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I, Cara A. Thompson, hereby submit this original work as part of the requirements for the degree of Doctor of Philosophy in Criminal Justice.

It is entitled:

Does live coaching increase officer proficiency with core correctional practices?

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ABSTRACT

Over the last decade, several initiatives have attempted to apply “What Works” knowledge to community supervision settings by creating models in which officers follow the principles of effective intervention and use core correctional practices during one-on-one contact sessions. Preliminary results from these risk/need/responsivity (RNR) models of community supervision have found this combination within a community supervision setting is effective in reducing recidivism (Bonta et al., 2010; 2011; Robinson et al., 2011; 2012; Latessa et al., 2013).

Research is also suggesting that fidelity to the model and proficiency with the included practices is vital to achieving successful outcomes (Latessa et al., 2013). In spite of this, little research has been done on the most effective strategies to help officers achieve proficiency, specifically when using core correctional practices. The research that has been conducted in this area has shown that participating in coaching activities after an initial training period increases comfort with core correctional practices (Lowenkamp et al., 2012) and increases proficiency (Bonta et al., 2012; Labrecque & Smith, 2017). While this initial research shows that coaching can be valuable to achieving proficiency in core correctional practices, the most effective coaching configurations are still widely unknown as there has been no research aimed at how specific coaching strategies affect fidelity and proficiency.

Therefore, this study sought to study the use of live coaching as a strategy to assist community supervision officers in achieving and maintaining proficiency with core correctional practices. More specifically, this study examined whether the use of live coaching improved officer proficiency with core correctional practices when compared to coaching based on audio submissions, which is the current method used by community supervision agencies implementing RNR models of community supervision. The data revealed live coaching appeared to increase

mean overall CCP proficiency of officers receiving live coaching, particularly when officers received an increased amount of live coaching. Live coaching also appeared to significantly increase mean proficiency scores for the practices of *Cognitive Restructuring*, *Structured Skill Building*, and *Effective Reinforcement*. Additionally, data showed officers receiving live coaching within the first 12 months of the coaching process was also associated with higher mean overall CCP scores.

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CHAPTER 1: STATEMENT OF THE PROBLEM

Introduction

Over the past 40 years, a rich literature has developed on “What Works” in reducing recidivism with a justice-involved population. At the core of this literature are the principles of effective intervention (Andrews et al., 1990). Most notably, the principles of risk, need, and responsivity (RNR) have become the foundation upon which effective correctional programs are designed. Related, core correctional practices provide front-line practitioners with skills proven effective in changing behavior (Dowden & Andrews, 2004). While this foundational knowledge has been building for over 30 years, only within the past 10 years has it been systematically applied to the field of community corrections. This systematic application has come in the form of structured models of supervision based firmly in the risk, need, and responsivity principles and core correctional practices. Research conducted on the ability of RNR models of community supervision to reduce recidivism has been promising (Bonta et al., 2010; 2011; Robinsin et al., 2011; 2012; Smith et al., 2012; Latessa et al., 2013). Additionally, along with the principles of risk, need, and responsivity, research on these models is showing that fidelity to the model is vital to achieving success (Latessa et al., 2013). However, like many initiatives in the criminal justice field, much less is known about specific strategies to achieve fidelity to these approaches of supervision, both initially and over time. In an effort to enhance the field’s knowledge about how to achieve fidelity to core correctional practices, this dissertation will explore how different variables affect supervision officer acquisition and proficiency with core correctional practices used as part of the Effective Practices in Community Supervision (EPICS) model. The goal of this

dissertation is to expand what we know about how to implement RNR models in community supervision with the greatest fidelity possible.

This chapter will present an overall framework for the proposed study, including a summary of previously conducted research on implementing RNR models of community supervision with a specific focus on the coaching process. Gaps in existing knowledge and need for the current study will be identified. Finally, an introduction to the proposed study and research questions will be provided.

Background

Community supervision has been widely used as both an alternative sanction (probation) and a means to continue supervision upon release from a correctional institution (parole), with individuals serving a community supervision sentence making up 70% of the correctional population within the United States (Kaeble & Cowhig, 2018). However, previous research has accumulated to clearly show that traditional methods of community supervision, which include relying heavily on monitoring and compliance, have been ineffective in changing offender behavior (Lipton et al., 1975; Martinson & Wilks, 1978; Petersilia, 1999; MacKenzie, 2000; Taxman, 2002; Bonta et al., 2008).

The recognition that traditional community supervision was not reducing recidivism sparked a trend in the field of corrections to create initiatives that would incorporate evidence-based practices in an effort to influence offender behavior change in a more meaningful way. The push to incorporate these evidence-based practices specifically within community supervision settings has led to the development and implementation of what are now referred to as risk-need-responsivity (RNR) supervision models. These models are characterized by the incorporation of the principles of effective intervention, particularly the principles of risk, need, and responsivity

(Andrews et al., 1990) and core correctional practices (Dowden & Andrews, 2004) into a structure for one-on-one contact sessions between officers and individuals they supervise. The principles of risk, need, and responsivity have become the cornerstone of effective correctional programming and guide practitioners to assess and target high risk offenders (*risk principle*), target dynamic risk factors also known as criminogenic needs (*need principle*), and to match the style and mode of service delivery to offender characteristics while following a cognitive-behavioral model (*responsivity principle*). Several models that follow this structure include the Strategic Training Initiative in Community Supervision (STICS), Staff Training Aimed at Reducing Re-Arrest (STARR), and Effective Practices in Community Supervision (EPICS) (Bourgon et al., 2010; Robinson et al., 2011; Smith et al., 2012; Trotter, 1996, 2006).

Evaluations of the STICS, STARR, and EPICS models have been promising and have shown that community supervision can positively affect offender behavior change in a number of ways. Studies have shown that using these models can significantly increase the amount of time trained officers spend targeting criminogenic needs during contact sessions (Bonta et al., 2010; Latessa et al., 2013; Labrecque et al., 2013a) can increase the amount of time trained officers spend using core correctional practices to help a person change their behavior (Bonta et al., 2010; Latessa et al., 2013; Labrecque et al., 2013a; Bonta et al., 2017), can specifically help change offender antisocial attitudes/beliefs (Labrecque et al., 2014), and can ultimately reduce recidivism of those serving a community supervision sentence (Bonta et al., 2010; 2011; Robinson et al., 2011; 2012).

