services); this also includes holding performance management meetings between supervisors or managers and staff to discuss data findings, identify areas that need improvement, and reward staff for progress.

The objective of your evaluation is to assess and document the process and outcomes of implementing recidivism and violent crime reduction strategies, so they can serve as models for other agencies throughout the nation. Working with your research partner and TA provider, please complete the following questions to develop your evaluation plan. Please refer to your program narrative for research questions, type(s) of evaluation you will use, and measures of recidivism. Remember that the conditions of the grant require recipients to produce a mid-term analysis and research report at 18 months, and a final analysis and research report at 36 months when the grant ends.

1. What question(s) do you seek to answer through your evaluation?

Click or tap here to enter text.

1. What type(s) of evaluation will you use? *(Select all that apply.)*

Process *(When will it be completed?):* Click or tap here to enter text.

Outcome *(When will it be completed?):* Click or tap here to enter text.

1. How will recidivism be measured?

Rearrest

Reincarceration

Reconviction

Revocation

1. The following table is designed to help you plan your data collection process. When completing this plan, please refer to the outputs and outcomes you have identified in your logic model, and the question(s) in your evaluation plan.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Output/Outcome** | **Data Sources/Tool** | **Do you currently track this information?** | | **Who collects the data?** | **When is the data collected?** | **How is the data collected?** |
| *Example: Change in attitude* | *Example: COMPAS* |  | | *Example: DOC intake officer* | *Example: Upon program entry and after program completion.* | *Example: COMPAS Pre-and post-test* |
|  |  | Yes | No |  |  |  |
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**GRANTEE ACTION PLAN**

Please list any next steps needed to accomplish goals.

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**SECTION 5:  ENSURING CONTINUOUS QUALITY IMPROVEMENT   
*Due to your NRRC TA provider May 17th, 2019.***   
Corrections and community supervision leaders must ensure accuracy and fidelity in the adoption of evidence-based practices, including monitoring outcomes and adjusting as needed.

One approach to successful of systemic change is Continuous Quality Improvement (CQI)—a philosophy that expands upon basic quality assurance methods and acknowledges the ever-present opportunity for organizational development.

CQI may bring various benefits, including improved accountability, service delivery, information management, and participant tracking and documentation, as well as a means to ensure and maintain fidelity, track program integrity, and measure effectiveness. This section will help ensure that your initiative incorporates a CQI approach. Refer to the logic model you completed in the Section 4 to address the components of your initiative that will integrate the CQI process.

**EXERCISE 5, PART 1: WORKFORCE DEVELOPMENT**

Conducting an inventory of the trainings offered to staff will help facilitate a conversation about quality, capacity, and needs. Use the document provided below to inventory the staff trainings offered prior to and as part of the grant program

1. What staff trainings in evidence-based practices, interventions, or services will be conducted through this grant funding?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Title of Training** | **Who will conduct the training?** | **Who will attend the training?** | **Timeframe for Booster Sessions** | **Describe any coaching or other quality assurance methods that this training.** |
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1. What staff trainings in evidence-based practices, interventions, or services were held prior to this grant funding?

|  |  |  |  |  |
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| **Title of Training** | **Who will conduct the training?** | **Who will attend the training?** | **Timeframe for Booster Sessions** | **Describe any coaching or other quality assurance methods that this training.** |
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**EXERCISE 5, PART 2: DIRECT SERVICES**  
   
3. Conducting an inventory of the evidence-based practices, interventions, or direct services offered through this grant initiative will help facilitate a conversation about fidelity, quality, capacity, and needs. If providing direct services is part of this grant initiative, use the Direct Services document below to conduct the inventory.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Title of Training** | **Who will conduct the training?** | **Who will attend the training?** | **Timeframe for Booster Sessions** | **Describe any coaching or other quality assurance methods that this training** | **Describe any measures you will take to sustain the use of this intervention or service in the long term.** |
|  |  | *.* | *.* |  |  |
| *Example: Moral Reconation Therapy* | *Example: Correctional Counseling, Inc. (CCI)(developer)* | *Example: Regional director and probation line staff from Region 1* | *Example: Booster sessions will be scheduled with CCI on an annual basis* | *Example: Regional director will observe groups on a quarterly basis to assess fidelity to the model, provide coaching, and identify additional training needs.* | *Example: New hires will receive MRT training within six months of start date.* |
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1. What readiness activities are being used to enhance the rollout of grant-funded trainings (e.g., the National Implementation Research Network [NIRN] Active Implementation Hub)?

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1. How will you leverage resources to develop leaders within the organization to support continuous quality improvement (e.g., staff coaching and train-the-trainer models)?

Click or tap here to enter text.

**GRANTEE ACTION PLAN**  
  
Please list any next steps needed to accomplish goals.

Click or tap here to enter text.

**SECTION 6: SUSTAINABILITY   
*Due to your NRRC TA provider May 17th, 2019.***

Sustainability is difficult to achieve and becomes even more challenging if neglected until the grant funding is coming to an end. Developing a sustainability plan at the onset is essential to building a strong initiative that can continue after the grant funding concludes. Program outcomes and other measures are instrumental in conveying the impact of the initiative; collaborating with your evaluation partner about your sustainability strategies will provide the foundation for this effort.

**EXERCISE 6: PLANNING FOR PROGRAM SUSTAINABILITY**  
Please discuss with partners and collaborative leadership to answer the following:

1. Based on your organization’s current capacity, list the components of the grant initiative that you hope to continue after the life of the grant (e.g., policy changes, task force meetings, use of screening or assessment tools, etc.).

Click or tap here to enter text.

1. What activities will your team perform during the grant award period to help sustain the goals of your initiative?

Click or tap here to enter text.

1. List any other funding sources you believe could be used to help sustain this program beyond the life of the grant (e.g., foundation; federal, state [such as Medicaid], or local funding; private donation, etc.).

Click or tap here to enter text.

1. When will your team create a sustainability plan that outlines a timeline of the activities and potential funding sources described above to sustain this initiative beyond the life of the grant?

Click or tap here to enter text.

1. List the key stakeholders and partners who will be involved in sustaining your initiative after the life of the grant.

Click or tap here to enter text.

**GRANTEE ACTION PLAN**  
  
Please list any next steps needed to accomplish goals.

Click or tap here to enter text.

1. Continuous Quality Improvement (CQI) is a philosophy that expands upon basic quality assurance methods and acknowledges the ever-present opportunity for organizational development. [↑](#footnote-ref-1)