

DO COACHES PRACTICE WHAT THEY PREACH? AN EVALUATION OF
THE USAGE OF EVIDENCE-BASED PRACTICES AMONG PROBATION
OFFICER COACHES

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by

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Abstract

Probation supervision has the potential to serve a rehabilitative function through the use of evidence-based practices (EBPs; practices supported by empirical research). Often, when administrators adopt EBPs in their agency, these programs may not be implemented with fidelity by probation officers who interact with offenders. Thus, there is a critical need to examine methods of increasing the effectiveness of implementing EBPs among officers. One method, peer mentoring (i.e., coaches), is gaining popularity; however, little is known about the highly-motivated officers who volunteer to be coaches. Consequently, this dissertation investigates compliance with EBPs among officers who have volunteered to become coaches and will eventually mentor other officers on using EBPs. Multilevel model analysis was used to analyze 135 audio-recorded supervision sessions recorded either before or one month after the coaches participated in training on EBPs. Each audio-recorded supervision session was qualitatively coded with respect to the officer's adherence to the EBPs taught during training. Analyses revealed that during supervision sessions audio-recorded prior to training where the offender responded with resistance, coaches used significantly *fewer* EBPs, and during sessions audio-recorded post-training where similarly the offender responded with resistance, coaches used *more* EBPs. During sessions that were audio-recorded post-training where the officer was unable to elicit reactions indicative of prosocial change from the offender, coaches used significantly *fewer* EBPs. The results are discussed in terms of the coaches' adherence to the guidelines of the Risk-Need-Responsivity model of rehabilitation and motivational interviewing. Lastly, recommendations are provided for the agency on how to proceed after this one month evaluation of the agency's officers who volunteered to mentor his or her peers.

Keywords: coaching, probation officers, evidence-based practices, training

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Chapter 1: Introduction

As of the end of 2014, 1 in 52 adults in the U.S. were on community supervision in the U.S. criminal justice system (Kaeble, Maruschak, & Bonczar, 2015). There are two forms of community supervision, parole and probation. Parole is used after an offender has served time in prison, and then is released into the community due to conditional release, mandatory release, or expiration of sentence (Hughes, Wilson, & Beck, 2001). Parolees account for approximately 18% of adults on community supervision. The remaining 82% of adults on community supervision are supervised on probation, which is normally assigned to adjudicated individuals as an alternative to imprisonment (Kaeble et al., 2015).

The purpose of probation is to supervise the adjudicated offender in the least restrictive environment, the community. Here, the offender is supervised by a probation officer who is responsible for ensuring that the offender adheres to the conditions of probation. Probation is the most viable, cost effective, and commonly used sentencing option, but it is not entirely effective at reducing recidivism (Petersilia, 1997), as approximately 40% of offenders reoffend within 1 year, and 76.6% of offenders reoffend within 5 years (Durose, Cooper, & Synder, 2014). Recidivism refers to an offender's relapse into repeated criminal behavior and is often measured via the frequency of re-arrest (Durose et al., 2014). Therefore, probation is a temporary solution, but ultimately, it often indirectly contributes to the perpetuating cycle of repeat reoffending, and many probationers continue to return to the custody of the correctional system (Taxman, 2011). For example, if a probationer is only monitored in the community and does not receive rehabilitation opportunities from the probation officer, such as help building skills (e.g., dealing with anger effectively), finding resources in the community (e.g., housing, employment opportunities), and how to make prosocial decisions in high-risk situations, the offender returns

to society unchanged from the way they were when they entered probation. Without the guidance or skills necessary to make different decisions, the offender is likely to return to making the *same* antisocial choices that landed them on probation in the first place, and the cycle repeats; thus, this has been termed in the criminology and sociology literature as ‘the revolving door problem’ (Lovald & Stub, 1968).

Community supervision is effective at reducing costs by decreasing the prison population in the short term, but has the potential to serve a rehabilitative function in the long term through the use of evidence-based practices (EBPs; Andrews, 1989). EBPs are practices supported by empirical research, and in corrections EBPs refer to practices that if used, reduce the likelihood of future offending. The use of EBPs during community supervision has the potential to decrease the number of offenders who return to the criminal justice system as well as to increase public safety (Andrews & Bonta, 2010). Despite the availability of EBPs that are effective at reducing recidivism, agencies do not necessarily use them for multiple reasons including agency policies, pressures, and available funding. Thus, there is a critical need to examine potential methods to increase the effectiveness of knowledge transfer and implementation of EBPs. One method that is increasing in popularity is the use of peer mentoring, also known as ‘coaching.’ To select coaches, agencies identify highly motivated probation officers and train them to mentor other officers on effectively using EBPs during supervision sessions with probationers.

To advance prior work in this area, this dissertation will (a) outline the history of community corrections and evolution of the use of EBPs in community corrections, (b) investigate probation officers’ fidelity with EBPs, (c) apply implementation science concepts to the corrections literature, (d) discuss the benefits of ‘coaching’ and the research that supports the effectiveness of coaching at increasing employees likelihood of implementing EBPs with

integrity, (e) outline a research study that examines whether probation officer coaches' usage of EBPs is associated with offender resistance, offenders showing movement towards prosocial change, and participation in training on EBPs, and lastly, (f) describe the results and implications of this study to help inform implementation efforts in community corrections.

1.1 Evolution of Using Evidence-Based Practices in Community Corrections

In the 1840s, John Augustus introduced the concept of supervising offenders in the community, now known as community supervision or probation. Augustus recognized that imprisoning people was leading to a perpetual cycle of unproductive members of society (Alarid, 2016). Therefore, Augustus asked a judge if he could supervise a person with alcohol abuse issues in the community. Augustus was successful at rehabilitating this person, which led to the creation of community supervision. From the 1840s to 1982, probation focused on rehabilitating offenders (Alarid, 2016).

In 1982, the public began to adopt a justice-focused ideology where rehabilitation was no longer considered important, but rather, community supervision was viewed as an effective economical sanction as an alternative to prison, and probation officers who supervised offenders focused on surveillance and control, and operated under the notion that offenders will 'learn their lesson' if the system administers punishment, and this will deter the offender from victimizing others in the future (Alarid, 2016; Taxman, 2011). Research does not support the effectiveness of this punitive perspective; rather, behavior change is more likely to occur if positive reinforcement is used as a motivating factor (Taxman, 2011). Therefore, probation saved the government money in the short-term, but was not cost-effective in the long-term (Bonta, Rugge, Scott, Bourgon, & Yessine, 2008; Durose et al., 2014). As a result, researchers examined the

causes of crime for decades with the hope that they would provide targets for interventions to reduce recidivism (Andrews & Bonta, 2010).

1.1.1 Theories of Causes of Criminal Behavior

The causes of crime are difficult to identify and describe because of the complexity of human behavior (Andrews & Bonta, 2010). Over many decades, numerous researchers have investigated the roots of criminal behavior and have arrived at conflicting explanations of *why* people commit crimes. The cause of criminal behavior has historically been explained through psychodynamic theories, social location theories, differential association theory, and general personality and social psychology theories (Andrews & Bonta, 2010). Psychodynamic theories focused on personality development, and posited that criminal behavior occurs due to immaturity and lack of self-control (General Theory of Crime; Gottfredson & Hirschi, 1990). Social location theories focused on social structure, and suggested that criminal behavior was caused by personal distress from social structure and inequality (General Strain Theory; Agnew, 1992; Andrews & Bonta, 2010; Merton, 1938; Paternoster, Saltzman, Waldo, & Chiricos, 1983). Differential association theory focused on who people associate with, and postulated that criminal behavior is learned and reinforced through exposure to procriminal attitudes, values, beliefs, and peers (Andrews & Bonta, 2010; Burgess & Akers, 1966). Lastly, general personality and social psychology theories focused on density of rewards and interactions with procriminal others, and theorized that criminal behavior increases and decreases depending on the density of rewards for the behavior (Andrews & Bonta, 2010; Glaser, 1959).

Each of these theories individually explains only a portion of the causes of criminal behavior, but Don Andrews and colleagues began to test different aspects of these theories during the 1970s (Andrews, 1980), and combined elements of all four categories of theories to

develop a comprehensive explanation of all criminal behavior. Thus, by describing interactions between different perspectives, Andrews and Bonta (2010) developed an integrative theoretical approach of *why* both criminal and non-criminal behavior occur based on principles from social, cognitive, learning, behavioral, and personality psychological theories on human behavior. Andrews and Bonta's (2010) integrative theoretical approach is termed the General Personality and Cognitive Social Learning (GPCSL) approach. The GPCSL explains factors that contribute to human behavior at the individual (e.g., personality characteristics), social (e.g., family relationships), and community/societal levels (e.g., involvement in school or work). Explanation at all three socio-ecological levels makes the GPCSL approach ideal for practical applications directed at predicting and treating recidivism risk among offenders—this is the core of contemporary offender rehabilitation (Andrews & Bonta, 2010).

1.1.2 Risk-Need-Responsivity Model of Rehabilitation

Andrews and Bonta (2010) translated their GPCSL approach into a set of practical guidelines for agencies known as the Risk-Need-Responsivity Model (RNR). RNR adopts a human service perspective and provides guidelines to help treatment providers use a humane approach that also increases public safety. RNR consists of three principles. First, the Risk Principle advises treatment providers, such as probation officers, to match the offender's risk level to the dosage of treatment. In other words, 'how much' treatment a treatment provider should give each offender (Andrews & Bonta, 2010). For example, a low-risk offender may be assigned to 10 hours of treatment, a medium-risk offender may be assigned to 50 hours of treatment, and a high-risk offender may be assigned to 100 hours of treatment. Therefore, as the risk level of the offender increases, the intensity of treatment the offender is mandated to participate in also increases.

Second, the Need Principle advises treatment providers on ‘what’ factors to attend to in order to have the most success at reducing recidivism and rehabilitating the individual. RNR’s Need Principle delineates eight specific risk factors that are most predictive of individual criminal behavior. Of the eight specific risk factors, four factors are considered *major* risk factors and are *most* predictive of future recidivism, and four factors are considered *minor* risk factors and are predictive of future recidivism, but to a lesser degree than the four major risk factors. One of the four major risk factors is considered static, meaning it is unchangeable, and is ‘history of criminal behavior.’ The other three major risk factors and four minor risk factors are dynamic risk factors that can be changed through intervention and are referred to as ‘criminogenic needs.’ According to RNR, interventions that target the seven dynamic criminogenic needs have the best chance at reducing the likelihood of future recidivism (Andrews & Bonta, 2010). A criminogenic need, by definition, is a factor, which if changed during treatment, decreases the chance of future recidivism (Andrews & Bonta, 1994). The major criminogenic needs that have the most predictive power include: (a) antisocial personality pattern (e.g., impulsivity, pleasure seeking, callousness), (c) antisocial cognitions, which includes attitudes, beliefs, values, and rationalizations that society considers harmful (e.g., aggression should be used to fix problems), and (d) antisocial associates, which includes association with peers who are favorable of criminal behavior. The minor criminogenic needs include: (a) family/marital relationships (e.g., poor quality relationships), (b) performance and involvement in school and/or work (e.g., low or high involvement), (c) involvement and satisfaction in prosocial leisure activities and (d) substance abuse. Therefore, during each supervision session, officers should focus on treating these seven criminogenic needs. For example, if an offender has problems with being influenced by antisocial peers and family

members, the officer may spend time in each supervision session helping the offender secure new prosocial relationships, and/or helping the offender learn how to handle situations where the offender will have to be in contact with antisocial peers or family members, but will need to continue to make prosocial choices around his or her antisocial peers or family members.

Lastly, the Responsivity Principle includes Specific Responsivity and General Responsivity. General Responsivity guides treatment providers on ‘how’ to deliver treatment, which consists of using cognitive-behavioral techniques that are empirically supported to change a person’s attitudes and beliefs. Specific Responsivity guides treatment providers on tailoring the cognitive-behavioral techniques used to meet the individual needs and learning style of the offender. For example, if the offender has an active psychotic disorder, and cannot fully participate in treatment for addressing his or her criminogenic needs due to distracting hallucination and delusions, the psychotic disorder, although not directly predictive of recidivism, inhibits the offender’s ability to benefit and respond to treatment for the eight criminogenic needs. Therefore, the officer should ensure that the offender receives treatment for the psychotic disorder so that the offender could then benefit from correctional interventions. Officers have the best chance of reducing recidivism among the offenders they supervise by following the evidence-based guidelines set forth by RNR during supervision sessions with offenders (Andrews & Bonta, 2010; Dowden & Andrews, 2004; Joplin et al., 2004).

1.1.3 Empirical Support for the Risk-Need-Responsivity Model

Extensive research has demonstrated relationships between the central eight risk factors and criminal behavior. An early meta-analysis synthesized 372 studies and found that the major four risk factors, including antisocial attitudes and antisocial associates ($r = .22$) and history of antisocial behavior and antisocial personality pattern ($r = .21$), were more strongly related to

future criminal behavior when compared to lower-class origins ($r = .06$), personal distress/psychopathology ($r = .08$), personal education/vocational achievement ($r = .12$), and parental and family factors ($r = .18$). These results were consistent with juveniles and adults, among African Americans and European Americans, across longitudinal and cross-sectional research designs, and across different methods of measuring future criminal behavior (self-reports v. official agency records; Gendreau, Andrews, Goggin, & Chanteloupe, 1992).

Meta-analyses have found extensive support for the effectiveness of RNR in reducing recidivism. Specifically, Andrews and colleagues (1990) performed a meta-analysis that included effect sizes collected from 80 studies on the effectiveness of RNR in reducing recidivism. The meta-analysis compared phi coefficients for offenders who were given an intervention based on RNR, compared to a group of offenders that were given the criminal sanction approach. The criminal sanction approach is where no treatment or interventions are provided, but rather, when an offender breaks the rules, he or she receives a sanction (i.e., penalty) for his or her unacceptable behavior. The group of offenders who received an intervention based on RNR was significantly less likely to reoffend ($\phi = .30$) compared to offenders who received a criminal sanctions approach ($\phi = -.07$; Andrews et al., 1990).

Meta-analyses conducted on specific individual principles of RNR have also confirmed the effectiveness of each of the three principles individually. Based on the Risk Principle, treatment to change criminogenic needs is more effective if dosage of treatment is matched to the offender's level of risk (Bonta & Andrews, 2007; Sperber, Latessa & Makarios, 2013). Bonta and Andrews (2007) found that high-risk cases benefited more from intensive treatment ($r = .10$; $k = 278$) than low risk cases ($r = .03$; $k = 96$). Andrews and Dowden (2006) found similar support for the Risk Principle based on a meta-analysis on 225 unique studies. Again, higher

risk offenders showed more benefit ($\phi = .10$) of intensive treatment, evidenced by a higher reduction in recidivism, when compared to lower risk offenders ($\phi = .03$). Furthermore, exclusively using the Need Principle and addressing criminogenic needs during supervision sessions with juvenile offenders was predictive of decreased recidivism (Peterson-Badali, Skilling, & Haqanee, 2015). There is limited research specifically on the effectiveness of the Responsivity Principle, but Bonta and Andrews (2007) found that the more principles of RNR probation officers adhered to, the greater reduction in recidivism. Using all three RNR principles in conjunction during community supervision has the potential to reduce recidivism by 35% (Bonta & Andrews, 2007). Therefore, use of evidence-based practices has the potential to decrease the number of offenders who return to the criminal justice system.

RNR is not without its critics, and some scholars argue that RNR may not explain criminal behavior for all individuals. For example, feminist scholars have expressed concern that the eight criminogenic risk factors in the RNR model are not gender neutral and thus, female offenders have gender-specific risk factors for criminal behavior when compared to male offenders (Brennam, Breitenbach, Dieterich, Salisbury, & Van Voorhis, 2012; Salisbury & Van Voorhis, 2009; Van Voorhis, Wright, Salisbury, & Bauman, 2010). Van der Knapp, Alberda, Oosterveld, and Born (2012) investigated the gender neutrality of the central eight criminogenic risk factors among 16,239 male and female offenders, and concluded that the central eight criminogenic needs are gender neutral, and are equally predictive for both women and men. Some criminogenic needs that contributed to future criminal behavior for men were less predictive for women, while some criminogenic needs less predictive for men were more predictive for women, but overall, the central eight risk factors were significantly predictive of future criminal behavior for both genders (Van der Knapp et al., 2012). Other research

combining data from five different studies, and a study assessing the predictive utility of the central eight risk factors for 14,737 female offenders, found that RNR is effective for both genders, and across different age groups (Andrews et al., 2012; Andrews & Robinson, 1984; Girard & Wormith, 2004; Smith, Cullen, & Latessa, 2009).

1.1.4 RNR Model's Complement: Core Correctional Practices

Once it was established that probation could serve a rehabilitation function if probation officers administered interventions with fidelity and program integrity, the RNR model of rehabilitation was extended to include RNR's complement, known as Core Correctional Practices (CCP). CCP specifies the skills that treatment providers must exhibit for the RNR framework to be most effectively delivered to probationers (Andrews & Bonta 2010; Andrews & Kiessling, 1980). Like RNR, CCP adopts a human service perspective that is intended to use a strength-based approach to help provide external (e.g., community resources) and/or internal (e.g., motivation to change) services to the offender. RNR is more focused on 'who' to give services to, 'which' factors to attend to during supervision sessions, and 'how' to interact with the offender during supervision sessions, and in contrast, CCP is more focused on forming a quality relationship with the offender, and delivering skills training in a consistent and supportive way so that the offender is more receptive to learning and practicing the skills to target criminogenic needs (Andrews & Bonta, 2010).

CCP suggests that interventions are most effective when probation officers attend to both the *quality* of their relationship with probationers as well as facilitate a high-quality environment for *structured* skill building. CCP consists of five different components, which include effective use of authority, appropriate modeling and reinforcement, problem solving, effective use of community services, and quality of interpersonal relationships. CCP advises that when officers

deliver a message to probationers about his or her behavior, the officer should be clear, focused, specific, and direct with the offender by identifying clear goals for the offender to achieve while on probation, outline a realistic implementation plan to meet those goals, and communicate clearly regarding what is expected from the offender during supervision (Andrews & Bonta, 2010; Dowden & Andrews, 2004). While probationers attempt to achieve the mutually agreed upon goals, it is helpful for the officer to offer probationers encouragement and support. By being encouraging, yet direct, about what the officer expects, the officer is using a firm but fair approach (Dowden & Andrews, 2004).

Next, according to CCP, the officer should model appropriate prosocial behavior for probationers, and the officer should use effective reinforcement by rewarding offenders for prosocial behavior, but disapproving when the offender's behavior is antisocial and undesirable. During disapproval, the officer should immediately be clear about why the officer disapproves of the offender's behavior, and encourage the offender to reflect on the antisocial behavior. Then, the officer helps the offender generate alternate prosocial decisions that could be made in the future if the offender encounters a similar high-risk situation (Dowden & Andrews, 2004).

During the process of probation, CCP guides officers to be genuinely committed to helping the probationer by interacting in a warm, enthusiastic, and empathic manner. Officers who use CCP during his or her supervision sessions tend to have offenders with lower re-offense rates, and better outcomes in the community (Dowden & Andrews, 2004; Smith, Schweitzer, Labrecque, & Latessa, 2012). For example, Dowden and Andrews (2004) conducted a meta-analysis of 154 studies, and found that officers who used the RNR model in combination with at least some of the recommendations from CCP, had offenders with lower recidivism rates ($\eta = .26$) compared to officers who did not use CCP techniques ($\eta = .08$) during supervision sessions.