Preliminary results from studies examining RNR models of community supervision are also suggesting that fidelity to the model effects outcomes. For example, in an examination of the EPICS model, Latessa et al. (2013) separated officers trained in EPICS into a low-fidelity group and a high-fidelity group to determine if offenders served by high-fidelity officers had better

outcomes than low-fidelity officers. Overall, offenders supervised by high-fidelity officers had lower incarceration rates and lower arrest rates for new crimes than those supervised by low-fidelity officers (Latessa et al., 2013). Also, because the study was conducted across multiple sites, researchers took a closer look at and compared these outcomes across agencies. It was found that the percentage of offenders incarcerated was lower for high-fidelity officers in all three agencies included in the analysis and ranged from a 4.1% reduction at one site to a 20.4% reduction in another. This same pattern emerged when isolating high-fidelity officers supervising only high-risk offenders. High-risk offenders being supervised by low-fidelity officers had an incarceration rate of 32.4% versus an incarceration rate of 20.5% for high-risk offenders being supervised by high-fidelity officers. These findings suggest that fidelity could be an integral component affecting the success of RNR models of supervision, however, very little research has been conducted on the best way to achieve fidelity with these models.

Problem Statement

While research continues to accumulate in the field and leaders are recognizing that incorporating evidence-based practices is vital to reducing recidivism and improving public safety, a common problem plaguing these practices is how to implement them with fidelity. This issue has been described as the “technology transfer” problem and refers to the difficulty of transferring knowledge learned in a training setting into the practice of everyday corrections (Bonta & Andrews, 2017). Looking to encourage “technology transfer”, available RNR models of community supervision have attempted to incorporate follow-up coaching as one strategy for combatting the issue. The goal of the coaching process is to assist officers in acquiring proficiency with core correctional practices, but the coaching practices used by RNR models of community supervision have not been a heavily studied topic so it is still unclear if current coaching methods

are reaching this goal or if there are more effective ways to achieve this goal. Even with several initial studies evaluating these processes Lowenkamp, Alexander, & Robinson (2013) admitted the “amount of taping, coaching, and feedback needed to master the skills has yet to be determined” (p. 200).

While research and knowledge in the area of implementation, specifically coaching, is limited when it comes to RNR models of community supervision, several initial studies have demonstrated the importance of coaching in reaching proficiency with core correctional practices. In their initial evaluation of the STICS model, Bonta et al., 2010 examined if participation in voluntary follow-up coaching activities (monthly group meetings, feedback, and a refresher course) effected officer skill proficiency or offender outcomes. While not all of their analyses reached significance, it was found that officers who took advantage of the coaching activities used more of the skills taught in the initial training and focused their contact sessions more strategically on criminogenic need areas (Bonta et al., 2010). These initial findings point to a link between continued coaching and increased use of the core correctional practices and demonstrate that coaching can assist officers in understanding and targeting criminogenic needs during contact sessions. However, a limitation of this evaluation is that it only looked at group coaching sessions and refreshers, and not how individualized feedback and coaching could lead to increased skill use or proficiency.

Similar results have been found during examinations of the STARR model, with Lowenkamp et al., 2012 finding that most officers reported that the coaching sessions included in the STARR implementation package helped them to gain a better understanding of the skills they were expected to use with their caseloads and increased the likelihood they would use the skills taught. While this provides valuable insight from the officer perspective, officer self-report is not

a strong form of evidence, and this information is limited as it only provides insight into the rate of skill usage and not actual proficiency with the core correctional practices used within the model.

To-date, there has only been one study specifically devoted to examining how an RNR model of supervision's training and coaching processes impact officer use of and proficiency with core correctional practices. In their longitudinal examination of the EPICS training and coaching processes, Labrecque and Smith (2017) found that officers trained in the EPICS model continued to improve in their proficiency scores on a fidelity measurement form across time (31.5% of trained officers were rated as effective within 3 months of coaching, but this number expanded to 69.8% after one year of follow-up coaching). Additionally, researchers noted that skill acquisition varied by skill type, meaning that officers showed proficiency in certain skills immediately after training and needed additional coaching and time to reach proficiency with other skills (such as structured skill learning, relationship skills, and cognitive restructuring). These results show that additional coaching can lead to increased skill proficiency over time and can inform the coaching process by providing information that leads to more targeted and more efficient coaching practices. These results are encouraging because they show a link between coaching and increased proficiency. However, results from this study also showed that this current coaching model used by RNR approaches is taking an extended amount of time to produce proficiency results. Labrecque and Smith (2017) found that even with this dedicated follow-up coaching period, it took between 12 and 15 months for officers to develop proficiency with critical core correctional practices such as cognitive restructuring and structured skill building.

This brings us to where we currently are in the field concerning RNR models of community supervision: there is evidence to support that these models reduce recidivism and that coaching may play a role in officer core correctional practice skill acquisition, however, the most effective

coaching configurations are still widely unknown for several key reasons. First, while the initial training structure and content of the trainings are similar, the RNR models available in the community supervision field employ different follow-up coaching strategies. After the initial training on how to use core correctional practices in a one-on-one format is complete (with trainings typically lasting 3-3 ½ days), coaching strategies diverge. For example, after the initial STICS training, officers have the opportunity to participate in clinical support activities including monthly meetings, clinical feedback, and a refresher course occurring approximately one year following the training (Bonta et al., 2010). The STARR coaching process includes officers sending in monthly audio submissions of their use of core correctional practices during contact sessions. These sessions are reviewed and feedback is provided via a telephone coaching session. STARR also typically utilizes several group booster sessions during this initial coaching period. Notably, however, participation in these coaching activities is also voluntary (Robinson et al., 2011; 2012). The EPICS coaching process also uses a combination of individualized feedback and group coaching sessions, however, the coaching package is not voluntary. Each trained officer submits a monthly audio of their use of the EPICS model and receives individualized feedback using a structured form and receives feedback from their internal coach. In addition, each training cohort is mandated to participate in one group coaching booster a month for five months following the initial training.

Second, studies that have examined coaching related to officer acquisition and proficiency with core correctional practices have been plagued by methodological limitations (Labrecque & Smith, 2017). Most studies have been limited to interviews and surveys with officers using the skills. While this information adds to anecdotal knowledge on the topic, it does not provide empirical evidence that practitioners can use to make evidence-based decisions on the most

effective coaching strategies for core correctional practices. Some studies have examined core correctional practices skill acquisition at the end of a specific time-frame (Bonta et al., 2010; Bourgon et al., 2011), but these studies have not used methods that would make it possible to isolate the specific effect of coaching on these outcomes. One study has examined the percentage of core correctional practices used on a monthly basis after an initial training (Alexander et al., 2013). The study found that officers generally used more of the skills over time, however, researchers did not report how the monthly percentages were calculated so the findings are unclear and difficult to replicate.

A third limitation to research on coaching and core correctional practices skill acquisition is that most RNR models of community supervision (and subsequently most research on these models) focus only on the coaching process immediately following the initial training and not on the effects of long-term coaching. The aforementioned study that examined skill acquisition at the end of a specific period (Bonta et al., Bourgon et al., 2011) found improvement in skill use at 9 months after the initial training, however, did not track progress in skill acquisition throughout this time period. This prohibits researchers and practitioners from seeing the full picture of how coaching effects ongoing and long-term skill acquisition and stops well short of the 12 to 15-month time frame that recent research suggests may be necessary for several core correctional practices including structured skill building and cognitive restructuring.

Based on the small amount and limitations with available research, a need exists to more fully understand the coaching variables that lead to initial skill acquisition, proficiency, and long-term sustainability of core correctional practices. Currently, most follow-up coaching for RNR models of community supervision occurs within a group format, which does not necessarily allow for individualized feedback. When individualized feedback is provided, it is based on a submitted

audiotape and often occurs after an extended amount of time. Therefore, a need also exists for a coaching mechanism that may better assist in bridging knowledge and practice for officers implementing core correctional practices in the field.

One of the ways to create this bridge may lie in the idea of “live coaching.” Live coaching is a technique that is currently being employed by the Multnomah County Department of Community Justice (DCJ), where the EPICS model has continued to be implemented since the initial training occurred in 2011. Live coaching provides a unique process by which an experienced/expert EPICS coach sits in or listens nearby to an EPICS contact session performed by a trained officer. This process is preceded by a pre-coaching session in which the coach and officer review the plan for the contact session and a post-coaching session in which the coach provides immediate feedback to the officer based on an EPICS fidelity form.

This study will seek to add to the understanding of coaching variables that lead to core correctional practices skill acquisition and proficiency for community supervision officers by examining how the EPICS coaching process has been implemented within Multnomah County DCJ. Multnomah County DCJ offers a unique study site for several reasons. First, Multnomah County has been utilizing both individualized and group coaching on core correctional practices for over 8 years as part of their long-term implementation of the EPICS model. Many sites incorporating evidence-based initiatives struggle with doing so long-term, which creates a difficulty in studying if and how long-term coaching strategies sustain skill proficiency over time. Second, Multnomah has incorporated live coaching as a strategy to increase officer skill proficiency with core correctional practices. To-date, no research on RNR models of community supervision have reported the use or outcomes of using live coaching as a means for increasing skill proficiency. Additionally, because RNR models have already shown promise in reducing

recidivism, if the live coaching strategy is a more effective way of coaching officers to proficiency with core correctional practices, this may also lead to larger reductions in recidivism for offenders being served by officers using the EPICS model. This also has the ability to greatly impact other RNR models of community supervision if it is strategy that can be replicated regardless of the model being followed.

Current Study

As noted above, the purpose of this dissertation is to explore how live coaching strategies employed by Multnomah County Department of Community Justice affected supervision officers in the implementation of the EPICS model and the core correctional practices skill set used within the model's structure.

Research Questions

To explore if live coaching affects officer proficiency with core correctional practices, the following research questions will be answered:

- 1) Does live coaching significantly increase overall proficiency with core correctional practices?
- 2) Does live coaching significantly increase proficiency by core correctional practices skill type?
- 3) Do officers receiving live coaching reach proficiency with core correctional practices faster than officers who do not receive live coaching?

To answer the proposed research questions, the remaining chapters will include a literature review, methods section, data analysis and a discussion of results. More specifically, Chapter 2 will provide a detailed review of existing research on the implementation and effectiveness of RNR models of community supervision, with specific emphasis given to the Effective Practices in

Community Supervision (EPICS) model. Specific emphasis will also be given to current research regarding coaching processes used by RNR models of supervision and their ability to lead to increased officer proficiency in using core correctional practices. Chapter 3 will outline the methodology for studying the proposed research questions and Chapter 4 will present the results of the analyses. Finally, Chapter 5 will provide conclusions based on the analytic results, limitations of the current study, and potential avenues for future research.

CHAPTER 2: LITERATURE REVIEW

Historically, community supervision was seen as preferable to incarceration because it provided an opportunity to keep offenders integrated into the community, which aided in minimizing the criminogenic effects of imprisonment (Abadinsky, 2009; Gibbons & Rosecrance, 2005). Today, community supervision is one of the most widely used sanctions in the United States and in 2016, there were approximately 4.5 million offenders serving a community supervision sanction, making up around 70% of the correctional population (Kaeble & Cowhig, 2018). While this number continues to represent a decline in the number of offenders serving community sentences (along with an overall decline of offenders serving any sentence in the U.S.), the number still represents the largest portion of the correctional population in the country. Given that community supervision is the most frequently used sanction within the criminal justice system, the small body of literature on its effectiveness is surprising. Only within the previous 15 years have researchers started to take an interest in evaluating the community supervision process and whether it has created meaningful reductions in recidivism across offenders being served.