The effectiveness of the combination of RNR and CCP was consistent across gender, age, and ethnicity (Dowden & Andrews, 2004). To summarize, Don Andrews and colleagues applied a human service perspective to create the Risk-Need-Responsivity (RNR) model and Core Correctional Practices (CCP) to rehabilitate persons who are involved in the criminal justice system. RNR and CCP contain procedures and strategies that guide treatment providers on facilitating prosocial change among offenders.

1.1.5 Motivational Interviewing

Providing evidence-based practices (EBPs) in probation is different than many other therapeutic contexts, because clients on probation are mandated to participate, and many may not necessarily *want* to change. As a result, probation officers often experience fatigue from handling resistant probationers (Lewis, Lewis, & Garby, 2013). Motivational interviewing (MI), an evidence-based framework from clinical psychology, complements RNR and CCP by providing treatment providers with a framework to handle clients who are resistant to change (Miller & Rollnick, 2002). Multiple studies support the effectiveness of MI with helping resistant offenders comply with treatment during probation (Anstiss, Polaschek, & Wilson, 2011; Austin, Williams, & Kilgour, 2011; Clark, Walters, Gingerich, & Meltzer, 2006; Kistenmacher & Weiss, 2008; Lowenkamp, Holsinger, Flores, Koutsenok, & Pearl, 2013).

MI conceptualizes client responses within a relational perspective where a client's resistant behavior is not framed as the client's problem, but rather is reflective of the relationship quality between the officer and offender. Miller and Rollnick (2002) discuss how resistance is usually conceptualized as the action of one person, the offender, but in MI, resistance only occurs within the context of a relationship. Therefore, resistance is not viewed as the offender's fault, but rather, resistance should be interpreted in terms of both the officer and offender's

contribution to their joint relationship. Miller and Rollnick (2002) illustrate the relational framework in which to interpret client responses by stating:

“...resistance does not describe something that one person (the client) is doing. [Rather, motivational interviewing suggests a] relational view, in which client resistant behavior is, at most, a signal of dissonance in the relationship...it is oxymoronic to say that one person is not cooperating. It requires at least two people to not cooperate, to yield dissonance (Miller & Rollinck, 2002, p. 45).

MI's relational view describes three types of client responses, which include *change talk*, *resistance*, or responding *neutrally* (Miller & Rollinck, 2002). Change talk refers to when the client moves *towards* change, resistance refers to when the client moves *away* from change, and a neutral response refers to when a client does not move towards or away from change.

Examples of change talk include the client expressing optimism for change, intention to change, or stating advantages of making the change (Miller & Rollnick, 2002). Examples of resistance include the client arguing, minimizing problematic behavior, making excuses for behavior, or showing hostility towards the treatment provider. Applying the relational view, these three responses are a product of the relationship between the officer and offender, and as a result, officers are said to elicit change talk and resistance from his or her client. Therefore, the client's reactions and expressions of change talk and resistance are a product of the officer and offender relationship.

According to the theory behind MI, resistance notifies the treatment provider that he or she needs to respond differently, and not oppose the resistance, but rather “roll with the resistance” (Miller & Rollnick, 2002, p. 49). Rolling with resistance means that the treatment provider does not advocate or argue for change and does not directly oppose the resistance, but

instead understands that resistance is a natural part of the change process, and tries to help the client develop discrepancy between the client's current reality and how the client wants to be. Therefore, when change occurs, it is because the client wanted to change because they noticed a discrepancy or inconsistency between the way their life is currently and the goals they have for their life (Miller & Rollnick, 2002). As such, in training on EBPs probation officers are taught how to elicit change talk from probationers, roll with the resistance, and how to use a collaborative approach where the officer does not tell the probationer what to do, but rather teaches the probationer skills so that ultimately the probationer can help themselves change. The philosophy behind this approach is that the officer's time with the offender is limited, so the probationer must learn to make prosocial changes independently so these behaviors can continue when the probation term is complete.

With evidence-based practices (EBPs), such as RNR, CCP, and motivational interviewing, probation can be used as a tool to deliver services to probationers, which is more humane, but also more effective at reducing recidivism compared to traditional punitive methods. Correctional agencies have access to EBPs that are effective at reducing recidivism, but recidivism reduction is only possible if staff deliver the services with program integrity and fidelity (Bonta & Andrews, 2007; Dowden & Andrews, 2004).

1.2 Officer Fidelity with Evidence-Based Practices

The road to implementing Andrews and Bonta's (2010) RNR model and CCP with fidelity is plagued by obstacles (Durlak & DuPre, 2008; Rogan, 2012; Waters, Moreno, & Colgan, 2013). Fidelity refers to the extent to which an EBP is used in the way its developers intended it to be (Bond, Evans, Salyers, Williams, & Kim, 2000). A common barrier to successful implementation is that researchers often gain support for implementing EBPs at the

administration level, but probation officers who directly interact with probationers are not always as enthusiastic about changing the way they deliver services (Farrell, Young, & Taxman, 2011). Probation officers have been referred to as the “forgotten foot soldier” (Bourgon, 2013, p. 2), because during the implementation process of EBPs, attention is not always given to recognize that implementation places greater demands on the front-line officers opposed to any other individual at the agency (Bourgon, 2013; Viglione, 2015). Bourgon (2013) eloquently states how demanding a probation officer’s job truly is:

“Like the soldier who has marched into the battlefield...tired, weary, and burdened with the ever-changing orders from the generals, must make crucial decisions all alone...[the officer] “follows” the orders of management and works tirelessly behind closed doors to promote change in [probationers] characterized as antisocial, lacking motivation... resistant, defensive, aggressive, and criminal” (Bourgon, 2013, p. 12).

As described above, the probation officer is the one who must take the time and effort to learn to incorporate EBPs into their supervision sessions with probationers while likely carrying a large caseload. Arguably, probation officers’ cooperation with EBPs is the most essential component to whether implementation is effective or ineffective. Probation officers ultimately have a direct effect on the offender, because the officer has the final discretion to decide what happens during his or her face-to-face supervision sessions, where only the officer and offender are present (Bourgon, 2013).

With the demands placed on officers when implementing EBPs, it is not surprising that officers do not always uphold program integrity. Multiple studies have shown that officers show partial compliance with using the information provided by an evidence-based risk assessment tool to make case management decisions, referrals, and decisions on the dosage of treatment

depending on the offender's risk level (Risk Principle; Guy, Nelson, Fusco-Morin, & Vincent, 2014; Miller & Maloney, 2013; Shook & Sarri, 2007; Viglione, Rudes, & Taxman, 2014; Vincent, Paiva-Salisbury, Cook, Guy, & Perrault, 2012; Welsh et al., 2015). In one study, officers adhered to their agency's requirement of using an evidence-based risk assessment tool by addressing criminogenic needs from the assessment tool in their reports, but the officers' final recommendations outside the report did not match the information they provided in the report (Peterson-Badali et al., 2015). Other studies have consistently found that partial compliance is common when an evidence-based risk assessment instrument is implemented. Most officers always administer the risk assessment tool and complete paperwork using the results of the tool, but here the compliance stops. Officers often override the recommendations of the risk assessment instrument and use their discretionary judgment instead (Miller & Maloney, 2013; Shook & Sarri, 2007; Viglione, et al., 2014; Vincent, et al., 2012; Welsh et al., 2015). Common causes for partial compliance include organizational barriers (Welsh et al., 2015), lack of confidence in using the implemented instrument (e.g., self efficacy; Guy et al., 2014; Miller & Maloney, 2013), disbelief that intervention plans guided by the assessment instrument will be effective at reducing recidivism (Miller & Maloney, 2013; Shook & Sarri, 2007; Viglione et al., 2014; Vincent et al., 2012; Welsh et al., 2015), and the time-consuming nature of incorporating the assessment tool in his or her supervision sessions (Vincent et al., 2012).

Above are examples of compliance issues with risk assessment tools, but deviations from program integrity have also been observed in officers' use of EBPs in his or her interactions with probationers. For example, Dowden and Andrews' (2004) meta-analysis found that in only 16% of studies they reviewed, officers used CCP during probation supervision. In another study, Bonta and colleagues (2008) examined 62 officers' audio-recorded supervisions sessions, and

found that officers did not comply with RNR. For example, 40% of adult offenders were identified as having employment problems, but officers created a plan to help the offender overcome employment difficulties in *only* 10% of these cases (Bonta et al., 2008).

Since this time, packaged training programs have been developed (STICS; Bonta et al., 2011, STARR; Robinson et al., 2012; EPICS; Smith et al., 2012) to teach officers how to incorporate the Risk-Need-Responsivity (RNR) model and Core Correctional Practices (CCP) into his or her supervision sessions. Bonta and colleagues (2011) randomly assigned probation officers to either participate in training on EBPs or assigned the officer to a no training condition. They found that officers who participated in training were more adherent to RNR. For example, officers who participated in training used more cognitive-behavioral techniques to address procriminal attitudes compared to officers who did not participate in training. In 2012, Smith and colleagues assessed officers' compliance to CCP after the officers received training on CCP techniques. Smith et al. (2012) examined audio-recorded supervision sessions between officers and probationers at three time points for officers who participated in training compared to officers who did not participate in training. Smith and colleagues (2012) found that officers who participated in training were more likely to use skills from CCP in his or her audio-recorded supervision sessions. Due to the small sample size ($N = 10$), results were reported for different types of skills at each of the three time points. For example, officers who participated in training were more likely to assign homework (range across the three time points = 10.5% to 34.5%) and practice role playing (range = 0.0% to 22.2%) in supervision sessions compared to officers who did not participate in training (assign homework and practice role play = 0.0% to 0.0% for all time points). This is encouraging, and suggests that improvement in successful implementation can be achieved through training.

Problems with implementation are not unique to the field of criminal justice, as other applied fields also face similar barriers when implementing new practices. Therefore, as Cullen (2011) states, “other fields are illuminating new ways to see crime and new research puzzles,” there is reason to believe that investigating how new practices are successfully implemented in applied fields outside of community corrections may illuminate new solutions for successfully implementing RNR and CCP in probation (p. 306).

1.3 Implementation Science: How do we Achieve Successful Implementation?

Implementation science has been a well-researched field for decades, but approximately a decade ago researchers began to apply implementation science guidelines for successful implementation to corrections (Mathews, 2015). Implementation science has provided the corrections field with the backbone guide to successful implementation by providing components that are necessary for successful implementation in organizations, including corrections agencies. Therefore, concepts from the field of implementation science can be applied to the corrections literature. To successfully implement evidence-based practices (EBPs), there are three main specific components, also known as drivers, which are needed for change to occur. These include Staff Competency (e.g., coaching or staff beliefs), Organizational Supports (e.g., decision data support system or external coordination of resources), and Leadership drivers (Alexander, 2011; Damschroder et al., 2009; Fixsen, Blase, Naoom, & Wallace, 2009; Mathews, 2015).

The present study’s focus is on the Staff Competency driver, because probation officers have direct contact with offenders, and are the staff members who are asked to use EBPs. The Staff Competency driver is achieved by: (a) *initial training* on EBPs, (b) selecting officers who are *open to using EBPs*, receiving constructive feedback on their use of EBPs, and incorporating

the feedback into their supervision sessions with clients, and (c) the use of *coaching* to provide opportunities for individualized follow-up support after the initial training. Research outside of corrections consistently shows that training alone is not sufficient in successfully implementing EBPs. Instead, training *must* be supplemented with on-site coaching (Kretlow, Cooke, & Wood, 2012).

1.3.1 The Role of Coaching in Successful Implementation of Evidence-Based Practices

Coaching is a strategy that is often emphasized as a key contributor to successful implementation of EBPs in corrections (Alexander, 2011; Waters et al., 2013). Notably, probation officers report that the use of coaching was helpful for them in the process of adopting EBPs (Waters et al., 2013). Specifically, probation officers reported that coaching allowed them the opportunity to ask follow-up questions about the evidence-based skills they learned in the initial training, express concerns they did not feel comfortable expressing in a group classroom environment, and better understand how they could incorporate the skills during supervision sessions and personally use the skills with specific clients (Lowenkamp, Robinson, Koutsenok, Lowenkamp, & Pearl, 2012).

Broadly speaking, in all fields, a coach is an expert on implementing EBPs and can be a university faculty member, a supervisor, a lead employee, or a skilled peer (Kretlow & Bartholomew, 2010). The basic premise of using coaching is to ensure that staff members are implementing EBPs with fidelity (Kretlow & Bartholomew, 2010), and ultimately, coaching is an important tool to use to help staff have a source of follow-up support after the initial training on EBPs. Generally, the coach's task is to provide feedback that helps with mastery of skills, build the mentee's confidence in performing the skills they learned in training, and ensure a level of accountability for fidelity of the EBPs being implemented (Akin, 2016).

1.3.2 Types of Coaches

Coaching styles include supervisory coaching (Showers & Joyce, 1996) and side-by-side coaching (Allen & LeBlanc, 2004; Kretlow & Bartholomew, 2010). Supervisory coaching is when the coach has the mentee audio-record sessions with clients, and then the coach reviews the recordings, and gives the mentee individualized, non-evaluative, and specific feedback on the mentee's strengths, and identifies opportunities for improvement. Side-by-side coaching is when the coach sits in on sessions with clients, and interrupts the session to give immediate specific feedback in real time. Side-by-side coaching is also termed 'live-coaching' (Haas, 2013). In corrections, supervisory coaching is a realistic option for agencies to use to help implement EBPs. Supervisory coaching has been found to be effective among employees in an industrial context (Ellinger, Ellinger, & Keller, 2003), and Haas (2013) found that supervisory coaching had a higher impact on skill proficiency when compared to officers who were coached using side-by-side coaching (i.e., live coaching).

Both external and internal coaches can perform supervisory coaching. Specifically, external coaches are experts in the field, such as researchers or university faculty members, and external coaches are able to influence officers during training because of their authority and status (Damschroder et al., 2009). An internal coach is a supervisor or a peer who works at the correctional agency with the other probation officers. Specifically, internal peer coaches influence their fellow officers through their representativeness and credibility (Damschroder et al., 2009). Internal peer coaches are individuals who have dedicated themselves to supporting and promoting EBPs, and have agreed to develop a strong proficiency in the evidence-based skills so that they can demonstrate the skills to their colleagues, and provide feedback when their colleagues attempt to use the EBPs during supervision sessions (Damschroder et al., 2009;

Waters et al., 2013). To develop internal coaches, the first step is to train the internal coaches. Then, the internal coaches in training submit audio recordings of supervision sessions so that the external coaches can review the recordings, and give the internal coaches in training feedback on their proficiency using EBPs. The internal coaches must be fully comfortable exercising the EBPs, because skill proficiency is imperative to whether the internal coaches are successful at training their peers during subsequent trainings (Waters et al., 2013).

Currently, external coaches, such as researchers or university faculty members, are a common type of coach to use because they are experts in using EBPs, but research in multiple fields has shown that using internal peer coaches, opposed to external coaches, is more effective (Alexander, 2011; Bowman & McCormick, 2010; Showers, 1985; Winton, McCollum, & Catlett, 1997). For example, federal probation officers who were coached by their peers developed higher skill proficiency in motivational interviewing techniques compared to federal probation officers who were coached by external coaches (Alexander, 2011). Peer coaching can aid in diffusion of EBPs, because officers view the internal peer coach as similar to them and dedicated to a similar agenda. The more similar the officer perceives the peer coach to be, the more influence the peer coach has on successfully implementing EBPs among their peers (Greenhalgh, Robert, Macfarlane, Bate, & Kyriakidou, 2004; Valente & Davis, 1999). External expert coaches lack the similarity component, and can often be viewed by the other probation officers as “elitists,” “too academic,” or “trapped in so-called ivory towers” (McNeill, Farrall, Lightowler & Maruna, 2012, p. 44-45). As a result, using peer coaching in the training process has become an integral component of some training programs in corrections, such as Effective Practices in Community Supervision evidence-based training program (EPICS; Gleicher,

Manchak, & Cullen, 2013) and the Strategic Training Initiative in Community Supervision (STICS; Bonta, Bourgon, Rugge, Gress, & Gutierrez, 2013).

1.3.3 Mechanisms of Peer Coaching

There are several elements that need to be present for peer coaching to successfully help mentees implement EBPs with fidelity. Research on peer coaching suggests that effective peer coaching includes three critical components, which include highly engaged training sessions, follow-up observations, and non-evaluative specific feedback (Kretlow & Bartholomew, 2010). Within these three critical components, effective peer coaches have the best outcomes when they utilize reinforcement strategies, model the behavior for the mentee, and provide the mentee social support and safe environment to practice the skills they learned in training (Alexander, 2011; Kretlow & Bartholomew, 2010; Lowenkamp et al., 2012). Therefore, internal officer coaches need to be able to effectively roll with resistance and elicit change talk from probationers so that the coach can mentor and model appropriate ways to handle resistant probationers and elicit change talk for the officers he or she mentors.

1.4 The Present Study

The present study investigates the fidelity of evidence-based practices (EBPs) for probation officers who participated in training on EBPs and who will eventually be peer coaches, and will mentor other officers on how to use EBPs. To have peer coaches who engage with the officers they mentor, give specific feedback, model how to use the EBPs effectively, and help other officers effectively roll with resistance and elicit change talk from probationers, the coach themselves must have a certain level of skill proficiency. The present study partnered with a correctional agency that is utilizing peer coaching to help implement EBPs among probation

officers. As noted earlier, for a coach to be successful, the coach must be open to incorporating the EBPs they learn in training into supervision sessions with probationers, and more importantly, be able to model how to correctly integrate EBPs into supervision sessions with *any* type of probationer, including probationers who respond with resistant statements, and be able to correctly identify opportunities where a EBP can be used to help elicit change talk from the probationer (Alexander, 2011; Kretlow & Bartholomew, 2010; Lowenkamp et al., 2012).

Therefore, the objective of this proposed study is to investigate the use of EBPs before and after an initial training among a unique group of probation officers; officers who have volunteered to eventually mentor other officers on effectively using EBPs during supervision sessions.

Consequently, the present study investigated three specific research questions.

Research Question #1: To what extent is the number of EBPs used by the officer per supervision session associated with whether or not the client responds to the officer with resistance during the supervision session?

Research Question #2: To what extent is the number of EBPs used by the officer per supervision session associated with whether or not the client responds with change talk during the supervision session?

Research Question #3: Does the relationship in Research Question #1 and Research Question #2 change depending on whether the audio-recorded supervision session was recorded before versus after participation in an initial training on EBPs?

These research questions are exploratory, but although ideally officers would use EBPs with *all* types of offenders (unmotivated and motivated offenders), prior research has shown that officers have a difficult time using EBPs with offenders in general and often resort to using confrontational strategies, which are not evidence-based (Vigliano, Rudes, & Taxman, 2017).