This chapter will provide an overview of how the community supervision field has moved from a traditional monitoring approach to models that incorporate established evidence-based

practices. Specifically, this chapter will review the research that has examined the effectiveness of traditional community supervision and explore some possible explanations for the findings. Next, initiatives that worked to incorporate established evidence-based practices such as the principles of effective intervention and core correctional practices will be reviewed with a specific focus on the Effective Practices of Community Supervision (EPICS) model developed by the University of Cincinnati. Finally, implementation research will be reviewed, with a specific emphasis on how training and coaching processes are used by evidence-based models of community supervision to increase officer skill acquisition and proficiency with core correctional practices.

Traditional Community Supervision

Community supervision was originally based on progressive ideals and was created within the United States to act as a rehabilitative resource for individuals' post-conviction (Rothman, 1980). Parole boards were established to allow the government to work with the individual on a case-by-case basis and ensure adequate treatment to assist offenders in reintegrating into the community (Cullen & Gilbert, 1982). This rehabilitative goal of community supervision generally remained unchallenged until the changing political and social climate of the 1960's and 1970's. During this period, both liberals and conservatives attacked the progressive model and rehabilitative ideal. The turbulent social context of the 1960's and 1970's, marked by the Civil Rights movement, the Vietnam War, protests, Attica, Watergate and an increase in crime rates, led liberals to question the government and conclude offenders were being victimized by the repressive power of the state (Cullen & Gilbert, 1982). During the same period, conservatives believed that the government was coddling offenders and punishments were too lenient, arguing instead for a "get tough" model that included strict and consistent sanctioning. While typically

operating as opposing viewpoints, liberals and conservatives were united in a fight to end rehabilitation. Liberals believed that the indeterminate sentence and treatment components inherent in the rehabilitation philosophy allowed correctional officials to victimize the offender and believed that the best thing would be to take that discretion away to avoid such abuse. Conservatives believed that the criminal justice system was much too lenient on offenders and determinate sentencing was necessary to prevent such leniency. At the same time, the building rejection of the rehabilitative power of community corrections seemed to be confirmed by a 1974 review by Robert Martinson in which he concluded, “with few and isolated exceptions, the rehabilitative efforts that have been undertaken so far have had no appreciable effect on recidivism” (p. 34).

This climate led to what current studies refer to when describing “traditional community supervision.” The traditional community supervision period spans from the 1970’s to the early 2000’s and included many elements of the “get tough” era, specifically emphasizing the importance of monitoring for compliance with court conditions and the use of supervision as a method of surveillance and control. Additionally, traditional community supervision de-emphasized probation and parole officers as treatment providers and instead encouraged them to refer to outside providers for rehabilitative services. The effectiveness of this type of community supervision model will be explored in the next section.

Effectiveness of Traditional Community Supervision

While reviews closely examining the effectiveness of probation and parole have taken off within the past 15 years and have incorporated the more quantitative and rigorous method of meta-analysis, several earlier reviews attempted to evaluate existing research on probation and parole

and should first be summarized. One of the first of these reviews was conducted by Lipton, Martinson, and Wilks (1975). Lipton and colleagues conducted an examination of the existing research on correctional treatment programs between 1945 and 1967, including those on probation and parole, and essentially provided a thorough narrative review of the research conclusions. In their examination, they included studies between the aforementioned dates, studies that reported a treatment method applied to offenders, and included an experimental and control group for comparison purposes. There were 18 probation studies and 19 parole studies that matched these criteria. Based on the review of these studies, the authors concluded that probation was more effective with youthful offenders versus adult offenders, and adult male offenders on parole had lower return rates to prison *while under parole* compared to men that were released without parole. However, after release from parole supervision, there was no difference in recidivism between adult males who received parole versus those who did not. Lipton and colleagues ultimately concluded that there were small and differential effects of probation and parole.

Martinson and Wilks (1978) followed this initial review with a more detailed assessment of parole effectiveness specifically. In this study, adult offenders released from incarceration to parole supervision were compared with adult offenders not released to supervision, or those who had to “max out” on their sentences. The authors compared the two groups of offenders using three measures of recidivism: arrest, conviction, and return to prison with a new conviction. Overall, the authors concluded that parole did appear to have an effect on recidivism and found that, “in 74 of the 80 comparisons, the mean of the recidivism rates for parole is lower than for max out.” The authors found the largest difference in means when comparing arrest rates between parolees and those allowed to max out with no supervision (24.5% vs. 42.9% respectively) and the smallest difference in means when comparing new prison sentence rates between parolees and

those allowed to max out with no supervision (10.6% vs. 14.8% respectively). Using the results from the study, Martinson and Wilks warned policy makers and legislators not to continue to operate under the assumption that parole does not make a difference with offenders. However, while this early comparison appeared to show slight positive effects of parole supervision, few jurisdictions heeded the warning of Martinson and Wilks and parole boards began to be abolished.

Only a small amount of community supervision research moving forward was devoted to studying parole supervision specifically. Another early study examining parole and another to use a comparison group was conducted by Sacks and Logan (1979, 1980). Sacks and Logan were able to study parole using a comparison when a group of offenders with minor felonies were released from prison without supervision. This group was able to be compared to a similar group of felony offenders released one year earlier, but with parole supervision. Sacks and Logan used both 1 and 3-year follow-up periods and a number of outcome criteria, and two important findings were reported. First, the 8-month parole supervision period seemed to produce a modest delay in recidivism for the offenders on parole. Second, once offenders finished the parole supervision period, their recidivism rate was comparable to the unsupervised group. This research suggested that the small short-term effect that parole had on recidivism was only to delay it, meaning that the practice was not translating to long-term behavioral changes.