Even more concerning, using confrontational strategies negatively effect the quality of relationship between the officer and probationer, and lead to resistance to change (Miller & Wilbourne, 2002; Schwalbe & Maschi, 2009). According to motivational interviewing (MI), resistance to change is reflective of the relationship dynamic between the officer and probationer, and should notify the officer to change his or her behavior and tailor his or her strategy to address a criminogenic need area or use an evidence-based skill, because the officer is contributing to the resistance. Therefore, in order for these internal peer coaches in training to effectively mentor his or her peers, he or she must be able to use EBPs even when the offender responds with resistance and learn how to effectively elicit change talk from all types of clients, including clients that are resistant to change.

Chapter 2: Method

An adult probation agency held Skills Driven Supervision (SDS) training for its probation officers on how to incorporate evidence-based practices (EBPs) in the officer's one-on-one supervision sessions with probationers. The agency first asked for probation officers who wanted to volunteer to coach other probation officers on using EBPs. The agency required each officer who volunteered to be a peer coach to audio-record supervision sessions with probationers as part of the training's ongoing coaching component. The audio-recordings of supervision sessions were used by external coaches to give the peer officer coaches specific feedback on their usage of the EBPs they learned in training. The data collected from the audio-recorded supervision sessions with probationers were used to address the three research questions presented above.

2.1 Participants

Participants were 23 probation officers who volunteered to advocate for evidence-based practices (EBPs) and to coach and support other probation officers' usage of EBPs in the future after the officer coaches reach a certain level of skill proficiency. The 23 probation officers who volunteered to be coaches received a reduction in his or her caseload so that the peer coaches would have enough time to mentor the other 98 probation officers at the agency. Probation officers were asked to voluntarily provide demographic information and participate in a post-training survey, and 18 of the 23 officers who volunteered to be coaches provided the research team with demographic information and participated in the post-training survey. Therefore, the demographics reported below are from 18 of the 23 probation officers who recorded the audio recordings used in the present study.

Most officers were female (61.1%), and officers' average age was 38.83 ($SD = 8.99$). Officers reported identifying as European American/Caucasian (55.6%) or Hispanic/Latino (44.4%). Most officers reported their highest level of education attained was a Bachelor's degree (94.4%). Officers' degrees were mostly in the field of criminal justice (50%) or social work/psychology (22.2%). Officers' average years in the corrections field was approximately 12 years ($M = 12.29$; $SD = 6.36$). Most officers currently held a caseload of probationers they supervise regularly (77.8%). Some officers held a specialty caseload, and the different types of specialty caseloads included domestic violence, mental health, sex offender, and substance abuse. The research team was unable to collect data from 10 of the 18 officers on 'what previous training(s) the officer had received before participating in the SDS training their agency required them to participate in for the present study.' All eight officers had participated in at least some form of training on evidence-based practices prior to participating in the SDS training. The types of evidence-based trainings attended included training on evidence-based risk assessments, improving relationship quality between the officer and client, and training similar to the SDS training.

Each peer officer coach in training was asked on behalf of the agency to audio record five supervision sessions with probationers *before* participation in training on EBPs, and audio record five supervision sessions one month *after* participation in training on EBPs. The agency asked that one of the five audio-recorded supervision sessions be of an initial intake supervision session, which is a session that takes place when the probationer is first placed on probation. During an initial intake session, the officer develops a case management plan with the probationer. The agency then asked that four of the recorded supervision sessions be of regular

supervision sessions where the officer is checking in with the probationer about his or her progress with the case management plan that was created during the initial intake session.

Although the target number of recordings was 230 supervision sessions with 230 probationers, most officers did not record 10 supervision sessions. Instead, the number of supervision sessions recorded per officer ranged from one to 11 supervision sessions (mode = most officers recorded eight supervision sessions). Only three of the 23 officer coaches recorded the full 10 supervision sessions. Therefore, the unit of analysis was each audio-recorded supervision session with 160 probationers. Specifically, 70 of the supervision sessions were recorded *before* the coach participated in training on EBPs, and 90 of the supervision sessions were recorded one month *after* the officer participated in training on EBPs. As requested by the agency, peer officer coaches in training recorded more regular supervision sessions ($n = 120$) compared to initial intake supervision sessions ($n = 40$).

2.2 Procedure

The agency held a 4-day workshop on Skill Driven Supervision (SDS) Training for the officers who volunteered to become coaches. The SDS training taught the officers how to use evidence-based practices (EBPs) by including training on elements of motivational interviewing (MI) and by translating the Risk-Need-Responsivity (RNR) Model and Core Correctional Practices (CCP) into concrete skills the officers could use during supervision sessions to address criminogenic needs (factors predictive of future recidivism) and roll with the resistance and elicit change talk from clients on his or her caseload. In addition, the agency allowed the research team to ask each officer who participated in the SDS training to complete a voluntary, anonymous, and confidential post-training survey. Specifically, before the last day of the 4-day SDS training, all officers received an email informing them that they would have the opportunity

to participate in a post-training survey after the final day of the SDS training on EBPs. On the final day of training, a researcher who is employed at Community Supervision and Corrections Department handed individual copies of the post-training survey to each officer. The post-training survey was administered via pencil and paper.

The envelopes containing the post-training survey packet materials for each officer had the officer's name on the front, and inside was the post-training survey. Each survey was assigned a unique code with a combination of both letters and numbers, which was generated by the research team to preserve confidentiality. This allowed the researchers to link officers' responses to the audio-recordings, but ensured that no one in the agency would be able to link any responses to an individual officer. A waiver of signed consent was approved by The University of Texas at El Paso's IRB to avoid introducing any identifying information that could link the officer to his or her survey answers. After reading the instructions, officers read the waiver of consent informing the officer that the survey is completely voluntary and that his or her answers would remain confidential. If the officer agreed to participate, he or she completed the post-training survey, and then the survey packets included a pre-stamped envelope addressed to the research team so that officers could mail the survey directly to the research team and his or her answers remained confidential.

2.3 Voluntary Confidential Post-Training Survey

The post-training survey collected multiple types of information. First, the survey collected demographic information. Second, each officer was asked about his or her perceptions of the usefulness, ease of use, and perceived success of using the EBPs taught during the SDS training. Third, the officer was asked about his or her perceived level of confidence using the EBPs taught during the SDS training if five different overwhelming situations occurred (e.g., a

client is disrespectful to me during the supervision session). Fourth, the officer was asked about their perceived level of skill proficiency using five different types of EBPs taught during the SDS training. Fifth, the officer was asked about his or her satisfaction with their job as a probation officer. Lastly, each officer was asked about his or her perception of his or her role as a probation officer, known as role orientation. Role orientation refers to whether the officer views his or her job as a probation officer as more of a social worker role, which focuses more on rehabilitation, a law enforcer role, which focuses on rule enforcement, or feels his or her role combines aspects of both a social worker and law enforcer. This post-training survey was part of the larger study that is currently in progress at this adult probation agency, and only one portion of the post-training survey, the scales on usefulness, ease of use, and perceived success and benefits of the SDS training, will be presented in the results. Therefore, each of the subscales for usefulness, ease of use, and perceived success are briefly discussed below. See Appendix A for the full version of the post-training survey.

2.3.1 Perceptions of Usefulness of Evidence-Based Practices

There were four questions on the post-training survey that evaluated the officer's perceptions of the usefulness of the evidence-based practices (EBPs) he or she just learned in the 4-day Skill Driven Supervision (SDS) training. The response options were strongly disagree, disagree, somewhat disagree, undecided/neutral, somewhat agree, agree, and strongly agree.

2.3.2 Perceptions of Ease of Use of Evidence-Based Practices

There were three questions on the post-training survey that evaluated the officer's perception of the ease of use of the EBPs described in the SDS training. The response options

were strongly disagree, disagree, somewhat disagree, undecided/neutral, somewhat agree, agree, and strongly agree.

2.3.3 Perceptions of Perceived Success, Effectiveness, and Potential Benefits of Evidence-Based Practices

There were four questions on the post-training survey that evaluated the officer's perception of the perceived success, effectiveness, and potential benefits of using the EBPs described in the SDS training. The response options were strongly disagree, disagree, somewhat disagree, undecided/neutral, somewhat agree, agree, and strongly agree.

2.4 Qualitative Coding of Audio-Recordings

First, research assistants used Express Scribe Transcription Software to transcribe each audio recording. Each audio-recording transcription was then double-checked for accuracy by a senior research assistant. See Appendix B for a detailed guide on how the research assistants were instructed to transcribe and double-check each audio recording. Next, hard copies of transcriptions were printed out for qualitative coding purposes. The qualitative coders were blind to whether the audio recording was recorded pre- or post-training. To qualitatively code each transcription, the coders first listened to the audio-recordings *without* coding for the officer's usage of EBPs and the offender's reactions. Instead, while listening to the audio recording for the first time, coders took notes on possible places where an EBP may have been used. Then, the coders listened to the audio recording a second time, and qualitatively coded each audio recording for different EBPs taught during the SDS training and the offender's reaction to the use of the EBP.

2.4.1 Criminogenic Need Areas Taught in Training

During the SDS training, officers learned about elements of motivational interviewing (MI), the Risk-Need-Responsivity (RNR) model of rehabilitation, and Core Correctional Practices (CCP). From RNR, the officers learned how to address criminogenic attitudes, which are attitudes supportive of nonconventional behavior (discussed in more depth below), and link those attitudes to the offender's behaviors, using a tool termed the cognitive model. The peer officer coaches in training learned about inquiring about the offender's risk factors during supervision sessions such as criminogenic attitudes, antisocial peers, family/marital, and substance abuse. Specifically, based on the criminogenic need areas addressed in training, the present study coded for employment/school, family/martial relationships, peer relationships, substance abuse, and criminogenic attitudes. Each of these criminogenic need areas that were coded for and are predictive of future criminal behavior are discussed in detail below.

Employment/School

The employment/school code was used when the officer elicited discussion with the probationer about their problems and satisfactions with work or school. This category includes the officer talking to the probationer about status of school/employment, school and/or job seeking, or satisfaction or problems with their job or school.

Family/Marital Relationships

The family/martial relationships code was used when the officer elicited discussion from the probationer about the probationer's relationships with his or her immediate family, or the probationer's relationships with his or her spouse, significant other, mother or father of child(ren), live in partner, or children.

Peer Relationships

The peer relationships code was used when the officer elicited discussion from the probationer about interpersonal associations with either pro-criminal peers or acquaintances, or promoted interpersonal associations with prosocial peers or acquaintances.

Substance Abuse

The substance abuse code was used when the officer elicited discussion from the probationer about substance abuse, dependency, treatment, or handling high-risk situations that involved substance abuse. Treatment could include joining Alcoholics Anonymous, getting a sponsor, or participating in outpatient drug and/or alcohol treatment.

Criminogenic Attitudes

The criminogenic attitude code was used when the offender expressed a criminogenic attitude, and the officer rolled with the probationer's resistance and seized the opportunity to engage the probationer in conversation about new prosocial ways of thinking, and worked towards helping the probationer develop discrepancy between the way the probationer is currently living his or her life and the probationer's life goals. For example, criminogenic attitudes can include showing disrespect for the law, showing a sense of privilege, rationalization of criminal behavior, unwillingness to take responsibility for his or her own actions, tendency to blame others, quickness to take offense, a willingness to prey on others, or confidence about his or her ability to evade typical negative outcome of crime. See Table 1 for examples of clients displaying different types of criminogenic attitudes.

2.4.2 Evidence-Based Skills Taught in Training

From Core Correctional Practices (CCP) the officers learned how to effectively use authority, how to model appropriate prosocial behavior for the probationer, how to effectively

reinforce prosocial behavior, how to effectively disapprove of antisocial behavior, how to use a collaborative approach to help the probationer problem solve, how to be an attentive listener, and how to engage the probationer in a discussion about the short-term and long-term benefits of engaging in prosocial behavior, or avoiding antisocial behavior. Lastly, during the training techniques were taught on motivational interviewing and taught the officers how to roll with resistance and elicit change talk from the probationer. Therefore, based on which skills were taught in the SDS training, the present study coded for four strategies, which included effective reinforcement/effective disapproval, problem solving, using community resources, and persuasion. Each of these evidence-based strategies is discussed in detail below. See Table 2 for examples of officers using the different types of evidence-based strategies.

Effective Reinforcement/Effective Disapproval

The effective reinforcement/effective disapproval code was used when the officer identifies a behavior the probationer does as negative or positive, and either reinforced positive prosocial behaviors, or discouraged antisocial/pro-criminal behavior.

Prosocial Modeling

The prosocial modeling code was used when the officer modeled/showed the offender how to handle a particular situation prosocially, rather than choosing to behave antisocially. See Table 2 for a concrete example of how an officer models how to think before acting for the probationer.

Problem Solving

The problem-solving code was used when the officer used a collaborative approach and helped the probationer identify a problem and adopt strategies to find alternative prosocial solutions. For example, the probationer may tell the officer that they have a stressful situation

approaching, and the officer may collaboratively problem solve with the offender on adopting new prosocial ways to cope with stress, rather than abusing drugs and alcohol. See Table 2 for a small portion of a problem-solving effort, where the officer engages the client in a conversation

Table 1

Examples of criminogenic attitudes observed in audio-recorded supervision sessions

Type of criminogenic attitude	Example quotation from supervision session
Minimize criminal behavior	<p>Client: ...was going to college, still smoking in college, whoop de doo, who doesn't smoke in college, but I was getting my stuff done, you know?</p> <p>Client: Um, I had made a bad choice to make some quick cash, and I was just in the wrong place at the wrong time</p> <p>Client: When I did something one time, it was—it was— kind of bad, you know. The DWI one time, bad—another—you know, another one, bad. You know driving, bad</p>
Rationalize criminal behavior	<p>Client: I told [the police officer] if I was speeding I was like really? I'm in a muscle car bro. I'm in a mustang it's kind of hard, you know what I mean?</p>
Confidence about his/her ability to evade negative outcome of crime	<p>Client: I was like, I can get away from these fools [referring to police officers], and that's why I ran.</p>
Willingness prey on others	<p>Officer: Do you agree with the statement "I am going to get you first, cause I know you are out to get me"?_</p> <p>Client: I've been through a lot of work situations like that where its like you know—I am trying to—I am trying to want to be ---so I am gonna go and talk to the boss before you know this, and you know, give them your idea, so I can, you know, get the credit for it.</p>

Table 2

Examples of evidence-based strategies used in audio-recorded supervision sessions

Evidence-based strategy	Example quotation from supervision session
Effective reinforcement	<p>Client: She was like “we want to offer you the job” and I am like—man, I couldn’t believe it.</p> <p>Officer: I am very proud of you, that’s great!</p>
Effective disapproval	<p>Officer: But you haven’t followed through on that either? We can’t go on indefinitely like this. Uh, we need to get into [class name] one way or another, sooner or later. Um, I am going to impress upon you today the need to go ahead and make those contacts and not wait</p>
Prosocial modeling	<p>Officer: But okay look—when I am checking out at [store name] I see all that—you know, stuff that they put there. I am impulsive, I can relate. We can have a basket full of stuff that we don’t need, and we still going to buy something on the way out. I am impulsive I understand that, but before I make the conscious decision to buy shoes, or pay my rent, I have a thought whether I acknowledge that thought or not, that thought is there. The wheels never stop turning. On the first of the month I have to figure out— am I going to pay my bills, or am I going to buy shoes? We have to slow down okay because if we slow down just for a little bit, and really stop to think, even if you stop and think about the consequences first, you are still stopping to think, okay. So impulse—I get it. I understand what you are saying, but it’s not as much of an impulse as you might think it is, because you are still thinking</p>
Problem solving	<p>Officer: So, do you have plan though to—to bring that subject up again to your roommate?</p> <p>Client: No, but this is the only place I got to stay you know?</p> <p>Officer: So he’s [referring to the roommate] is basically saying, “I am going to kick you out.”</p> <p>Client: Yeah.</p> <p>Officer: All right, so like you said, that is something that you really don’t have control over, right?</p> <p>Client: No I have no control over that.</p> <p>Officer: So falling off of that, I can give you some information about [name of assisted living facility]</p> <p>Client: You know, I am going to go to apartment finders.com too.</p> <p>Officer: Well another option is supervised living. They do have people that just pay out of pocket, and it is \$125 a week and that includes two meals a day</p> <p>Client: Right now I am paying about \$700 a month over there.</p> <p>Officer: See, you can actually save some money, but it’s not the ideal situation, but at least you have some options in case you loose your housing with him [referring to roommate]</p>
Community resources	<p>Officer: I know a lot of people around here like [name of counseling center]. It is located on [address], and I can give you the phone number. They do a wide range from mental health to substance abuse and so forth</p>
Persuasion	<p>Officer: If you successfully complete that class with our department, I will get you 30 hours of community supervision, all right?...If you manage to have perfect attendance, I will talk to my manager and I will tell her to give you an extra 10 hours, oka</p>

on how to fix a problem that he has been avoiding with his roommate, and not addressing this problem may lead to the client not having a place to live.

Using Community Resources

The community resources code was used when the officer provided the probationer with helpful information about community resources that might provide support for the probationer. Examples include information about self-help groups, naming an employment agency the probationer could use, giving assistance to overcome obstacles such as giving the probationer bus fare, or helping the probationer establish contact with social supports in the community.

Persuasion

The persuasion code was used when the officer talked to the probationer to persuade him or her to comply with the conditions of probation, to follow through with the officer's recommendations, or the officer engaged the offender in a discussion about the benefits of behaving prosocially, complying with the conditions of probation, or following through with the officer's recommendations.

2.4.3 Offender Reaction

Lastly, the three research assistants and the principal investigator qualitatively coded for the offender's reaction every time the officer addressed one of the content areas discussed above¹, or used one of the evidence-based strategies discussed above. The rationale for coding the offender's reaction to the officer using an EBP was selected based on motivational interviewing's (MI) relational perspective, which conceptualizes client responses as products of the relationship between the officer and client, and not representative of only the client's actions

¹ The offender reaction to the officer using an EBP practice was coded for all criminogenic need codes and all evidence-based skills *except* for criminogenic attitudes, which was coded differently. For criminogenic attitudes, the offender expressed a criminogenic attitude *first* and this was coded resistance, and then the officer's reaction to the criminogenic attitude was coded.

(Miller & Rollnick, 2002). Additionally, some officers did not have an active caseload of clients and therefore, in order to practice the EBPs he or she learned in SDS training, the officer borrowed a client from a different officer's caseload². Therefore, coding the offender's reaction to the officer using an EBP captures the officer-probationer relationship and the officer's ability to elicit change talk and roll with the resistance. If all offender reactions were coded, instances of change talk may be the result of the quality of relationship between the client and his or her assigned officer rather than being a measure of the officer's ability to roll with the resistance and elicit responses. Specifically, the coders coded for change talk, resistance, and follow/neutral. Each of these codes will be discussed in depth below. See Table 3 for examples of the offender reacting to the officer addressing a content area, or using an evidence-based strategy.

Change Talk

Change talk was coded when the officer helped to elicit a statement from the probationer that shows evidence that the probationer is moving forward in the direction of change in the target behavior. For example, the offender acknowledges they have a problem, takes responsibility for their behavior, expresses concern about his or her situation, and states a desire to change, or shows optimism towards behaving prosocially.