The conclusion that parole simply delays recidivism was found by other studies examining parole (Waller, 1974, Nuttall et al., 1977) and seemed to indicate that the effect of parole did not last beyond the supervision period itself. Gottfredson, Mitchell-Herzfeld, & Flanagan (1982) also studied parole comparing three offender groups using a longer follow-up period than previous studies. This study involved a 5-year follow-up period to study outcomes across groups of offenders who were (1) released on parole, (2) released on conditional release, and (3) were

released by mandatory expiration of sentence (no parole). Gottfredson and colleagues found that the effect of supervision was dependent to a certain extent on the individual characteristics of the offender, and similar to other studies on parole, effects of post release supervision on recidivism reduction were small. In a more recent study of parole, Solomon et al. (2005) used BJS data to examine the effectiveness of parole for 38,624 prisoners released from 15 states in 1994. Solomon et al. (2005) reported that parole alone did not contribute substantially to reduced recidivism or increased public safety. The conclusion drawn from studies and reviews examining parole effectiveness is that parole appears to have a small effect on reducing recidivism, but that this effect seems to diminish once the supervision component of parole has ended.

A disproportionate amount of research conducted on community supervision during this time period actually focused on the practice of control-orientated programs such as intensive supervision probation/parole (ISP) instead of standard probation/parole (Taxman, 2002). Taxman explained that very few rigorous studies existed that assessed the effectiveness of general supervision and that most studies conducted up to that point had examined caseload size and intensive supervision specifically. ISP is a program in which the offender is more highly supervised in the community than an offender who is on standard probation. This higher level of supervision is achieved through means such as an increase in contact sessions, electronic monitoring, home confinement, and increased urinalysis (Petersilia & Turner 1993). In a review of the existing literature, MacKenzie (2000) used a two-step technique created by the University of Maryland to determine what works in reducing recidivism, what does not work, and what may be promising. Using this technique, MacKenzie determined that programs that increased control and surveillance in the community, such as intensive probation or parole, do not work in reducing recidivism in offenders. Studies specifically examining ISP's came to similar conclusions. In one

of the most recognized examinations of ISP, Petersilia & Turner (1993) found no support for deterrent effects in this type of program. In a review of what the field had learned in 10 years of implementing intermediate sanctions such as ISP, Petersilia (1999) reported that even though ISP offenders were watched more closely, ISP supervision did not decrease subsequent arrests and instead increased the amount of technical violations, which in turn increased incarceration rates and system costs. Meta-analytic reviews have also shown that ISP's are ineffective in reducing recidivism. Gendreau, Goggin, Cullen & Andrews (2000) used meta-analysis to examine and summarize the treatment effects of 47 IPS's and found that the effect size (recidivism rate) for each of the ISP and comparison groups was .29 (29%). Last, in a review of the existing literature, Taxman (2002) summarized the results of 25 studies that were conducted between 1958 and 1998 with a specific emphasis on caseload size in community supervision or intensive supervision probation or parole. Again, these studies indicated that simply reducing caseload size and/or increasing contacts and surveillance does not reduce recidivism.

While research on intensive supervision has shown that increased monitoring alone does not reduce recidivism, the findings have not all been negative. Consistently across ISP studies, researchers found larger and more meaningful reductions in recidivism when these programs were paired with a human service element. For example, in an experimental study across 14 sites, it was found that ISP was only effective in reducing recidivism if it included a treatment component. Without a treatment component, no deterrent effect was found with this type of supervision (Petersilia & Turner 1993). Additionally, while Petersilia (1999) found that ISP did not decrease arrests, she also reported that offenders who participated in treatment, community service, and employment programs had recidivism rates 10% to 20% lower than those who did not participate in these activities while on ISP. Petersilia (1999) concluded the combination of surveillance and

treatment was associated with reductions in recidivism and specifically noted that the supervision of high-risk offenders on probation and parole must be “structured, intensive, maintain firm accountability for program participation, and connect the offender with prosocial networks and activities.” Further, in a study that reported an intensive supervision program as successful, Paparozzi & Gendreau (2005) reported that intensive supervision programs may reduce recidivism from 10% to 30% if they (1) provide more treatment to higher risk offenders, (2) employ officers with an orientation that balances law enforcement and social casework roles, and (3) are implemented in a supportive organizational environment. Lowenkamp et al. (2010) also found program philosophy and treatment integrity important in their evaluation of ISP’s. Lowenkamp et al. (2010) found that ISP’s can reduce recidivism if they adhere to the principles of effective intervention and operate using a human service, instead of a deterrence, philosophy.

In a more recent meta-analysis and process evaluation, Bonta, Rugge, Scott, Bourgon, and Yessine (2008) examined community supervision studies to explore if supervision makes a difference in recidivism and if more supervision (either probation or parole) is better than less supervision. Bonta et al. (2008) identified 15 studies between 1980 and 2006 that yielded 26 effect size estimates and ultimately concluded that, “community supervision does not appear to work very well.” (p. 251). The results of their analysis were consistent with previous parole and intensive supervision findings and showed that overall, community supervision reduced general recidivism by only 2% and was not associated with any reductions in violent recidivism. However, the researchers also reported that if supervision and treatment are approached comprehensively, in accordance with the principles of effective intervention, community supervision agencies can expect to reduce the likelihood of re-offending by up to 50% (Bonta et al, 2008).

Ultimately, findings regarding the effectiveness of community supervision were inconclusive. Byrne & Pattavina (1992) reported that most offenders completed standard supervision without a technical violation or a new arrest, but at the same time, the body of research was also demonstrating that simply monitoring offending populations is not enough to change behavior long-term or reduce recidivism as was originally hypothesized. Instead, research was conclusively demonstrating that control-based programs with a philosophy based in deterrence do not reduce recidivism on their own and a therapeutic component is necessary to achieve this goal. This pattern led several researchers in the field to ask why community supervision was not having the expected impact on recidivism. Up to this point, research on community supervision had largely focused on outcomes, rather than the process of community supervision. The results of examining the community supervision process are outlined in the next section.

Why Has Traditional Community Supervision Been Ineffective?

With the existing literature pointing to the ineffectiveness of control-based community supervision practices, Taxman (2002) suggested that researchers take a closer look at community supervision's ability to change offender behavior by going beyond monitoring. She explained that the framework of supervision was atheoretical in that monitoring is generally based off no theory other than formal social control. Instead of continuing to follow a monitoring model based on how many contacts an officer could make with an offender on their caseload, Taxman stressed the importance of examining a potential theoretical framework for supervision that could actually produce behavioral change. Taxman urged the community supervision field to begin incorporating well established evidence-based practices that were already being used in other correctional settings. More specifically, Taxman presented a theoretical model of community supervision that

more closely aligned with the principles of effective intervention, namely the principles of risk, need, and responsivity (Andrews et al., 1990). Taxman's theoretical model stressed the use of risk assessments, a better focus on criminogenic needs, and the use of cognitive-behavioral interventions.

One of the earliest studies to evaluate the supervision process to determine if and how officers were incorporating evidence-based correctional strategies such as those suggested by Taxman (2002) was an evaluation of probation practices in the Canadian province of Manitoba. Using both adult and juvenile probation populations, researchers sought to better understand how probation officers used risk-need assessments when formulating case plans and how officers managed cases after the initial assessment was performed (Bonta et al., 2004). To examine supervision at the officer level, several types of data were collected including intake risk-needs assessments and 6-month re-assessments, research questionnaires, audiotaped recordings of contact sessions, file reviews, and probation officer interviews. Generally, the evaluators concluded that officers were rarely adhering to established evidence-based practices and more specifically that officers were not adhering to the established principles of risk, need, and responsivity. First, it was found that the average number of contacts were the same regardless of the offenders' risk level, and while high-risk offenders were seen more frequently, there was no difference in the average number of contacts between low and medium risk offenders. Second, while offenders received an initial risk-needs assessment called the Primary Risk Assessment (PRA), the results of the assessment were not translated into the Intervention Plan that officers used to guide their case management. Instead, Intervention Plans and case management were found to be driven by court mandates rather than criminogenic need areas identified during the assessment process. The lack of translation from assessment results to Intervention Plans also

directly affected the amount of time that officers spent addressing criminogenic need areas during contact sessions. Audiotape analysis revealed that in the majority of cases, criminogenic needs identified from the PRA were not discussed and community resources were minimally used. Last, while there was evidence of strong relationship building in approximately half of the audiotaped sessions, it was found that officers took a passive role when it came to offender behavior strategies. Evaluators noted little to no use of structured skills or cognitive behavioral techniques that could be used during contact sessions to address criminogenic need areas.

Although these initial studies into the ability of community supervision to change offender behavior and reduce recidivism were disappointing, few studies followed those above to discover why the process was failing to rehabilitate. So little was known about why community supervision was an ineffective strategy for reducing recidivism that Bonta et al. (2008) named this problem the “black box of community supervision.” In this influential meta-analysis and process evaluation of the case management practices of community supervision officers, Bonta et al. (2008) outlined that researchers do not have the data to answer simple questions such as, “Do probation and parole officers use offender risk assessments in assigning intensity of intervention and identifying criminogenic needs that should be addressed?” or “Do probation and parole officers use cognitive-behavioral techniques during their supervision sessions?” Bonta and colleagues suggested answers to these questions might help to explain the modest findings for community supervision up to this point. Therefore, Bonta et al. (2008) asked 62 probation officers to submit audio recordings of contact sessions with offenders over a 3-month period for evaluation. Because this was one of the only studies conducted that examined the process of community supervision and because this study was an impetus to the creation of more evidence-based models of supervision moving forward, the findings are given special attention below. Specifically, Bonta et al. (2008) reported the following:

1. Researchers used file reviews as a means of counting the number of contacts between the probation officer and offender during the first three months of supervision. They found that there were no statistical differences in the amount of times that low risk (4.3 times over 3 months) and medium risk (3.7 times over 3 months) offenders were seen. There was a slight increase in the amount of times high risk offenders were seen (5.7 times over three months). However, when averaged this means that officers saw low risk offenders 1.4 times per month versus seeing high risk offenders 1.9 times per month.
2. Upon completion of the Primary Risk Assessment (PRA) the officer was in a position to take that information and translate it into the Intervention Plan, which was a 1-page form that records the criminogenic needs driving the offenders' risk score and outlines the actions or steps to address each of these needs. Overall, a total of 175 instances of needs were identified for the probationers and there were 69 Intervention Plans. This means that 39.4% of the criminogenic needs identified had a corresponding Intervention Plan. Notably, even though two of the needs most highly correlated with recidivism, attitudes and companions, were identified as needs for 55.8% and 47.4% of adult offenders respectively, these needs were seen on so few Intervention Plans they were not even included in the output tables.
3. Officers recorded contact sessions with offenders on their caseload and these were coded for how often officers address criminogenic needs that were identified on the PRA during sessions. Two of the major risk factors in criminal behavior: attitudes and peers, were evident for approximately half of adult probationers, however, they were discussed infrequently (8.8% and 21.1% respectively). And overall, needs outside

substance abuse were not discussed at a high rate even when they had been identified as a problem area on the PRA.

4. When coding for the use of behavioral interventions including reinforcement, disapproval, modeling, practicing, and homework, officers were found to be good at reinforcement, but struggled to recognize or address antisocial behavior or thoughts. Modeling, practicing, relapse prevention, homework, occurred in a minority of audio tapes

Overall, while process evaluations examining community supervision and service delivery were few, the findings clearly demonstrated that evidence-based practices were not being incorporated, even though they had been clearly established in other correctional settings (Bonta & Andrews, 2017). In fact, by this time, Bonta et al. (2008) explained that not only was there consensus that treatment can reduce recidivism, but that researchers clearly knew under what conditions treatment effectiveness could be enhanced.

To summarize, meta-analytic results showed that community supervision was not reducing recidivism without a dedicated treatment component, and process evaluations exposed that community supervision service delivery did not adhere to any established evidence-based principles or practices on a consistent basis. Evaluations showed that there was a lack of follow-through between assessment and case management, meaning that assessments were done, but not being translated to case plans, and even less information from the assessment was being translated into actual contact sessions between officers and offenders. Bonta and his colleagues concluded that structure was necessary to assist agencies and officers in how to adhere to evidence-based practices and incorporate these into service delivery to offenders. The paradigm shift that occurred to incorporate these practices into a community supervision setting is reviewed in the next section.