Resistance

Resistance was coded when the probationer makes a statement that is inconsistent with, or shows movement away from prosocial change. For example, the probationer could challenge what the officer is saying, question the expertise of the officer, give reasons why change is not possible, blame others for problems, minimize his or her situation, ignore the officer, or become hostile with the officer.

² This issue will be discussed in depth in the limitations section.

Follow/Neutral

Follow/neutral was coded when the probationer follows along with the officer without resisting or using change talk. Usually this is coded when the probationer replies to the officer using brief words, or phrases such as “Ok” or “I see.”

To summarize, qualitative coders coded for three main categories of information, which included criminogenic need areas, which are risk factors predictive of recidivism, that the officer addressed with the probationer during the supervision session, evidence-based skills the officer used with the probationer, and the offender’s reaction to when the officer addressed a criminogenic need, or used an evidence-based strategy. For more detailed information about the qualitative coding process and codes, see Appendix C for the full qualitative coding manual and coding worksheet used in the present study.

Table 3

Examples of types of client responses

Type of client response	Example quotation from supervision session
Change talk	Officer: The other area in your case plan as far as goals goes is peers...So tell me what you are working on towards that. Client: Um, I haven’t—I don’t really talk to any [of those friends] anymore...I kind of distanced myself from them, like the girl [name] who I used with, you know, she um—I just like don’t talk to her anymore. Really. Cause it’s just like I know that she is still doing that, and I don’t want to.
Resistance	Officer: Food stamps are there to assist people when they’re in time of need, right? Client: And look how many people take advantage of it.
Follow/neutral	Client: Okay. Client: I see. Client: Mmhhmm.

2.5 Reliability of Qualitative Coding

To address reliability of qualitative coding, the principal investigator was available to the research assistants the entire time they coded the transcriptions. When a coding decision was not concrete, and the code was not clear, the research assistant discussed the case with the principal investigator, and then concrete decision rules were created to address that type of ambiguous situation for future coding (see Appendix C for the full qualitative coding manual). In addition to discussing difficult coding decisions, the principal investigator randomly listened and re-coded 15 audio-recordings that were coded by the undergraduate research assistants.

In cases of disagreements, the principal investigator and the research assistants reached a consensus, and then a qualitative coding rule was created to address that situation and the qualitative coding manual and coding worksheet in Appendix C were continually revised to include the new concrete rules to address a variety of situations that arose. On 10 occasions raters had to reconcile in order to agree and the qualitative coding manual was revised. During each occasion, approximately two to three difficult cases were discussed. After all cases were coded and final qualitative rules were added to the qualitative coding manual, research assistants and the principal investigator went back and recoded cases according to the finalized coding manual rules and finalized coding worksheet.

2.6 Excluded Cases

As part of the officers' training to become coaches, the agency asked each officer to practice specific skill they learned in the SDS training, and submit these audio-recorded supervision sessions to a group of external coaches who were a group of researchers, to review and provide the peer coaches in training specific constructive feedback on their use of the skill,

or attempt to address a criminogenic need in the supervision session. Some officers did not realize that the agency wanted them to submit these recordings where they practiced one specific skill, in addition to recording one intake supervision session, and four regular supervision sessions. Therefore, of the 160 audio-recorded supervision sessions, 14 had to be excluded, because the officer was only practicing *one* specific skill for only a portion of a supervision session. Therefore, these 14 audio recordings were excluded from the final reported descriptive statistics and multilevel modeling analysis because they were not representative of how many EBPs the officers were truly using in a regular or intake supervision session after participating in training.

In addition to the 14 recordings that were excluded, two audio recordings from two officers had poor audio quality, and even after using Audacity noise reduction software, research assistants still could not hear the audio-recordings well enough to transcribe them. Therefore, those two audio-recordings were also excluded from both reported descriptive statistics and the multilevel modeling analysis. Lastly, nine audio recordings from three of the officers were removed from the multilevel model analysis³, because the officer either only recorded audio-recordings *prior* to participating in training, or only recorded audio-recordings one month *after* participating in training. As a result, the final sample used for the multilevel modeling analysis contained 133 audio-recorded supervision sessions, and the final sample for descriptive statistics included 142 audio-recorded supervision sessions, which included 70 pre-training recordings and 72 post-training recordings.

³ The nine audio-recordings from the three officers that either recorded audio-recordings only during pre- or post-training were included in descriptive statistical analyses reported in the results section, but these nine cases were removed from the multilevel analysis.

2.7 Analytical Approach

Six random effects multilevel models using maximum likelihood were used to analyze the data using Mplus Statistical Software (Muthén & Muthén, 1998-2011). This analytical approach was chosen because this model allows the researcher to model multiple sources of variability simultaneously. Additionally, it is important to analyze the number of EBPs used for all possible types of offenders in each supervision session individually, rather than aggregating the number of EBPs used in all supervision sessions for each officer into a mean. This is crucial because the offenders in each supervision session likely varied in a number of unmeasured dimensions besides the offender's resistance during the supervision session. Therefore, it would be inappropriate to aggregate the number of EBPs used across different probationers into an officer mean, because that artificially eliminates all of the unexplained offender variability from the model (Hoffman, 2015). Second, using this analytical approach can help to ameliorate deficiencies in statistical power, or problems related to not all officers audio-recording 10 supervision sessions as the agency requested (Baayen, Davidson, & Bates, 2008).

2.7.1. Independent and Dependent Variables

The predictor variables were: (a) whether the probationer was resistant, (b) whether the probationer used change talk, and (c) whether the audio-recorded supervision session was recorded prior to participation in training, or one month after participation in training.

Resistance was coded dichotomously where '1' meant the probationer made one or more resistant statements during the supervision session, and '0' meant the probationer did not make any resistant statements during the session. Change talk was dichotomized in the same way as resistance where '1' meant the probationer made one or more statements showing change talk

(i.e., movement towards prosocial change), and ‘0’ meant the probationer did not make any statements showing change talk during the supervision session.

Since criminogenic attitude codes were coded in a different direction than all other codes (i.e., offender expressed criminogenic attitude first and resistance was coded, and then the officer’s response to the criminogenic attitude was coded vs. for all other codes the officer’s use of an EBP was coded *first* and the offender’s response [i.e., change talk, resistance, or neutral] to the officer’s EBP use was coded), analyses are presented with criminogenic attitudes excluded and included. The last predictor variable (i.e., audio-recorded supervision session recorded either pre- or post-training) was coded dichotomously as well with ‘0’ meaning the audio-recorded session was recorded prior to participating in training, and ‘1’ meaning the audio-recorded session was recorded one month after participating in training.

Lastly, the criterion variable for all models was the number of evidence-based practices (EBPs) used during the supervision session. The number of evidence-based practices used per session included the number of times the officer addressed a criminogenic need, and/or the number of times the officer used a Core Correctional Practices (CCP) evidence-based skill. Therefore, the criterion variable was a count variable, and as a result, a generalized log-linear model was used, which follows the Poisson distribution. Therefore, all regression coefficients will be interpreted in expected log units ($\log[\mu]$).

2.7.2. Model Specification

For the model equations below y_{ip} is the expected log of the number of evidence-based practices of officer i for probationer p . In the Level 1 model, β_{0i} is the intercept for officer i , β_{1i} , β_{2i} are main effects, β_{3i} are two-way interactions, and e_{ip} is the prediction error (Level 1 residual) for officer i and probationer p . In the Level 2 model, γ_{00} is the fixed intercept, or the grand mean

across officers and probationers. $U_{oi(officer)}$ is the individual random effect for officer specific expected deviation from the grand mean across all officers and probationers. Model 1 is an intercept-only or null model, which assessed the baseline with which to assess fit of more complex models. Therefore, only the dependent variable, number of EBPs used during a supervision session was entered into the equation, as shown is Equation 1:

$$\text{Level 1: } y_{ip} = \beta_{oi} + e_{ip}$$

$$\text{Level 2: } \beta_{oi} = \gamma_{oo} + U_{oi(officer)} \quad (1)$$

Model 2 examined the main effect of resistance. Specifically, Model 2 examined the extent to which the number of EBPs used during each supervision session was associated with if the supervision session had a client that made one or more resistant statements, as shown is Equation 2:

$$\text{Level 1: } y_{ip} = \beta_{oi} + \beta_{li(resistant)} + e_{ip}$$

$$\text{Level 2: } \beta_{oi} = \gamma_{oo} + U_{oi(officer)} \quad (2)$$

Model 3 examined the main effect of change talk. Specifically, Model 3 examined the extent to which the number of EBPs used during each supervision session was associated with if the supervision session had a client that made one or more change talk statements, as shown in Equation 3:

$$\text{Level 1: } y_{ip} = \beta_{oi} + \beta_{li(change talk)} + e_{ip}$$

$$\text{Level 2: } \beta_{oi} = \gamma_{oo} + U_{oi(officer)} \quad (3)$$

Model 4 examined the main effect of participation in training. Specifically, Model 4 examined the extent to which the number of EBPs used during each supervision session changed if the supervision session was recorded before versus after participating in SDS training, as shown in Equation 4:

$$\text{Level 1: } y_{ip} = \beta_{oi} + \beta_{1i}(\text{pre- vs post}) + e_{ip}$$

$$\text{Level 2: } \beta_{oi} = \gamma_{oo} + U_{oi}(\text{officer}) \quad (4)$$

Model 5 examines a higher order interaction term. Specifically, Model 5 examined whether the number of EBPs used during supervision sessions with resistant probationers changed after participating in SDS training, as shown in Equation 5:

$$\text{Level 1: } y_{ip} = \beta_{oi} + \beta_{1i}(\text{pre versus post}) + \beta_{2i}(\text{resistant}) + \beta_{3i}(\text{resistant}) * (\text{pre- vs post}) + e_{ip}$$

$$\text{Level 2: } \beta_{oi} = \gamma_{oo} + U_{oi}(\text{officer}) \quad (5)$$

Model 6 examines a higher order interaction term. Specifically, Model 6 examined whether the number of EBPs used during supervision sessions with probationers who made change talk statements changed after participating in SDS training, as shown in Equation 6:

$$\text{Level 1: } y_{ip} = \beta_{oi} + \beta_{1i}(\text{pre versus post}) + \beta_{2i}(\text{change talk}) + \beta_{3i}(\text{change talk}) * (\text{pre- vs post}) + e_{ip}$$

$$\text{Level 2: } \beta_{oi} = \gamma_{oo} + U_{oi}(\text{officer}) \quad (6)$$

2.7.3. Intraclass Correlation Coefficient

Intraclass correlation coefficients (ICCs) are usually provided in multilevel modeling analyses for *continuous* data to signify the magnitude of the correlation in a hierarchical data set. Specifically, the ICC expresses how much variance is between-subjects versus the amount of variance within-subjects. For example, in the present study, the ICC would be an expression of within officer variance (i.e., between-subjects variance) versus the amount of variance within sessions (i.e., within-group variance). Mplus Statistical Software was used to analyze the data, and Mplus does not provide ICCs for count outcome data, because Mplus does not currently have the capacity to define a variance/residual variance for count variables (Muthen, 2008). Oliveira and colleagues (2016) outline a new method that utilizes SAS Statistical Software output to calculate specific parameter estimates needed to calculate closed forms of ICCs for

non-Gaussian outcomes, but these specific parameter estimates needed to calculate the ICC are not provided in Mplus output. Due to software limitations with Mplus, ICCs are not provided for the multilevel model analyses presented in the results section below.

Chapter 3: Results

3.1 Descriptive Statistics of Officers' Actions for Pre- and Post-Training Audio-Recordings

Before training, on average 5.52 ($SD = 3.33$) criminogenic need areas were addressed per session compared to 3.61 ($SD = 3.22$) criminogenic need areas addressed per session one month after training. Before training, on average 6.85 ($SD = 5.21$) evidence-based skills were used per session compared to 6.12 ($SD = 4.75$) evidence-based skills used per session post-training. See Figure 1 for a bar graph of the overall descriptive statistics for the number of criminogenic need areas addressed and the number of evidence-based skills used pre- and post-training. Additionally, see Table 4 for the total number of sessions where a criminogenic need was addressed or an evidence-based skill was used.

3.1.1 Criminogenic Need Areas Addressed

For both pre- and post-training audio-recorded supervision sessions, the most commonly addressed criminogenic need area was substance abuse followed by employment and family/martial. Similarly for both pre- and post-training, the least commonly addressed criminogenic need areas were prosocial influences and antisocial influences. See Figure 2 for a pictorial representation of the number of supervision sessions in which each criminogenic need area was addressed for both pre- and post-training audio-recorded supervision sessions.

Table 4

Descriptive Statistics for Criminogenic Needs, Evidence-Based Skills, Criminogenic Attitudes, and Offender Reactions

Overall	# of supervision sessions	
	Pre-Training ($n = 70$) $n(\text{min-max per session})$	Post-Training ($n = 72$) $n(\text{min-max per session})$
<i>Criminogenic Needs</i>	$M = 5.52, SD = 3.33 (0-15)$	$M = 3.61, SD = 3.22 (0-16)$
Substance Abuse	60 (0-5)	42 (0-8)
Employment	50 (0-3)	39 (0-4)
Family/Martial	44 (0-2)	31 (0-2)
Prosocial Influences	27 (0-3)	11 (0-3)
Antisocial Influences	30 (0-5)	10 (0-6)
<i>Evidence-Based Skills</i>	$M = 6.85, SD = 5.21 (0-23)$	$M = 6.12, SD = 4.75 (0-30)$
Effective reinforcement	66 (0-18)	68 (0-25)
Problem-solving	33 (0-12)	3 (0-4)
Community resources	15 (0-5)	8 (0-2)
Persuasian	11 (0-8)	32 (0-5)
Prosocial modeling	1 (0-1)	4 (0-1)
<i>Criminogenic Attitudes</i>		
Opportunities	15	14
No reaction	11 (0-3)	9 (0-4)
Opposed resistance	7 (0-3)	7 (0-4)
Used EBP	7 (0-12)	9 (0-10)
<i>Offender Reactions</i>		
Neutral	70 (2-30)	72 (1-29)
Change Talk	45 (0-14)	23 (0-17)
Resistance	10 (0-29)	10 (0-12)
Resistance (CrA)	15 (0-29)	17 (0-14)

Note: "CrA" signifies that the descriptive statistics results included criminogenic attitude codes.

Figure 1

Bar graph depicting the means and standard errors for criminogenic needs addressed per session, evidence-based skills used per session, and overall combined criminogenic needs addressed and evidence-based skills used per session

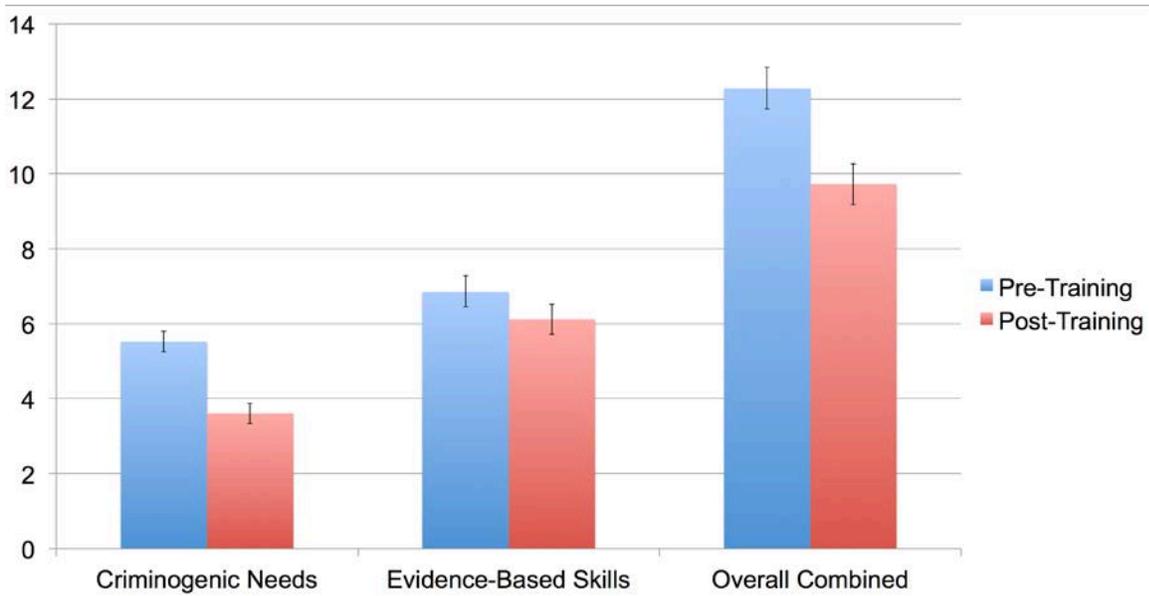
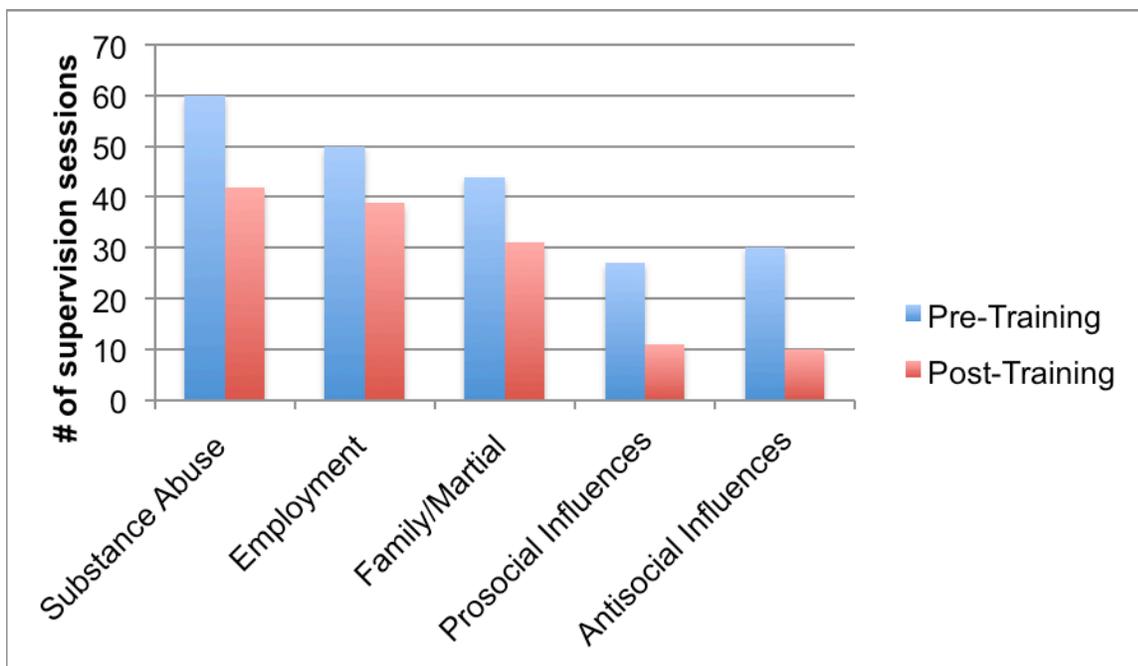


Figure 2

Bar graph depicting the # of supervision sessions for both pre-and post-training where each type of criminogenic need area was addressed one or more times ($n_{pre-training} = 70$; $n_{post-training} = 72$).



3.1.2 Evidence-Based Skills

Effective reinforcement was the most commonly used evidence-based skills for both pre- and post-training supervision sessions. For pre-training supervision sessions, the second most commonly used evidence-based skill was problem-solving, but for post-training supervision sessions, persuasion was the second most commonly used evidence-based skill. Furthermore, prosocial modeling was the least commonly used skill used for both pre- and post-training supervision sessions, but during post-training the number of sessions in which prosocial modeling was used increased from one supervision session before training to four supervision sessions after training. See Figure 3 for a bar graph that depicts the number of supervision sessions in which each evidence-based skill was used at least once.

3.2 Criminogenic Attitudes

Before participation in training there were 15 supervision sessions that had one or more criminogenic attitudes present. Within one supervision session, the number of criminogenic attitudes expressed ranged between 1 and 17. After participation in training there were 14 supervision sessions that had one or more criminogenic attitudes present. Within one supervision session, the number of criminogenic attitudes expressed ranged from 1 to 15. See Table 4 for a summary of the different types of reactions officers had to criminogenic attitudes.

3.3. Offender Reactions

When criminogenic attitude codes were excluded from analyses, there were 20 supervision sessions that had one or more instances of resistance. Ten of these supervision sessions were recorded before training and 10 were recorded after participation in training. With criminogenic attitude codes included, there were 32 supervision sessions that had one or more

instances of resistance. Fifteen of these supervision sessions were recorded before training and 17 supervision sessions were recorded one month after participation in training. See Figure 4 of a bar graph of different offender reactions during pre- and post-training, and then a category that includes criminogenic attitude resistance where the offender expressing a criminogenic attitude occurred first, and resistance was coded and then the research team coded for the officer's reaction to the offender's expression of the criminogenic attitude.

Figure 3

Bar graph depicting the # of supervision sessions for both pre-and post-training where each type of evidence-based skill was used one or more times ($n_{pre-training} = 70$; $n_{post-training} = 72$).

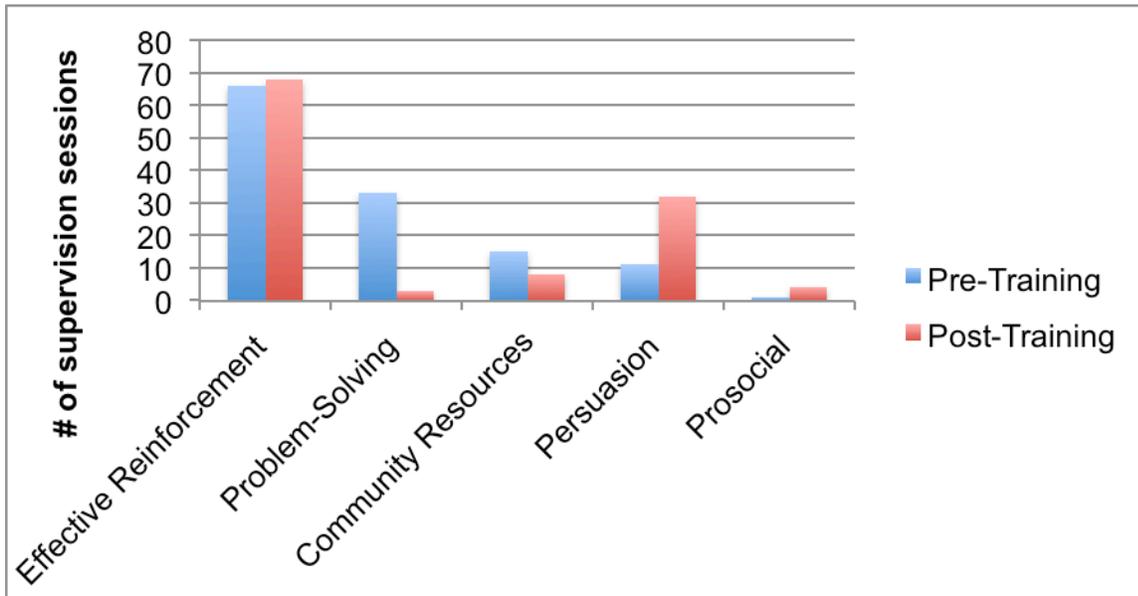
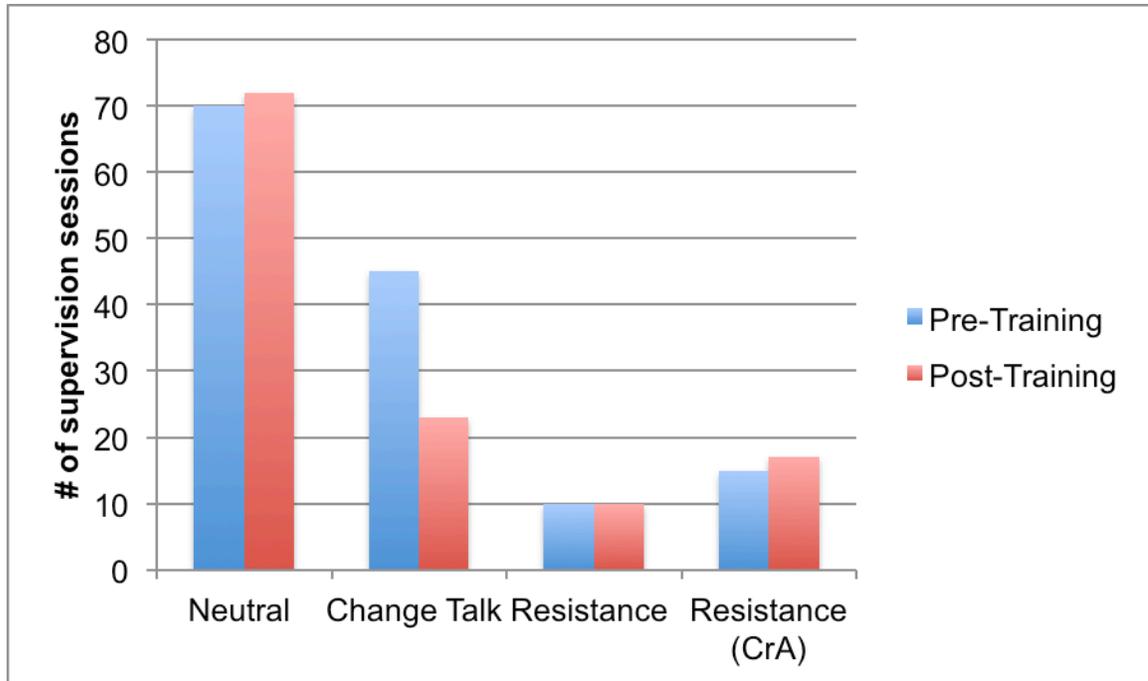


Figure 4

Bar graph depicting the # of supervision sessions for both pre-and post-training where each type of offender reaction was used one or more times ($n_{pre-training} = 70$; $n_{post-training} = 72$).



Note: “CrA” signifies that the descriptive statistics results included criminogenic attitude codes.

3.4 Multilevel Model Results

Table 5 provides the parameter estimates and fit statistics from each model with and without criminogenic attitude codes. Model 1 is an intercept-only or null model, which was significant and used to examine the baseline before fitting more complex models. The fixed intercept without criminogenic attitudes included was 2.32, which means that the expected log transformed number of evidence-based practices (EBPs) used for an average officer during an average supervision session was 2.32 EBPs, but officers in general varied significantly from the expected log transformed number of EBPs used (2.32) for an average officer during an average supervision session. The random intercept variance was 0.08, which suggests that 95% of the

sample would be expected to have an individual intercept between 1.75 and 2.88, 95% CI [1.75, 2.88], assuming an average supervision session with an average offender.

Model 2 included the main effect of probationer resistance, which was not significant when criminogenic attitude codes were removed from analyses, but was significant when criminogenic attitude codes were included in the model. As seen in Table 5, when criminogenic attitude codes were included in the model, the difference in the logs of expected counts for number of evidence-based practices (EBPs) used is expected to be 0.35 units higher for supervision sessions with a resistant offender ($\beta = 0.35, p < .001$).

Table 5

Parameters for Main Effects for Random Effects Multilevel Models

Parameter	Est	SE
<u>Model 1 (better fit):</u>	AIC = 908.551	BIC = 914.361
Null/intercept only/baseline	2.32**	0.08
<u>Model 1 with CrA:</u>	AIC = 947.399	BIC = 953.209
Null/intercept only/baseline	2.34**	0.08
<u>Model 2 (better fit):</u>	AIC = 908.264	BIC = 891.647
Main effect of resistance	0.11	0.16
<u>Model 2 with CrA:</u>	AIC = 914.734	BIC = 923.450
Main effect of resistance	0.35**	0.10
<u>Model 3 (better fit):</u>	AIC = 882.931	BIC = 914.361
Main effect of change talk	0.31*	0.10
<u>Model 3 with CrA:</u>	AIC = 920.513	BIC = 929.229
Main effect of change talk (CrA)	0.31*	0.10
<u>Model 4 (better fit):</u>	AIC = 885.622	BIC = 894.338
Main effect of pre-post	-0.27*	0.08
<u>Model 4 with CrA:</u>	AIC = 927.024	BIC = 935.739
Main effect of pre-post (CrA)	-0.25*	0.08

Note: * $p < .05$ ** $p < .001$; “with CrA” signifies the model results where criminogenic attitude codes were included in analyses.

Model 3 included the main effect of probationer change talk, which was significant when the model included and did not include criminogenic attitude codes. As seen in Table 5, when criminogenic attitude codes were *not* included in the model, the difference in the logs of expected counts for number of EBPs used is expected to be 0.31 units higher for supervision sessions where the officer was able to elicit change talk from the offender such that the offender showed one or more responses indicative of wanting to change antisocial behavior ($\beta = 0.31, p = .002$).

Model 4 included the main effect of pre- versus post-training, which was significant when the model included and did not include criminogenic attitudes. As shown in Table 5, when criminogenic attitude codes were not included in the model, the difference in the logs of expected counts for number of EBPs used is expected to be 0.25 units lower for supervision sessions that were recorded one month after participating in training on EBPs ($\beta = -0.25, p = .003$).

Model 5 included the 2-way interaction between probationer resistance \times pre- versus post-training. In order to capture the interaction between resistance/no resistance \times pre- versus post-training, three dummy coded variables were created crossing the two binary variables to form four categories. The reference group was sessions that occurred pre-training without a resistant offender. The three dummy variables included: (a) sessions that occurred pre-training with a resistant offender, (b) sessions that occurred post-training without a resistant offender, and (c) sessions that occurred post-training with a resistant offender. The model results with and without criminogenic attitude codes included are presented in Table 6. As shown in Table 6, the main effects of resistance and pre-post training were no longer significant. Instead, all three dummy coded interaction variables were significant when criminogenic attitude codes were

Table 6

Parameters for Two-Way Interactions for Random Effects Multilevel Models

Parameter	Est	SE
<u>Model 5 (better fit):</u>	AIC = 858.49	BIC = 878.82
Resist	-0.11	0.16
Time	-0.15	0.16
Pre \times <input type="checkbox"/> w/o Resist	Reference Group	
Pre \times w/Resist	-0.42*	0.17
Post \times w/o Resist	0.41*	0.14
Post \times w/Resist	0.52*	0.21
<u>Model 5 with CrA:</u>	AIC = 862.32	BIC = 879.75
Resist	-0.10	0.23
Time	-0.20	0.29
Pre \times <input type="checkbox"/> w/o Resist	Reference Group	
Pre \times w/Resist	0.07	0.26
Post \times <input type="checkbox"/> w/o Resist	--	--
Post \times w/Resist	0.49*	0.16
<u>Model 6 (better fit):</u>	AIC = 879.09	BIC = 899.43
Change talk	0.52*	0.15
Time	0.27	0.26
Pre \times <input type="checkbox"/> w/o Change	Reference Group	
Pre \times w/Change	0.13	0.20
Post \times w/o Change	-0.25*	0.10
Post \times w/Change	-0.04	0.15
<u>Model 6 with CrA:</u>	AIC = 910.85	BIC = 931.18
Change talk	0.61**	0.17
Time	0.28	0.27
Pre \times <input type="checkbox"/> w/o Change	Reference Group	
Pre \times w/Change	0.28	0.22
Post \times w/o Change	-0.28*	0.10
Post \times w/Change	-0.10	0.17

Note: * $p < .05$ ** $p < .001$; “with CrA” signifies the model results where criminogenic attitude codes were included in analyses.

removed from the model. It appears that the difference in the logs of expected counts of number of EBPs used is expected to be 0.42 units lower for sessions that occurred pre-training with an offender who responded with one or more resistant statements, 0.41 units higher for sessions that

occurred post-training without an offender who responded with one or more resistant statements, and 0.52 units higher for sessions that occurred post-training with an offender who responded with one or more resistant statements compared to sessions that occurred pre-training without an offender who responded with one or more resistant statements.

Notably, when including criminogenic attitude codes in Model 5, the main effect of resistance and time were not significant and all interaction terms were nonsignificant except for the dummy variable that captured sessions that occurred post-training with resistant clients, which was significant. Therefore as seen in Table 6, when criminogenic attitude codes were included, the difference in the logs of expected counts of number of EBPs used is expected to be 0.49 units higher for sessions that occurred post-training with resistant offenders compared to sessions that occurred pre-training with non-resistant offenders.

Model 6 included the 2-way interaction between probationer change talk \times pre- versus post-training. In order to capture the interaction between change talk/no change talk \times pre- versus post-training, three dummy coded variables were created crossing the two binary variables to form four categories. The reference group was sessions that occurred pre-training with an offender that did not show change talk. The three dummy variables included: (a) sessions that occurred pre-training with an offender who responded using change talk one or more times, (b) sessions that occurred post-training with an offender who did not use change talk, and (c) sessions that occurred post-training with an offender who did use change talk one or more times. Model 6 results with and without criminogenic attitude codes included are presented in Table 6. As shown in Table 6, with and without criminogenic attitude codes included in the model, the main effect of change talk was significant, but the main effect pre- vs. post-training was no longer significant. In addition, all interaction terms were non-significant

except for the interaction term that captured sessions that occurred post-training with offender that officers were unable to elicit any change talk from. It appears that the difference in the logs of expected counts of number of EBPs used is expected to be 0.28 units lower for sessions recorded post-training that officers were unable to elicit change talk from the offender compared to sessions recorded pre-training that officers were unable to elicit change talk from the offender.

The Akaike information criterion (AIC) and Bayesian information criterion (BIC) were used to assess model fit. The AIC and BIC model fit indices assess model fit according to the model's degrees of freedom, and smaller valued AIC and BIC indices indicate a better fitting model (Hoffman & Rovine, 2007). All models that excluded criminogenic attitude codes were a better fit for the data. Therefore, the discussion on model fit will include the six models without criminogenic attitude codes included. Adding in the main effect of resistance to the null model resulted in a small improvement in model fit ($AIC_{Model\#1} = 908.551$; $BIC_{Model\#1} = 914.361$ vs. $AIC_{Model\#2} = 908.264$; $BIC_{Model\#2} = 891.647$). The same small improvement of model fit occurred when the main effect change talk was added to the null model ($AIC_{Model\#3} = 882.931$; $BIC_{Model\#3} = 914.361$). Adding the main effect of pre-versus post-training to the null model resulted in a much bigger improvement in model fit ($AIC_{Model\#1} = 908.551$; $BIC_{Model\#1} = 914.361$ versus $AIC_{Model\#4} = 885.622$; $BIC_{Model\#4} = 894.338$). The biggest improvement in model fit and the best fitting model was Model 5, which included the main effects of resistance and pre- vs. post-training, and the two-way interaction between resistance/no resistance \times pre- vs. post-training ($AIC_{Model\#5} = 858.49$; $BIC_{Model\#5} = 878.82$). Model 6, which included the main effects of change talk and pre- vs. post-training, and the two-way interaction between change talk/no change talk \times pre- vs. post-training, resulted in improvement of model fit compared to Model 1,

Model 2 and Model 3, but was not a better fitting model compared to Model 5 ($AIC_{\text{Model\#6}} = 879.09$; $BIC_{\text{Model\#6}} = 899.43$).

3.5 Results From Voluntary Post-Training Survey

All officers anonymously self-reported positive perceptions on two of the items, which included ‘EBPs I learned in SDS training can improve my work effectiveness’ and ‘EBPs I learned in SDS training will be useful for my job.’ On the other two items, ‘EBPs I learned in SDS training can improve my work performance’ and ‘will improve my work productivity,’ not all, but the majority of officers reported positive perceptions.⁴

More negative and undecided perceptions were reported for ease of use of the EBPs he or she learned in the SDS training. The majority of officers were undecided or reported negative perceptions, and reported that he or she thought using the EBPs learned in the SDS training would be extremely time consuming and would be difficult to do.

All officers reported positive perceptions on three items of the perceived success/benefits subscale, which included that he or she would recommend that using the EBPs taught in training are important to use, that it was a good decision spending the time and effort to learn about the EBPs in the training, and reported he or she thought the EBPs taught in training were valuable to him or her. Interestingly, on the fourth item of the perceived success/benefits subscale, most officers were either undecided or reported negative perceptions that he or she would see a reduction in recidivism on his or her *own* caseload if the officer used the EBPs during supervision sessions.

⁴ Due to the small sample size ($N = 18$), and to avoid the potential for any one officer to be identified, exact numbers or percentages are not specifically given for the survey items.

Chapter 4: Discussion

The use of internal peer coaches to help with successful implementation in community corrections is becoming a popular means of helping to improve sustainability of implementing evidence-based practices (EBPs; Alexander, 2011; Mathews, 2015). Many packaged training programs used in corrections now even have a coaching component included (e.g., Strategic Training Initiative in Community Supervision [STICS], Bonta et al., 2013). With the increasing use of internal peer coaches in corrections implementation efforts, there is a need to determine whether internal peer coaches practice what they will be preaching to their fellow officer colleagues. The present study helped fill this gap in the literature by investigating whether probation officer peer coaches' usage of EBPs in supervision sessions was associated with working with offenders who reacted to the officer's use of EBPs with resistance (i.e., responses in the direction away from the change behavior) versus sessions where the offender expressed change talk (i.e., responses in the direction towards the prosocial change behavior), and whether those two associations changed one month after participating in the agency's training on using EBPs during supervision sessions with offenders. First, across both pre- versus post-training audio-recorded supervision sessions, probation officer coaches' usage of EBPs was similar in meetings where the offender responded to the officer with one or more resistant statements as compared to sessions with no resistance. Second, without taking into account which sessions were recorded pre- versus post-training, during audio-recorded supervision sessions where the officer was successful at eliciting at least one statement of change talk from the offender, probation officer coaches significantly used more EBPs. Third, in sessions where the offender responded to the officer with one or more resistant statements, probation officer coaches used significantly *fewer* EBPs before training than they did *after* participating in training. Fourth,

during audio-recorded supervision sessions where the officer was unable to elicit change talk from the offender, coaches used significantly *fewer* EBPs after participating in training compared to the number of EBPs the officer originally used in sessions recorded *prior* to participating in training where similarly the officer was unable to elicit change talk from the offender. These main findings will be discussed in depth below.