Applying RNR and Core Correctional Practices to Community Supervision

Although the amount of studies exploring the possible reasons community supervision was failing to reduce recidivism was small, the conclusion was consistent and clear: community supervision agencies were not integrating established evidence-based correctional practices within contact sessions between officers and offenders. This prompted researchers to begin developing initiatives that would assist community supervision agencies and their officers in implementing proven practices to reduce recidivism in the populations they served. The evidence-based practices generally incorporated into these models include the principles of effective intervention (Andrews et al., 1990) and core correctional practices (Dowden & Andrews, 2004). Over the past decade, there have been several initiatives that structure the integration of the principles of effective intervention and core correctional practices into a community supervision setting. First, research supporting the principles of effective intervention and core correctional practices as effective strategies in reducing recidivism will be explored. Second, each initiative combining the principles and core correctional practices will be examined, with a specific emphasis on the Effective Practices in Community Supervision (EPICS) model.

Principles of Effective Intervention

Risk Principle. Since the 1980's, meta-analyses have clearly identified that correctional programming can be effective in reducing recidivism, but that not all correctional programming is created equal. Since the 1990's, efforts have been made to summarize and translate the research on correctional programming, specifically what makes it effective, into practical guiding principles that professionals in the field can follow. This research has been driven by several Canadian psychologists such as James Bonta, Paul Gendreau, and Don Andrews and began when the

researchers examined correctional treatment programming to find that certain programs performed better at reducing recidivism than others. This finding led these researchers to begin identifying the characteristics, or principles, of programs that were effective in reducing recidivism in offenders. The risk, need, and responsivity principles were first proposed in 1990 as part of a larger effort to identify and categorize specific themes within programs that resulted in recidivism reductions (Andrews et al., 1990a, Andrews et al., 1990b). The identified themes are now known as the principles of effective intervention and while additional principles have been added as research has accumulated, risk, need, and responsivity have emerged as the cornerstone principles for effective programming. Each principle will be outlined below.

Essentially, the risk principle states that supervision and treatment should be matched to an offenders' risk level. Therefore, according to the risk principle, agencies should work to provide more intensive supervision and treatment services to those individuals identified as higher risk. The meta-analytic research that has accumulated on the effectiveness of targeting high-risk offenders is expansive. One of the first meta-analyses to demonstrate the importance of targeting high-risk offenders was conducted by Andrews et al. (1990b). This meta-analysis summarized the effects of correctional interventions for adults and juveniles accumulated from 80 studies with 154 effect sizes and found an overall reduction in recidivism of 10%. However, when researchers carved out programs that appropriately targeted high-risk offenders, the average reductions in recidivism climbed to 30%. Andrews & Bonta (1998) extended this 1990 study to include 294 effect sizes across 85 studies of correctional treatment and found an average reduction in recidivism of 25% for programs appropriately targeting high-risk offenders. The effectiveness of targeting high-risk offenders for more intensive supervision and treatment has also been replicated across other populations including female offenders (Dowden & Andrews, 1999a; Andrews &

Dowden, 1999), juvenile offenders (Dowden & Andrews, 1999b), and violent offenders (Dowden & Andrews, 2000).

Second, the risk principle holds that lower risk individuals should not be targeted for treatment services, nor put into services or situations in which they have the ability to interact with high-risk individuals as this increases their risk level and failure rates (Andrews et al., 1990; Lowenkamp & Latessa, 2005). Iatrogenic effects occur when a low-risk offender is placed on a supervision level or in correctional program that disrupts their prosocial ties to the community and exposes them to high-risk offenders (Andrews & Bonta, 1998; Dishion et al., 1999). In the same meta-analysis outlined above that showed an average of 30% reductions in recidivism when targeting high-risk offenders, it was found that programs targeting low-risk offenders actually increased recidivism by 7% (Andrews et al., 1990). Meta-analytic research has also shown that programs that mix risk levels when delivering services is harmful. Lowenkamp, Smith, and Bechtel (2007) found that offender treatment programs that mixed risk levels increased recidivism an average of 18%.

Although meta-analyses results have demonstrated the importance of following the risk principle, there is a limitation to studying adherence to the risk principle using this technique. This limitation mainly revolves around having to use studies that have already been conducted, which does not allow the researchers to design the study or get detailed information about the interaction between risk level and treatment. This makes it increasingly rare that a meta-analysis can separate the effects of programming on high-risk versus low-risk offenders (Lowenkamp & Latessa, 2005). Therefore, Lowenkamp & Latessa (2004; 2005) designed the largest study ever conducted of community-based correctional facilities to test the interaction between risk level and treatment. The study included 13, 221 offenders placed in one of 38 halfway houses or 15 community-based

correctional facilities (CBCF's) in Ohio. Recidivism was measured using a 2-year follow-up period and included new arrests and incarceration in state institutions. Overall, researchers found that the majority of programs included in the study were associated with increases in the failure rate of low-risk offenders, with one program actually increasing recidivism by 36% in low-risk offenders. However, the results were the opposite when targeting high-risk offenders. Most programs in the study showed reductions in recidivism when targeting high-risk offenders, with 8 programs reducing recidivism by over 20% and 3 programs that reduced recidivism by over 30%. (Lowenkamp & Latessa, 2005).

Even though studies have found positive results when community settings adhere to the risk principle, including halfway house and community based correctional facilities (Lowenkamp & Latessa, 2004, 2005) and certain ISP programs (Lowenkamp et al., 2010), community supervision overall has not adhered to the risk principle with structure or consistency. Specifically, community supervision has been shown to violate the risk principle when targeting and over-supervising low-risk offenders. Gendreau et al. (2000) reported that ISP appears to have had a “widening the net” effect by unnecessarily targeting low risk-risk offenders when they would have traditionally received standard probation. Previous research has also demonstrated targeting low-risk offenders due to officer preference to work with them over high-risk offenders who are more difficult to manage (Bonta, 2000; Wormith & Olver, 2002). In contrast, high-risk offenders have multiple criminogenic needs, often lack motivation to change, live in chaotic and criminogenic environments, and engage in multiple antisocial behaviors. For this reason, dosage research (though in its infancy) is suggesting that high-risk offenders require over 200 hours of service to change behavior and reduce risk (Makarios et al., 2014). However, Bonta et al. (2008) revealed in their meta-analysis and process evaluation that officers were not meeting with high-risk

offenders at a much higher rate than low- and medium-risk offenders. Therefore, a need existed for community supervision to provide a structure for officers to target and provide additional supervision/services to high-risk offenders.