4.1 Probation Officer Coaches With Resistant Offenders Before Versus After Training

During audio-recorded supervision sessions recorded *before* participating in training where the offender responded to the officer with at least one resistant statement, probation officer coaches used significantly fewer evidence-based practices (EBPs) than they did after participating in training. Using fewer EBPs with offenders who respond with one or more resistant statements is inconsistent with the guidelines set forth by motivational interviewing (MI) and the Risk-Need-Responsivity (RNR) model, but *is* consistent with prior research on other officers' usage of EBPs with resistant clientele (Schwartz et al., 2017; Viglione et al., 2017). Specifically, MI conceptualizes resistance as an index of the officer-offender relationship, and views resistant reactions as a product of the relationship rather than individual behavior of the offender (Miller & Rollnick, 2002). Therefore, what the officer says during sessions contributes to client resistance, and MI teaches officers to identify resistance, and then after identification, the officer should be signaled to tailor his or her use of evidence-based skills accordingly in order to re-establish consonance in the relationship. Therefore, if the officer addresses a criminogenic need area or uses an evidence-based skill and is faced with resistance, but does not tailor his or her use of the evidence-based skill, this could continue to affect the amount of resistance from the client. Furthermore, MI views conversations between the officer and offender as a continuum that varies between consonant and dissonant (Miller & Rollnick,

2002). Conversations between the officer and offender should notify the officer of how his or her relationship with the offender is fluctuating along the continuum of consonant to dissonant, and the offender's resistant behavior is a signal of dissonance in the relationship. As a result, it appears before participation in training, officers may have viewed resistance as an individual's behavior, but after participation in training the officers' may now realize that resistance signals dissonance in the relationship, and is now offering an opportunity for the officer to respond differently and tailor his or her strategy to using an evidence-based skill to target the resistant response and increase the consonance in the relationship where the officer and client are working towards common goals (Miller & Rollnick, 2002). Furthermore, this is inconsistent with RNR, because RNR's Responsivity principle states that the probation officer should tailor his or her approach to match the individual characteristics of the offender (Andrews & Bonta 2010). Resistance usually occurs more frequently with higher risk offenders, and therefore using fewer EBPs would be doing a disservice to helping the higher risk offender on the path towards leading a prosocial life.

Notably, officer's interpretation of resistant behavior as an individual behavior, and not as an index of the officer-offender relationship is common among officers from prior research (e.g., Schwartz, Alexander, Lau, Holloway, & Aalsma, 2017; Viglione et al., 2017). In general, prior research has found that the majority of officers use confrontational approaches with clients, and confrontational approaches elicit more resistance from the offender (Schwartz et al., 2017; Viglione et al., 2017). Therefore, it is unsurprising that before participating in training, the coaches in the present study had a difficult time using EBPs with clients who exhibited one or more resistant reactions to the officer's attempts at using EBPs.

Before participation in training, the officers from the present study may have viewed the client's behavior as defensive and resistant and used fewer EBPs, but after participating in training, officers are now using more EBPs during audio-recorded supervision sessions where the offender responded to the officer with at least one resistant statement. This suggests that after training when officers addressed a criminogenic need area or used an evidence-based skill and were faced with a resistant reaction from the offender, the officers may have been doing a better job at identifying this resistance, and recognizing resistance as a function of the officer-offender relationship, and doing a better job at tailoring his or her strategy to using an evidence-based skill instead of using fewer EBPs. Therefore, the present study's results are consistent with prior research and support the idea that improvement can be achieved through training (Smith et al., 2012). Specifically, training on EBPs can help to inform probation officers that resistance should not be viewed negatively, but rather offers an opportunity to tailor his or her use of EBPs and help the relationship fluctuate back to consonance rather than dissonance. This could help probation officers gain a relational view of resistance and see resistance as a product of his or her relationship with the client rather than thinking resistance is only the product of the individual.

4.2 Probation Officers who Were Unable to Elicit Change Talk From his/her Clients

As previously stated, EBPs should be used with all clients, but the present study found that supervision sessions audio-recorded after participation in training where the officer was unable to successfully elicit change talk from the offender, coaches used significantly fewer EBPs compared to supervision sessions audio-recorded before participating in training among the same type of client (where the officer was unable to elicit change talk from the offender). This could mean that the client only responded neutrally, the client was already compliant with

change, or the client was very resistant, and the officer was unable to effectively use EBPs to elicit change talk from the offender. In either of the above scenarios, this is concerning and suggests that participating in an initial training on using EBPs may not be enough, and as the implementation science literature states, it may be especially important to offer follow-up support after the initial training (Alexander, 2011; Fixsen et al., 2009; Mathews, 2015). This may be especially important, because from the results it seems that the officers were more deliberately using evidence-based skills with resistant clients, but either officers may be having difficulties eliciting change talk from clients who respond with resistance, or officers may not realize the importance of using evidence-based skills with *all* clients (i.e., clients who respond neutrally). Therefore, officers may need to practice tailoring addressing criminogenic needs or using evidence-based skills with clients who respond with resistance, or officers may need coaches to point out opportunities the officer may have to use EBPs with clients who do not respond with resistance or change talk. For example, criminogenic needs are still important to address and evidence-based skills, such as effective reinforcement, are still important to use with all types of offenders, because addressing criminogenic needs, even for clients who do not respond with resistance, is predictive of reduced recidivism rates (Andrews & Bonta, 2010). For example, the present study's descriptive statistics showed that addressing criminogenic needs decreased numerically after participation in training, but notably, this relationship between addressing criminogenic needs before versus after participation in training could not be subjected to inferential statistical testing due to the low base rate of addressing some criminogenic needs (e.g., antisocial influences).

It is important to note that these audio-recorded supervision sessions with offenders were selected according to the discretion of the officer. Therefore, these recordings may not be

representative of what the officer is doing with all clients overall. Officers may have recorded more resistant clients on his or her caseload after participating in training so that he or she would have the opportunity to practice specific evidence-based skills. This is encouraging to think that officers may have been excited to practice new skills he or she is learning in training, but concerning if criminogenic needs and evidence-based skills are only being used more with clients who respond with resistance. This issue will be addressed more fully in the limitations section.

4.3 Limitation and Future Directions

There were several limitations that should be borne in mind when interpreting the results. First, because highly motivated officers do not appear to be the typical officers observed in prior research, it is often difficult to find officers who would like to take on extra responsibilities, and become coaches. Therefore, notably the sample size is small, but this is realistic, because in an agency of 125 officers, there are not many officers who would want to volunteer to coach other officers. Therefore, replication of these results with multiple agencies is a recommended step for future research.

Second, the agency had two officers who volunteered to be coaches, and recorded pre-training recordings, but then decided that taking on this extra responsibility of training to be a coach was too overwhelming, and decided they no longer wanted to be a coach. Additionally, one officer did not record pre-training recordings, but became a coach later on and only recorded post-training recordings. This resulted in nine supervision sessions recorded either only during pre-training or only during post-training that had to be excluded from analyses. Therefore, it is a notable limitation that we do not know if the officers who were removed would have been systematically different than those that recorded both pre-training and post-training recordings.

Third, a 1-month follow-up is a relatively short follow-up period, and does not allow for measurement of long-term sustainability of implemented EBPs. Although limited, this does give researchers and agencies information about the process of implementation and *when* behavior change begins to occur. Also, the present study presented preliminary results and we will also be collecting data at longer-term follow-ups (i.e., 6-month and 12-month follow-ups) after the officers receive one-on-one feedback and coaching from a team of researchers.

Fourth, offenders in each recorded supervision sessions likely differed from one another on important variables that the present study was unable to account for. For example, it is important to know if officers are matching the intensity of services with the risk (to reoffend) level of the probationer, in line with the evidence-based RNR Model's Risk Principle. Although the research team did not have access to the probationer's level of risk, the present study tried to account for level of risk during analyses by factoring in the amount of resistance shown during each supervision session, which is an indirect measurement of level of risk to reoffend, because theoretically resistance is shown at higher rates with high-risk offenders. Future research may consider accounting for additional variables at the offender level.

Fifth, in order to improve reliability, the coding manual used for qualitative coding was created with the idea of having concrete rules. Therefore, research assistants were qualitatively coding for either the presence or absence of a specific evidence-based strategy or criminogenic need area covered, and did not code for the 'level of quality' in the officer's usage of the EBP, which is much more subjective. Therefore, future research will delve into 'level of quality' of the EBPs used, and research assistants will rate how consistent the officer was at using the evidence-based skill, as it is described by research.

Sixth, a few of the coaches did not have an active caseload of clients he or she supervised. Therefore, some officers borrowed clients from another officer's caseload in order to practice the skills learned in training and fulfill the agency's requirement of recording 10 supervision sessions. One of the rationales behind coding the offender's reaction to the officer using an evidence-based skill (except for criminogenic attitudes which were coded differently) was because of officers borrowing other officer's clients. Officer-offender relationships are important in both Core Correctional Practices and motivational interviewing, and therefore may have impacted the results, because borrowing clients from other officers means that change talk and resistance may have occurred because of the client's relationship with his or her primary probation officer.

Lastly, officers had full discretion on which supervision sessions with which clients to record. Therefore, these audio-recorded supervision sessions may not be representative of how many EBPs the officer truly uses with clients on his or her caseload. Some officers could have chosen easier clients, knowing his or her boss may be reviewing the recordings, or some officers could have chosen more difficult clients, knowing that more difficult clients may provide more opportunities to use the evidence-based skills he or she learned in training. For example, the descriptive statistics showed that change talk occurred in 45 supervision sessions recorded before training and only occurred in 23 sessions after training. Therefore, this could be due to officers choosing more cooperative and motivated clients prior to training, and choosing more difficult clients after training knowing he or she may have more opportunities to roll with the resistance, elicit change talk, and/or use evidence-based skills.

4.4 Implications for Policy and Practice

The present study's results can be distilled into three recommendations for this agency and other agencies attempting to use internal peer coaching to improve sustainability of evidence-based practices. First, these officers who volunteered to mentor their colleagues are likely the most highly motivated officers at their agency, and these officers are using significantly fewer evidence-based practices with clients who did not show any reactions indicative of prosocial change. Therefore, it appears that it is important to address all three components of the Staff Competency driver (highly motivated officers, an initial training, and follow-up support [e.g., coaching]), because there is still improvement to be made with *highly* motivated officers who have participated in an initial training.

Second, it appears that officers used fewer EBPs with resistant offenders before participating in training, and this may have occurred because officers may not have viewed resistance as a product of his or her relationship with the client before training, and may have viewed resistance as the individual's fault. Therefore, teaching motivational interviewing's relational perspective on how to view resistance as a product of the officer-offender relationship and roll with the resistance may need to be a critical component of training programs at correctional agencies. It appears that training *can* help officers work better with resistant clients, evidenced by the significant increase in the number of EBPs used during sessions with resistant clients one month after training. This may have occurred because the officer learned evidence-based tools during training on how to effectively handle resistance.

Third, a major part of the coaching component is turning in audio-recorded supervision sessions so that the officer can receive feedback on his or her usage of EBPs during supervision sessions with offenders from a coach. The officers who volunteered to coach his or her

colleagues on using EBPs are highly motivated, but *still* had difficulties turning in the number of audio-recorded supervision sessions requested by the agency (most officers turned in only 8 of the 10 requested recordings). This is concerning, because these recordings are for the external coaches to use to provide feedback to these internal peer officer coaches in training, and later in the implementation process, other officers will be asked to provide these recordings of sessions to the internal peer coaches. Therefore, agencies should consider larger incentives or implementing procedures to assist officers in turning in the full number of recorded supervision sessions. Without turning in the recorded sessions, the third part of the Staff Competency driver, coaching, is impossible to conquer.

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Appendix A

Section 1: Basic Information

Instructions: Please complete the following questions about you. Be as accurate as possible.

1. What is your gender?
 - a. Male
 - b. Female
 - c. Prefer not to say

2. What is your current age? _____

3. Which of the following best describes your ethnicity?
 - a. White/Caucasian
 - b. Black/African-American
 - c. Hispanic/Latino
 - d. Asian/Pacific Islander
 - e. American Indian/Alaska Native
 - f. Other:_____

4. What is the highest level of education you have attained?
 - a. High school/GED
 - b. Associate's degree
 - c. Bachelor's degree
 - d. Master's degree or higher
 - e. Other:_____

5. What field was your most recent degree in?
 - a. Criminal justice
 - b. Social work
 - c. Psychology
 - d. Other:_____

6. How many years in total have you worked in the corrections field (in any position)?

7. Do you currently have a caseload?
 - a. No
 - b. Yes

- If yes, approximately how many probationers are typically on your caseload? _____

8. Do you have a specialty caseload? (No/Yes)
If yes, please select the caseload:
 - a. Alcohol Monitoring

- b. Domestic Violence
- c. DWI Court
- d. Field Maintenance
- e. High Risk
- f. Mental Health
- g. SAFPF
- h. Sex Offender
- i. SMART
- j. Substance Abuse
- k. Youthful Offender

9. Which of following evidence-based trainings have you previously attended in the last 10-years? (circle all that apply)

- a. Training on evidence-based risk assessment
- b. Training on relationship quality during supervision sessions
- c. Any training similar to what you have just learned in the Skill Driven Supervision Training
- d. Other (specify) _____

Section 2: Officer Perceptions on SDS

Instructions: Below are 12 statements about your feelings and perceptions of the training on Skill Driven Supervision (SDS) you just completed. Please read each statement and respond using the scale below each statement. Please choose a number on the scale between 1 and 7 with “1” meaning you “strongly disagree” and “7” meaning you “strongly agree” with the statement.

1. Using the techniques described in the SDS training during supervision sessions can improve my work performance.

1	2	3	4	5	6	7
Strongly disagree						Strongly agree

2. Using the techniques described in the SDS training during supervision sessions will **not** improve my work productivity.

1	2	3	4	5	6	7
Strongly disagree						Strongly agree

3. Using the techniques described in the SDS training during supervision sessions can improve my work effectiveness.

1	2	3	4	5	6	7
Strongly disagree						Strongly agree

4. I think using the techniques described in the SDS training will be useful for my job.

1	2	3	4	5	6	7
Strongly disagree						Strongly agree

5. It will be extremely time consuming to use the techniques described in the SDS training during my supervision sessions.

1	2	3	4	5	6	7
Strongly disagree						Strongly agree

6. I feel that using the techniques described in the SDS training will inconvenience my everyday work.

Strongly
disagree

Strongly
agree

Section 3: Appraisal Inventory

Instructions: A number of situations are described below that can make it difficult for you to establish a dual role relationship with your client and cause difficulties using the cognitive-behavioral intervention skills you learned in the [Name of County]-Skill Driven Supervision (SDS) training during supervision sessions. Please rate in each of the blanks in the column how certain you are that you can get yourself to use the intervention skills listed below that you learned in the training.

Rate your degree of confidence by recording a number from 0 to 100 using the scale given below:

0	10	20	30	40	50	60	70	80	90	100
Not confident					Somewhat confident					Highly confident

I can establish a dual role relationship with my clients and use cognitive-behavioral techniques when...

- | | Confidence
(0-100) |
|---|-----------------------|
| 1. The number of clients on my caseload overwhelms me. | _____ |
| 2. I have too much paperwork to handle at work. | _____ |
| 3. I have so much to do and not enough time to do it in. | _____ |
| 4. I have a client who is disrespectful to me during the supervision session. | _____ |
| 5. I have concerns for my personal safety during a supervision session. | _____ |

Section 4: Skill Proficiency

Instructions: The five statements below describe some of the intervention skills you learned during your training on the [Name of County]- Skill Driven Supervision (SDS). Please read the statement and then below the statement, rank how competent you feel in performing that skill during supervision sessions now that you have gone through the training. The options are: awareness, able, advanced, and expert. The definitions of each of these are below.

1. **Aware:** You are aware that you learned the skill, but not ready to use the skill in supervision sessions
2. **Able:** You can use the skill, but have much difficulty using the skill correctly
3. **Advanced:** You have the ability to use the skill with no difficulties
4. **Expert:** You are able to teach or coach other officers on how to correctly use the skill

1. Using motivational interviewing during supervision sessions

1	2	3	4
Aware	Able	Advanced	Expert

2. Establishing a dual role relationship with my clients

1	2	3	4
Aware	Able	Advanced	Expert

3. Identifying problematic behavioral targets to focus on changing during the client's time on probation

1	2	3	4
Aware	Able	Advanced	Expert

4. Effectively using positive reinforcement to teach the client new behaviors

1	2	3	4
Aware	Able	Advanced	Expert

5. Effectively using authority by delivering encouraging messages that acknowledge the positive, and providing guidance towards compliance in needed areas

1	2	3	4
Aware	Able	Advanced	Expert

Section 5: Job Satisfaction

Instructions: The 6 statements below are about your current feelings towards your job as a probation officer. Please read the 6 statements below, and choose a number on the scale between 1 and 7 with “1” meaning you “strongly disagree” and “7” meaning you “strongly agree” with the statement.

1. Overall I am satisfied with my job.

1	2	3	4	5	6	7
Strongly disagree						Strongly agree

2. This job measures up to the goals I had in mind for myself when looking for employment.

1	2	3	4	5	6	7
Strongly disagree						Strongly agree

3. I would say that I enjoy the work I do here.

1	2	3	4	5	6	7
Strongly disagree						Strongly agree

4. My satisfaction with my job here is sufficient that I have no immediate plans to look for another job elsewhere.

1	2	3	4	5	6	7
Strongly disagree						Strongly agree

5. Overall, I am satisfied with the salary associated with my job.

1	2	3	4	5	6	7
Strongly disagree						Strongly agree

6. Overall, I am satisfied with the benefit package associated with my job.

1	2	3	4	5	6	7
Strongly disagree						Strongly agree

Section 6: RCC

Introduction

Two officers have been discussing their work with a new officer in training. During the conversation, the following statements were made. Please show how much you relate to each statement pair by placing a mark above one of the seven points between them.

Instructions

On the following pages you will see two statements an officer might make about a particular aspect of his or her job. You will notice that the two statements stress different values in an officer's role. You can agree with one of the statements completely, while disagreeing with the other completely, or you can agree with each to some degree. If you agree partially with both statements, you can select a point between the two that shows you agree with some characteristics of one and some of the other statement.

With this in mind, please rate yourself on the spectrum. If you completely agree with the statement on the left, but completely disagree with the statement on the right, place a check over point -3. If you completely agree with the statement on the right, but completely disagree with the statement on the left, place a check over point +3.

If you agree with both statements, but agree with the statement on one side more than the other, place the check closer to the side you agree with more. And, if you agree with both statements equally, place a check over point 0.

1.

A person *decides* to break the law due to psychological pressures and social circumstances.

A person is predisposed to break the law by things he cannot control. These include genetics, psychological, and social circumstances.

-3 -2 -1 0 +1 +2 +3

2.

The causes of crime are internal to the offender. These include personality and choice.

~~The causes of crime are internal to the offender. These include things like neighborhood poverty and lack of resources.~~

-3 -2 -1 0 +1 +2 +3

3.

In the first meetings, you should find how the offender feels about his past behaviors. Then talk about where they've gotten him, and ask if he would behave differently now.

The first meeting with an offender should focus on confidence that he can adjust, while making realistic, clear goals. You should avoid talking about the past.

-3 -2 -1 0 +1 +2 +3

4.

As problems come up during supervision, it is useful to point out bad decisions and selfish behavior. You can compare these to past problems the offender had.

Encourage the offender to reach reasonable goals, and help him to be strong in handling himself. Try not to talk about past behavior unless he suggests it.

-3 -2 -1 0 +1 +2 +3

5.
Always remember that each offender has the potential to violate. Even so, treat them in a way that does not decrease your confidence that you can help other offenders.

Concentrate on helping the offender develop work and adjustment skills. Increase his confidence that he can live in an acceptable way. Although rule violations are possible, avoid bringing up your concerns about them.

-3 -2 -1 0 +1 +2 +3

6.
Within ten years of release, more offenders will commit another crime than those who become productive people.

If you do good work helping him reform his behavior, you can help reduce an offender's chances of committing another crime.

-3 -2 -1 0 +1 +2 +3

7.
We can classify criminals into types because they identify tendencies to behave in certain ways. An offender's type should be considered in supervision.

Crime type is a label that does not necessarily reflect the many personalities and problems that cause crime.

-3 -2 -1 0 +1 +2 +3

8.
Seeing the offender through his type of

It is important to get involved in a case, because

offense(s) keeps the officer from getting too involved with him as an individual. It enables the officer to be more effective in relating to him.

the more we do, the more we see the offender as an individual with needs we can attend.

-3 -2 -1 0 +1 +2 +3

9.
It is best to approach supervision by asking: What problems seem to be a behavior pattern we should work on?

It is best to approach the supervision relationship by asking: what are the offender's needs we can help with?

-3 -2 -1 0 +1 +2 +3

10.
Narcotics users are very difficult to deal with, because so many seem to enjoy using drugs.

Even though narcotics users are a problem, modern treatments can help. We need to determine which program fits the parolee's needs - i.e., tailor a program for him.

-3 -2 -1 0 +1 +2 +3

11.
We should focus on keeping the community safe from offenders' potential to commit crimes.

If we focus on rehabilitation, we will not need to focus on protecting the community. It will naturally follow.

-3 -2 -1 0 +1 +2 +3

12.
It is most important to

Main focus should be on

maintain control. This is done through monitoring and other frequent contacts with the offender.

providing services to the offender, such as counseling, job skills, psychological referrals and assistance. Control measures should be minimal.

-3 -2 -1 0 +1 +2 +3

13.
If an offender has a hard time being accepted by others, it is probably a sign that he's not ready to reenter society.

When an offender feels rejected, it adds to the sense of alienation and anti-social thinking. This makes him more of a criminal.

-3 -2 -1 0 +1 +2 +3

14.
At best, probation and parole should help the offender lead a law abiding life. This is so that he can continue good behavior without supervision.

The offender should gain insight into himself and his behavior during probation and parole. This happens while working with officers through problems.

-3 -2 -1 0 +1 +2 +3

15.
Rules and regulations help to prevent offenders from doing things that are dangerous. This is because they require officers' approval for requests.

Requiring officer approval for requests makes the rules a learning tool. This helps the officer and offender discuss the pros and cons of important decisions.

-3 -2 -1 0 +1 +2 +3

16.
The rules of supervision should be viewed as the

Rules and regulations should be used as a guide,

lowest acceptable standards of living in society.

giving the offender experience living in an orderly, acceptable manner. But these rules may reflect a middle-class morality not all offenders agree with.

-3 -2 -1 0 +1 +2 +3

17.
Rules and regulations help to evaluate if the offender plans to be a useful citizen.

Rules help to check if the offender can fulfill important responsibilities to himself and others.

-3 -2 -1 0 +1 +2 +3

18.
Curfews and structure are helpful because they can keep offenders from being places at times they are likely to get into trouble.

Curfews and structure are extra restrictions, and show offenders you do not think they can take care of themselves. Restrictions should exist only if the offenders' behavior warrants them.

-3 -2 -1 0 +1 +2 +3

19.

The rules and regulations are an offender's contract with the community. Breaking the contract should mean punishment.

Rules and Regulations are a contract, and should be interpreted in context with the offender. If we have the option to punish, we should consider the offender's intent and needs.

-3 -2 -1 0 +1 +2 +3

20.

Rules and regulations should be enforced the same for everyone without exception. Otherwise, offenders might think you are using favoritism.

Even if they suspect favoritism at first, offenders will come to respect the officer's judgment over time.

-3 -2 -1 0 +1 +2 +3

21.

No matter what he says, the best way to guess an offender's current and future behavior is by watching how well he follows rules.

What the offender says is important in evaluating if he can live up to his responsibilities.

-3 -2 -1 0 +1 +2 +3

22.

An offender misses two appointments in a row without telling you about them beforehand. Even if he had been doing well before, you should request sanctions.

If an offender has been doing well but misses two consecutive appointments, you should find out what has been going on before requesting sanctions.

-3 -2 -1 0 +1 +2 +3

23.

Officers should not work extra hours unless they are being paid by the State for overtime.

Officers should deal with the offender's needs and provide services, even if it means working extra hours without pay.

-3 -2 -1 0 +1 +2 +3

24.

Schedules can and should be adjusted so that paperwork can be completed, and offenders' needs can be addressed in that time frame.

There is not enough time in the present day pay period to complete paperwork and offender services.

-3

-2

-1

0

+1

+2

+3

Appendix B

SDS Training Transcription Guidelines

Updated August 1, 2016

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I. Skill Driven Supervision Transcription Guidelines

Updated April 6, 2016

(Before beginning to transcribe, review these instructions)

Before you begin. Before you begin transcribing an audio-recording, watch the Trello tutorial, get accustomed to Trello, and make sure you have access to Dr. Eno Louden's shared Trello Board. Be extremely organized and keep good and descriptive notes in Trello.

Work flow. If you start to transcribe a recording, you need to be the one to finish the recording. If you started transcribing a recording, do not move on to transcribe another recording until you are finished transcribing the first interview you already began transcribing.

You will keep track of your progress using Trello, as described below.

Types of meetings. You will encounter two types of recordings: initial interviews with offenders and regular follow-up supervision sessions with offenders. Initial interviews with offenders are approximately 45 minutes and regular sessions are approximately 15 minutes. Therefore, if your hours are coming to an end, you may not want to start transcribing an initial interview.

- **How to tell if a recording is an initial interview or a regular session:** The last letter of the recording ID number will be either "I" for initial sessions or "R" for regular sessions.

Partial meetings. If the recording has 2 parts the recording has a 'pt1' and 'pt2' at the end of the audio file's name. Even though these are separate audio-recordings, they should be transcribed in one word document rather than having separate word documents for part 1 and part 2 of the recording.

Equipment Needed:

1. Ear buds or ear phones
2. Foot pedal
3. Confidential laptop (**Important:** Confidential laptops MAY NOT be connected to the internet and must have the Wifi turned OFF).

Rules for Audio Recordings with Noise Reduction. If you need to increase the quality of the audio recording using Audacity, **do not delete the original file.** Save the audio recording with noise reduction with a '_NR' extension (e.g., P001PRAR_NR). Then, take the original file without noise reduction (e.g., P001PRAR) and put the audio file in the folder titled 'Original Files Before Noise Reduction.' Now, you will never again use the original file without noise reduction and will now treat the file with noise reduction (e.g., P001PRAR_NR) as the new audio file. Also, make a note in Trello indicating that you used Audacity, and that the file with noise reduction will now be used instead of the original file.

II. Steps to Transcribe an Audio-Recording

1. Open Trello on one of the lab desktop computers. Use Trello to assign yourself to a recording. You can do this by dragging the recording's name in Trello (Trello refers to this as a 'card') to one of the 'lists' (e.g., being transcribed). Then open the 'card' and click on 'members.' Your name should pop up and you can select your name to indicate that you are assigning yourself to transcribe this audio recording.
2. Log on to the laptop (Mac1, Mac2, Dell1, or Dell2). Once the laptop is logged on, make sure the wifi is disconnected before proceeding.
3. Open up 'Express Scribe.' This program is the icon with a small recorder.
4. Then, open up the folder on the C drive named 'Skill Driven Supervision Data.' To open the C drive on dell laptops, open file folders and click on C drive. For Mac laptops, C drive is located in top right corner of desktop.
5. You will see four folders that correspond to the 5 headings in Trello. The folders will include: 1) Needs Transcription, 2) Being transcribed, 3) Needs double checking, 4) Being double checked, 5) Done: Ready for coding
6. Select the recording you assigned yourself to in Trello and drag it to the appropriate folder on the laptop.
7. Then drag the audio file into 'Express Scribe.'
8. Next, open a blank word document and save it as 'the same name as the audio file.' For example, if you are transcribing the audio file P023PRAR. The word document should be saved 'P023PRAR.'
9. At the top of the word document you will include a header with the officer's identification code (the one on the audio file) and add page numbers to the document header. See the template on page 10.
10. Hook up the foot pedal through the USB port.
11. First, begin to listen to the recording without transcribing. Listen to enough of the recording that you are able to identify who is the 'officer' and who is the 'probationer' in the recording.
12. After you have identified and are able to distinguish between the two speakers in the recording, you can proceed with transcribing.
13. If your hours end while you are in the middle of transcribing, make a note in Trello where you left off so that you can finish transcribing that audio recording next time you are in the lab.
14. When you are completely done transcribing, use Trello to drag the 'card' for that recording into the 'Needs double checking' folder.

15. When you double check a recording, move the recording from the 'Needs double checking' folder in Trello into the 'Being double checked' folder in Trello and on the laptop.
16. Finally, when you have double checked the transcription, move the 'card' into the 'Done: Ready for coding' folder in Trello and the laptop.
17. As you move the 'card' in Trello, also move the recording into the corresponding folder on the laptop as well. For example, when you are done transcribing a recording, move the recording file to 'Needs double checking' folder on the Mac laptop.

III. General Rules

1. You cannot double check a recording you transcribed. Someone else has to double check the transcription.
2. The main goal of double checking is to check for accuracy of the transcription.
3. You may only have 1 transcription in progress on each laptop. In other words, you cannot have 2 transcriptions in progress on the same laptop.

IV. Using Trello

1. If you have a question you can tag a person in the 'comments' section in Trello with a '@' sign and Trello will send the person you tagged an email.
2. Also use the 'comments' section to leave notes for yourself, or if the recording has something unusual you are unsure about, or have questions about.

V. How to Use the Foot Pedal

1. The sides of the foot pedal allow you to fast forward or rewind the audio recording, and the middle of the foot pedal allows you to tap your foot to stop and play the recording. This will leave your hands free to type out the transcription in the word document you opened.

VI. 'While you are Transcribing' Rules

1. Every time the speaker switches start a new line with an asterisk in the word document. Do not indent (see page 9 for an example template). For example:

*Officer:
*Client:
 - a. As shown above, there should be an empty line between each speaker. For more details on how to format the word document with the transcription see page 9.
2. In some recordings there may be multiple people talking. If a third person begins to talk start a new line the same way (*) and label that person (*3rd person: [type what 3rd person says]).
3. If the probation officer or offender say something confidential, redact that information. For example, redact names and addresses. If you redact confidential information include brackets that include information on what you redacted. For example:
 - a. *Officer: [Offender's name] have you been hanging out with your old friends?
 - b. *Client: Yes, we were hanging around on [street name] and decided to break into a house.

VII. Example of Word Document Transcription Template

P001PRAR

*Officer: How have you been doing [Offender's name]?

*Client: Eh, not too well. I can't make new friends so me and my old friend [friend's name] robbed [store name] and stole a bunch of electronics to sell later.

*Officer: Where have you been staying?

*Client: At my cousin's house on [street name].

*Officer:

*Client:

*Officer:

*Client:

*Officer:

*Client:

*Officer:

*Client:

*3rd person:

*Officer2:

VIII. Tips for Transcription

1. If the audio is not great, try uploading to audacity to see if the quality improves. If the quality does not improve by just uploading it, try following the procedures for noise reduction. Handout of procedures is on the RA's office board.
2. Put (inaudible) every time something is unclear. Never omit/skip information.
3. Give clarification where necessary. For example: Mh-huh (Yes), Mh-Mh (No).
4. Using symbols can be very helpful.
 - a. (-) For interruptions in speech
 - b. (...) For pauses
 - c. ("...") Quotation marks when Client paraphrases or mimics
 - d. (,) and (.) Use Commas and periods where necessary.
5. Go back every now and then and follow along while listening. It is the best way to make sure that what you wrote resembles the audio.

Happy Transcribing ☺

Appendix C

SDS TRAINING STUDY QUALITATIVE CODING MANUAL

(Kang & Eno Louden, *Updated on February 26th, 2017*)

Portions of these procedures were adapted from those of

Eno-Louden & Skeem (2004),

Bonta, Hanson, Seto, & Coles (2000),

Miller (2000), and Benjamin (various)

Materials you Need for Qualitative Coding

1. Highlighter
2. Pencil with eraser
3. Coding worksheet
4. A copy of the SDS Training Qualitative Coding Manual
5. Hard copy of transcription
6. External hard drive with audio-recordings
7. Ear phones
8. Extra paper or a notebook to write down additional notes on questions you have about qualitative coding

Step-by-Step Directions for Coding

1. First, pick a hard copy transcription to code. Then, assign yourself to the audio-recording on Trello and then move the card in Trello to the “being coded” area. Then, get an external hard drive so you can find the audio-recording that matches the hard copy transcription.
2. When you plug in the external hard drive to the computer, make sure the Internet on the computer is turned off.
3. First, listen to the audio-recording while reading along using the hard copy of the transcription, and do not code, but it is helpful to make notes on the transcription with a pencil indicating areas in which you think a code needs to be coded so that the second time around you can pay more attention to those portions of the transcription.
 - a. Therefore, you should be actively listening during the first round, and taking notes, but not coding. You can note possible codes you think may apply, but do not actually code.
4. Then, listen to the audio-recording a second time, and code officer content codes, officer strategy codes, and offender reaction codes with a pencil using pages 3 to 9 of this coding manual. You also should underline content with a pencil to help you remember what content you thought justified the code you wrote on the transcription.
5. After you have gone through the recording a second time and coded for content the officer addresses, strategies the officer uses, and the offender’s reaction to the officer in pencil, go back through the hard copy of the transcription (you do not need to listen to the audio-recording again), and make it more clear using a highlighter what content in the transcription justifies the code.
6. Then, take a blank coding worksheet, and go through the hard copy of the transcription (you do not need to listen to the recording a 3rd time) and use the *tally area* (marked with

“→”) on the coding worksheet to tally up which content areas the officer address, what strategies the officer uses, and how the offender reacts to the officer addressing the content areas, and using strategies.

7. After you have tallied up the codes on the coding worksheet, count the tally marks, and put a numeric number indicating the amount of time the officer addressed the content area, used strategies, and how the offender reacted.
8. At the very end, use the “Final Coding Summary Counts” box and add up the total number of officer’s behaviors you coded and the offender’s behaviors you coded. You should have the same amount of officer codes as offender codes. If you do not have the same number of codes for the officer and offender, that means that you forgot to code the offender’s reaction or something the officer did.
9. When you have successfully filled out the coding worksheet, put it in the “Needs to be Entered into SPSS” folder.
10. Lastly, move the card in Trello to the “done with coding” area.

General Rules

1. Especially for your first 15 interviews you code, make sure you ask me questions, and take notes to document what questions you have on coding.
2. Do not start coding an intake interview unless you have time to finish it (intake interviews are usually an hour long).
3. After you listen to the recording the first time through and take notes, it is helpful to review the coding manual codes before listening a second time and coding the recording.
4. Every time you code for an officer addressing a content area, or using strategies, you must code an offender’s reaction (i.e., change talk, resist, follow/neutral). Therefore, you cannot code an officer code without coding how the offender reacted.
 - a. In other words, for every officer code, there should be a corresponding offender code based on how the offender reacted to the officer addressing a content area or using a specific strategy. In the same way, you cannot code an offender code without coding an officer code. Therefore, the offender’s behavior in general is not coded, but instead, you are coding the offender’s reaction to the officer’s attempts at addressing content areas and using strategies.
5. If the offender just answers the officer’s question using information, but does not actually express evidence of moving forward in the direction of change in the target behavior, code “Fo” for follow/neutral offender response.
6. Code a content area or strategy an officer uses if the officer *actively* tried to either address the content area (e.g., asked the offender about their substance use), or use a strategy. Meaning, still code an officer addressing a content area or using a strategy even if their effort isn’t quality or the technical ‘right’ way to do it.
 - a. In other words, you are coding for the officer trying to use evidence-based practices, not how good they are at actually accomplishing it.
7. Do not code a strategy, or information about the same community resource multiple times if there is a long section about one strategy being used to solve *one* problem (‘PS1’ or ‘PS2’), or giving the offender *one* resource (‘CR’). Examples are below.
 - a. For example, if the officer uses problem solving, and it takes multiple pages of discussion to solve the problem, only code “PS1 or PS2” once for that entire section where they solved *one* problem. If they solve another problem in addition

- to the first problem already coded, code the second problem-solving portion with a “PS1 or PS2” code.
- b. For example, if the offender expresses change talk in response to the officer asking the offender about substance abuse, code “Ch” for change talk one time for that one conversation.
 - i. Bottom line, do not code the same code multiple times for the same conversation about *one* resource or *one* situation.
 - c. For example, if the officer tries to address two different types of problems that come up when the offender is trying not to relapse into using a substance again. You should code both of the two different problems with two “PS1” or “PS2” codes. An example of this is when the offender has two different triggers that may cause them to relapse.
 - i. But if the officer is trying to address the same problem that comes up with substance abuse for 5 pages, only code “PS1” or “PS2” once.
8. As previously discussed, at times there are multiple pages where the officer and offender discuss the same content area (e.g., substance abuse), or many pages with one strategy being used for one situation. When you go back and highlight and underline with your pencil, only highlight/underline enough to justify the code for the officer and offender’s response. You do not need to highlight the entire conversation that spans multiple pages.
 - a. This is not to say to zone out when the offender goes on about a content area you have already coded, because pay careful attention, because within that section where the offender discusses substance abuse for multiple pages, you may find other codes such as “ER” (i.e., effective reinforcement), “CrA1” (i.e., criminogenic attitudes), or “Rm” (i.e., remind).
9. Sometimes there is a case manager in the supervision session. Only code for what the officer and offender do, do not code for what the case manager does and how the offender reacts to what the case manager does.

Overview

Directions. For each audio-taped interview, coders will follow the two steps below:

1. Listen to the audio-recording on one of the three laptops or an external hard drive containing confidential data without coding anything.
2. Listen to the audio-recording again, using the guidelines below to code for within-session behavior. After coding each recording on the hard copy of the transcription, fill out a coding worksheet for each audio-recording.

General Instructions

For the following categories, you will count the number of times 1) a specific content area is addressed by the probation officer (PO), 2) a specific strategy was used by the PO, and 3) the offender's specific response to the officer during the supervision session.

1. Probation Officer

a. You will be coding for the content the officer addresses during the supervision session:

- **Content** (i.e., factors predictive of criminal behavior)
 - Employment/School (Em)
 - Family/Martial Relationships (Fa)
 - Peer Relationships (P+ or P-)
 - Substance Abuse (SA)
 - Criminogenic Attitudes (CrA1, CrA2, or CrA3)

b. You will be coding for the different strategies the probation officer uses during the supervision session to change the probationer's behavior. The coding domains are as follow:

- **Strategies, Skills, & Techniques to Change Probationer Behavior**
 - Modeling Prosocial Behavior (PM)
 - Effective reinforcement or effective disapproval (ER)
 - Problem-solving (PS1 or PS2)
 - Using community resources (CR)
 - Threatening (Th)
 - Persuasion (Pe)
 - Remind (Rm)

2. Offender/Probationer

b. You will also be coding for the offender's behaviors.

- Change Talk (Ch)
- Resist (Rs)
- Follow/Neutral (Fo)

I. Content Coding

Directions. For content coding, you are coding whether or not the topics below were addressed by the PO during the segment.

Criminogenic Needs

Note: The probationers' actual needs, problems, and issues need to be mentioned and addressed to merit a code.

- In intake interviews, only code for criminogenic need content areas (e.g., substance abuse) if they discuss the criminogenic need in present day. Do not code for when they ask for the history of criminogenic need content areas.
- For intake interviews, code for the content area if the officer asks the offender about the content area in the present day during the intake interview. When the offender offers information, remember to code "Fo" (i.e., follow/neutral offender reaction) if they aren't actually showing change, but instead giving the officer the information they requested.

1. *Employment/School (Em):* Discussion related to probationer's problems or satisfactions associated with work. This category includes job-seeking, means of increasing income via employment, satisfactions/problems with the job, etc. If the probationer attends school, code discussion of problems or satisfaction associated with that here.

Ex: *PO: How has your job search been going? Have you been getting job applications in?

RULE: Code separate "Em" codes for the officer engaging the client in conversation about: (a) Job/school seeking, (b) Inquiring about the status of employment/school, (c) frustrations/problems with the job or school, (d) Problems with teachers, coworker, administrators, or boss relationships.

- ***Possibility of 8 codes.***

2. *Family/Marital (Fa):* Discussion of relationship with spouse (including common-law or live-in partner), children, parents, siblings and more distant relatives. Discussion of plans for marriage/parenthood is included.

Ex: *PO: How is your relationship with your wife going?

RULE: Code separate "Fa" codes for the officer engaging the client in conversation about: (a) Immediate family, and (b) Spousal/girlfriend/boyfriend/fiancé relationships/baby's father (even if they are not together).

- ***Possibility of 2 codes.***

3. *Companions/Criminal friends (P+ or P-):* This sections probes two different types of interpersonal associations that may influence criminal behavior. First, there are companions who can have both positive (P+) and negative (P-) influences on behavior and not necessarily be criminal. These are associates who either hinder prosocial behavior or tempt or create stresses that lead to criminal actions. For example, associating with noncriminal alcoholics or a partner with a serious mental illness can add personal stress, interfere with self-control and provide opportunities to engage in behaviors that lead to crime. Some noncriminal

associates may support the offender's rationalizations and antisocial attitudes.

- Code whether associates are a positive influence (e.g., warm, caring noncriminal individuals that encourage prosocial values and self-control) or a negative influence.
- Criminal friends are broadly defined and include acquaintances who are currently involved in crime or who have engaged in crime during the past three years. Ex-offenders who have been crime free for at least three years are treated as noncriminal and scored under Companions (+/-).
- If the type of associate (criminal or noncriminal) is unknown, mark "?" in column.
Ex: *PO: Are you still hanging out with Jim, your friend with the criminal record?

RULE: Code every time a positive or negative acquaintance or friend is discussed.

4. *Substance abuse (SA)*: Anything related to the probationer's substance abuse, dependency, and treatment.

Ex: *PO: How's AA going? What are you learning in there? Is this helping you?

RULE: Code separate "SA" codes for the officer engaging the client in conversation about: (a) Usage of illegal substances or alcohol (code for usage of alcohol and then code again for usage of an illegal substance), (b) Feelings/frustrations/difficulties with sobriety, (c) Sponsors/AA meetings/Substance abuse treatment (e.g., what they learned from substance abuse treatment, or what difficulties the client has obtaining a sponsor), and (d) What the client is doing to stay sober/handling thoughts related to addiction/handling high-risk situations where there is temptation to use.

○ ***Possibility of 8 codes***

5. *Criminogenic Attitudes (CrA)*: Discussions of the appropriateness/inappropriateness of attitudes supportive of criminal conduct. Based on existing scales and treatment programs for criminogenic attitudes and thinking (see Mandracchia, Morgan, Garos, and Garland, 2007-quoted below in several definitions; Knight et al., 2006); McGuire, Hatcher et al., 2001) several domains "count." These are:

- Generalized antisocial orientation- showing disrespect for the law; rejecting traditional values and prosocial life (e.g., work, family, community engagement)
- Entitlement- a sense of ownership and privilege; feeling the world owes special consideration; egocentric preoccupation with the self
- Justification – AKA rationalizations, neutralizations. Tendency to minimize the seriousness of antisocial behavior and justify these actions because of external or extenuating circumstances. Or belief that criminal acts are no different than similar acts committed every day by others who don't get caught.
- Personal irresponsibility – unwillingness to accept behavior for actions (whether criminal or not) and tendency to blame others

- Power orientation – need for power and to control or manipulate others
- Interpersonal hostility- quickness to take offense; angry and cynical attitudes about others
- Lack of empathy – coldheartedness about others; minimization of victims’ distress; willingness to prey on others
- Cognitive immaturity/impulsivity – disregarding thoughts that deter from crime, confidence about ability to evade typical negative outcome of crime; self pitying thoughts (it sucks to be me); black and white thinking/generalizations
 - Racist, sexist attitudes

→There are three levels of codes for criminogenic attitudes, based on the POs’ reaction to the expression of the attitude:

A. The probationer expresses a criminogenic attitude, and the PO ignores it or otherwise doesn’t react (e.g., changes the subject, focuses on something else). (*CrA1*)

Ex: *Probationer: I got busted for possession...that stuff should be legalized.

*PO: You wouldn’t be here if it were legal.

B. The probationer expresses a criminogenic attitude and the PO briefly expresses disapproval. (*CrA2*)

Ex: *Probationer: I got busted for possession...that stuff should be legalized.

*PO: Don’t say stuff like that to me, I’m your PO.

C. The probationer expresses a criminogenic attitude and the PO engages him or her in a discussion of the attitude and its inappropriateness. (*CrA3*)

Ex: *Probationer: I got busted for possession...that stuff should be legalized.

*PO: It’s the law, and you’re on probation. Does thinking that way help or hurt you in trying to get off probation early?

• **To help determine which level of code to use, ask yourself these three questions:**

1. Was there an expression of a criminogenic attitude (not just resistance)?

- If so, you would code at least a level 1. (*CrA1*)

2. Did the PO react to the attitude?

- If so, you would code at least a level 2. (*CrA2*)

3. Did the PO focus on the attitude? The PO does not have to name the attitude, but should focus on the construct (e.g., irresponsibility) that is being expressed.

- If so, you could code a level 3. (*CrA3*)

- When a criminogenic attitude is present you code resist “Rs” for the offender’s behavior and then code how the officer addresses the criminogenic attitude using the coding manual (i.e., CrA1, CrA2, or CrA3).
- Criminogenic attitudes are difficult to spot. Listen carefully and familiarize yourself with what constitutes a “criminal attitude” and keep a careful eye out to spot criminogenic attitudes. This is the one code that is not explicit. For all other content areas, the officer asks a question, and explicitly uses the name of the content area (e.g., how are your relationships with your family—you would code “Fa”), but you will not see this with criminogenic needs. Usually when it gets coded the offender is answering a question that the officer asked, and then in the offender’s response, the offender expresses a criminogenic attitude when answering a question, or telling a story.
 - For example, the officer will ask, “Have you used any illicit substances,” so you will code “SA” for substance abuse, which is very explicit, but the same explicit asking will not occur for criminogenic attitudes. It is helpful the first time around if you notice something that could be a criminogenic attitude, make a small note or underline it so that when you listen to the recording a second time, and code, you can look more carefully into those portions you thought may be the offender expressing a criminogenic attitude.

II. Probation Officer Strategies

Directions. Code these if the PO uses or mentions using one of these strategies.

1. *Prosocial modeling (PM):* Modeling prosocial behavior involves the PO demonstrating how to handle a particular situation (e.g., “If I become frustrated, I count to 10 and I take a few deep breaths like this...”).

2. *Effective reinforcement or effective disapproval (ER):* Providing feedback involves identifying behavior as positive or negative and reinforcing prosocial behavior (e.g., “way to go!”) and ignoring or discouraging antisocial behavior (e.g., “Do you really think that was the best way to handle it?”). Note that some sort of behavior must be identified before it is rewarded or punished (e.g., “You’re not doing well on probation” needs to be linked with “you’re not going to appointments,” etc.). Note that, unlike persuasion, reinforcement typically involves a behavior that already has occurred.

- Code for effective reinforcement and effective disapproval (“ER”) multiple times even if they use “ER” multiple times for the *same* situation. In other words, code for ***all*** instances of “ER.”
 1. Do not code “ER” if the officer is saying “good” and reinforcing the behavior of someone else.
 - a. For example:
 - i. **Client:** My mom is supportive of my sobriety.
 - ii. **PO:** Good! Good!
 - b. For example:
 - i. **Client:** I get paid \$15 an hour.
 - ii. **PO:** That is wonderful! (referring to the pay)
 2. To code “ER” for effective reinforcement ask yourself if the officer is saying “great job!” or “wonderful,” or “good!” to reinforce prosocial behavior that the client did in the past, or something the client said that is prosocial or antisocial. If the answer to this question is “yes,” then code for effective reinforcement (“ER”).
 - a. For example:
 - i. **PO:** And you really do have a good set of tools here (referring to client’s arsenal of tools)
 - b. For example:
 - i. **Client:** I resisted the urge to use even though I really wanted to.
 - ii. **PO:** You should be very proud of yourself!
- You can code “ER” for effective reinforcement more than once in the same paragraph IF the officer is reinforcing two separate behaviors.
 - c. For example, if the officer tells the client he or she did a great job on finding a new job AND then also says great job on finding a AA sponsor in the same paragraph. You would code “ER” twice in the same paragraph.
- Do not code “ER” for the officer being appreciative of the client allowing them to record the supervision session. Only code “ER” for effective reinforcement when the officer is reinforcing prosocial behavior, or effectively disapproving of antisocial behavior.

3. *Problem solving (PS)*: Collaborating and contracting to overcome obstacles and achieve goals. Problem solving consists of the following identifiable components:

- Identifying the problem –discussing a problem and identifying obstacles to solving it. For example, after inviting a probationer to discuss a problem with medication compliance, the PO may discover that the probationer finds the side effects of the prescribed medication intolerable.
- Adopting strategies and tasks – discussing what needs to be done to solve the problem, generating alternative solutions for doing so, and settling upon a set of tasks required to achieve goals. This strategy is agreed to by both parties. For example, after discussing and exploring solutions, a PO and probationer may agree to jointly request a medication change, comply with the new prescription for at least two weeks, and then reassess the plan.
- Collaboration – Both tasks above are accomplished via a **two-way** discussion where the probationer is provided with voice to state his/her views and is treated with respect (even if the two parties disagree). Problem solving is a collaborative venture and not the PO saying to the probationer that something is a problem and to try doing X or Y and see what happens.
- We code problem solving at two levels. Code *PS1* if only the first two components of problem solving are present (identifying the problem, adopting strategies and task). Code *PS2* if all three components (including collaboration) are present.

Ex: *PO: I see that you seem to get in trouble a lot when you hang out at the bar.
What do you think?

*Probationer: Yeah, I get drunk and lose my temper.

*PO: How can we help you not to get in those situations?

*Probationer: I don't know...I guess just not go there anymore.

*PO: Would you have a problem not going to the bar?

*Probationer: Maybe...it's just habit.

*PO: What if you tried taking a different route home from work so you don't pass it?

*Probationer: That might work...

*PO: So, do we have a deal to do this?

4. *Using community resources (CR)*: Providing information about community resources that might provide support to the probationer. A *CR* is defined broadly as any agency or service in the community that can be a source of support to the probationer. Formal agencies are one type of *CR*; more informal types are self-help groups like AA or even family members, teachers, employers, etc., who can be engaged to support the probationer in pursuing prosocial activities.

CR does NOT include a probation officers' (a) monitoring of, or addressing compliance with, conditions of probation that require the probationer to participate in services (see below), or (b) providing services, unless the service offered is not directly tied to supervision (e.g., providing food for a needy probationer). **CR also does NOT** include simply mentioning or listing resources in the community.

Code *CR* to describe the PO's degree of involvement and the name of the resource.

a. Concrete Examples of Community Resources

- Naming a resource (i.e., "Have you tried an employment agency?")
- Resource is named with information on how the resource can help or strong encouragement for use (i.e., "Have you tried Manpower? They can help by . . ." or "Go to the office at 300 King St.")
- Assistance is given to overcoming obstacles in using resources (e.g., bus fare is given, a volunteer arranges appointments)
- Involves social supports in the community. (i.e., establishes contact with family, friends, teachers, etc. and enlists their help)
- Probation officer follows-up with resource/agency (e.g., contacts a treatment provider or managed care agency)
Ex: *PO: Have you ever tried to go to any groups like um, you know the AA 12 step-type things?

5. *Threaten (Th)*: PO tells probationer that if he doesn't start taking his prescribed medication and attending his treatment appointments, he's going to end up back in jail. An implicit threat may be coded here, as long as it is clear that the sanction for continued misbehavior is violation and/or jail.

Ex: *PO: You need to take your meds, and if you miss one more appointment, or I'm going to have to violate you. You don't want to end up in jail.

6. *Persuasion (Pe)*: Talking with the probationer to persuade him/her that complying with the rules and/or the PO's recommendations in the future will help him/her feel better and stay out of trouble. Code persuasion **ONLY** when the PO clearly is talking the probationer into doing by pointing out how this is for the *probationer's own benefit*.

- Code "Pe" for Persuasion if: (1) the officer engages the client about the short-term and long-term benefits of acting in prosocial ways, (2) the officer is getting the client to find the positive benefits of prosocial behavior, or see the consequences of antisocial behavior, and (3) the officer is engaging the offender in a discussion about what the offender has gained from doing something prosocially instead of acting antisocially.
 - If the officer is asking about (1) the long-term and short-term benefits of avoiding a criminogenic need (e.g., avoiding substance abuse), (2) what they have gained from avoiding a criminogenic need (e.g., avoiding substance abuse, or (3) gets the client to see the consequences of a criminogenic need (e.g., using an illegal substance)—code for "Pe" only. Code for the criminogenic need only when the officer is asking specifically about the criminogenic need instead of about the long-term and short-term benefits of the criminogenic need.

7. *Remind (Rm)*: PO reviews the rules of probation, including the special condition that the probationer participate in treatment, and might ask the probationer to sign a document to show that he understands this reminder.

Ex: *PO: You need to go to treatment, it's part of your conditions.

RULE: If you feel that the client has already heard the condition of probation before, code "Rm." If it is an initial interview, only code "Rm" if it is clear that the client had already been told the condition of probation.

III. Coding the Actions of the Offender (Probationer)

1. *Change talk (Ch)*: The probationer makes a statement that shows evidence of moving forward in the direction of change in the target behavior (i.e., **compliance only**). This occurs in the form of problem recognition (acknowledging risk or taking personal responsibility for consequences), expressing concern about one's situation, stating a desire or intention to change, or expressing optimism about the ability to achieve change.
Ex: *Probationer: So...I haven't smoking marijuana 7 days.
*PO: Uhhuh, that's good
*Probationer: So I thought that uh, if I uh stopped my use, my wife would accept me back, cause she told me this, like this, I'm, um, she's tired. I think I can do this.
2. *Resist (Rs)*: The probationer makes a statement that is inconsistent with or shows movement away from change in the target behavior (i.e., **compliance only**). Resist may not have an oppositional quality or emotional valence. Common types include arguing (disagreeing with or challenging the accuracy of the PO, questioning the POs' expertise or authority), interrupting (breaking in on the PO's talk in a defense manner), negating (giving reasons why change can't happen or a suggestion won't work, blaming others for problems, minimizing dangers), laughing/not taking the officer seriously when they say something, and not following (not answering or ignoring a PO, overtly changing the subject, or saying "I don't know" in a hostile manner).
Ex: *Probationer: Do I have to do the UA now? Can't I just do it tomorrow?
3. *Follow/Neutral (Fo)*: The probationer follows along with the PO without resisting or using change talk. This often occurs in the form of brief words or phrases, such as "Ok," "I see," or "right."
Ex: *PO: You really need to stay away from your friends if they are doing drugs.
*Probationer: I know...
 - If the officer addresses a content area or uses a strategy and the offender does not respond at all (or may respond non-verbally which appears to be no response on the recording), still code the offender's reaction as "Fo."

Subject#: _____ Date: _____ Coder's name: _____

Directions. Record the total number of times the officer did each behavior below for each supervision session. After this worksheet is complete, enter the total frequencies for each behavior into the SPSS database.

Note: → = Tally marks area

	Employ Em	School Em		Sub Abuse SA	Alcohol SA		Family/Martial Fa
Seeking			Current Usage			Immediate	
Status			Problems with Sobriety			Marital/Kids	
Problems			Any Type of Treatment			“Fa” TOTAL	
Relationships			How Staying Sober/High-Risk Situations				
“Em” TOTAL			“SA” TOTAL				

Prosocial Companions (P+)	Antisocial criminal friends (P-)	Criminogenic attitudes level 1 (CrA1)	Criminogenic attitudes level 2 (CrA2)	Criminogenic attitudes level 3 (CrA3)
→				

Prosocial modeling (PM)	Reinforce/Disapprove (ER)	Problem Solving1 (PS1)	Problem Solving2 (PS2)	Community Resources (CR)	Threaten (Th)	Persuasion (Pe)	Remind (Rm)
→							

Offender/Probationer Behavior		
Change Talk (Ch)	Resist (Rs)	Follow/Neutral (Fo)
→		

Notes:

Final Coding Summary Counts	
Officer	
Offender	

Vita

In 2011 Tamara Kang earned a Bachelor of Arts degree from Southern Illinois University Carbondale with a double major in psychology and criminology and criminal justice. In 2011 she joined the doctoral program in Legal Psychology at The University of Texas at El Paso. In 2015 she received her Master of Arts degree in Clinical Psychology from The University of Texas at El Paso (UTEP). Dr. Kang was the recipient of numerous honors and awards including the Jess Hay Chancellor's Graduate Student Research Fellowship from The University of Texas System, a Ford Foundation Fellowship Honorable Mention, a Dodson Research Grant, the Outstanding Thesis Award from the UTEP Department of Psychology, and the STAR Award for her work at the Department of the Provost for the reaffirmation of accreditation for UTEP.

While pursuing her degree, Dr. Kang worked as a teaching assistant and an assistant instructor for Introduction to Psychology and Statistical Methods in the Department of Psychology, and worked as a mental health evaluator and project coordinator with the El Paso County Juvenile Probation Department. Dr. Kang presented her research at multiple annual conferences including annual conferences for the American Psychology-Law Society and American Society of Criminology, and has published her work in multiple peer-reviewed journals including *Law and Human Behavior*, *Psychological Services*, *Psychological Assessment*, and *Criminal Justice and Behavior*.

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