Need Principle. The need principle states that agencies should target dynamic risk factors that have been empirically linked to criminal behaviors (Bonta & Andrews, 2017). These dynamic risk factors are also known as criminogenic needs. By targeting criminogenic needs, corrections professionals are targeting known predictors of future criminal activity. Seven clear criminogenic needs have been identified (Bonta & Andrews, 2017). Antisocial attitudes, values, and beliefs, antisocial peer groups, and antisocial personality characteristics are characterized as the top three criminogenic needs, or those most highly correlated with future offending (Bonta & Andrews, 2017). The remaining four needs include educational and employment achievement, family and marital support, substance use, and leisure and recreation. Meta-analytic evidence has shown that programs targeting multiple criminogenic needs for high-risk individuals results in average recidivism reductions of 30%, whereas programs targeting non-criminogenic needs can slightly increase recidivism (Gendreau et al., 2002). In an expanded review of the meta-analytic research conducted on the principles of effective intervention, Smith et al. (2009) found the mean effect size for programs targeting criminogenic needs ranged from $r = .20$ to $.30$. In comparison, programs that targeted non-criminogenic need areas produced effect sizes ranging from $r = -.01$ to $.04$, meaning that these programs had little effect in reducing recidivism and at times even increased the recidivism rates of the offenders being served.

Again, prior research on community supervision reported only moderate adherence to the need principle. Evaluations of contact sessions between officers and offenders have revealed that even though risk/needs assessments are completed on offenders, the information on elevated

criminogenic need areas is often not translated to an intervention or case plan (Bonta et al., 2004; Bonta et al., 2008). This also means that contact sessions between officers and offenders revolve more around compliance with court conditions than targeting criminogenic need areas to reduce the individuals' risk level (Bonta et al., 2004; Bonta et al., 2008). This has been shown to be detrimental practice to offender success. Prior studies have shown that as the focus on compliance with court conditions increases, so does recidivism (Bonta & Andrews, 2017; Bonta et al., 2004, 2008, 2010). Additionally, even when officers targeted criminogenic needs during contact sessions, it was mostly substance abuse and rarely, if ever, included criminogenic needs more highly correlated with future offending like antisocial attitudes, values, and beliefs or antisocial peer associations (Bonta et al., 2008). Therefore, a two-fold need existed to increase adherence to the need principle within community supervision. First, a need existed for a model that would guide officers in translating information from an assessment into a case plan and one-on-one contact sessions. Second, a structure that would guide officers in how to prioritize and target criminogenic needs during one-on-one contact sessions was necessary.

Responsivity Principle. The responsivity principle can be broken into two categories: specific and general. The specific responsivity component of this principle recommends that professionals match key staff characteristics to the way offenders learn and work to remove barriers that would hinder individuals from being successful whenever possible (Bonta & Andrews, 2017). The specific responsivity principle contends that individuals under supervision will each possess a unique set of factors (or barriers) that could prevent them from being successful under supervision or within a treatment setting. Common examples of barriers within offending populations include trauma, motivation, mental health, cognitive functioning, language, childcare, and transportation (Bonta & Andrews, 2017; Cullen, 2002). Therefore, in order to increase the

chance of success for individuals under supervision, the specific responsivity principle would urge agencies and officers to identify and address or remove barriers such as these before an individual participates in treatment-related activities (Bonta & Andrews, 2017). Research directly testing the specific responsivity principle is minimal, however, some studies have shown that when correctional programs attempt to identify and address individual barriers to success, they can increase success in participating individuals. For example, in narrative reviews conducted by Gendreau and Ross (1979, 1987), correctional programs that identified individual characteristics in participants were more effective when they took the individuals' unique learning style into account during treatment programming.

A specific responsivity factor that has gained more research and practical attention, particularly within community supervision settings, is motivation. As a way to address the specific barrier of motivation, it has become increasingly common for community supervision agencies to train officers in motivational interviewing as a means to increase offender motivation to change and engage in treatment (Labrecque et al., 2015). Studies on motivational interviewing have indicated that it can be used to improve offender retention rates, increase motivation to change, and assist in reducing recidivism (McMurrin, 2009). However, while areas such as motivation have gained increased attention in community supervision settings, there is still a need to develop specific responsivity both theoretically and in practice (Polaschek, 2012).

The general responsivity component of this principle states that services offered to individuals under supervision be cognitive, behavioral, or social learning in nature as these types of approaches have been shown to be most effective in changing behavior and reducing recidivism in offending populations (Bonta & Andrews, 2017). Essentially, cognitive-behavioral approaches teach offenders to identify the risky or antisocial thinking that leads to criminal behavior and

challenge and restructure it with more prosocial thinking that will lead to choosing a more prosocial response. Social learning approaches also incorporate cognitive elements but focus more heavily on practicing prosocial behavioral response to risky situations. This approach is rooted heavily in the work of Albert Bandura. Bandura's social learning theory (1973, 1977) emphasized the importance of cognitions, but also emphasized the importance of observation, modeling, practicing, and reinforcement in learning behaviors. According to social learning theory, humans learn behaviors by observing a model, practicing, and receiving instruction and reinforcement, and this includes criminal behavior. In addition, social learning theory contended that cognitions played a role in behavior in that the observer could learn criminal behavior not just through the model of antisocial behavior, but through the model of antisocial attitudes, values, and beliefs (Bandura, 1973, 1979).

While the specific responsivity principle remains underexplored, research supporting the general responsivity principle has been accumulating for decades. Individual studies of programs incorporating the use of cognitive, behavioral, or social learning approaches have consistently shown reductions in recidivism. In the narrative review also outlined above, Gendreau & Ross (1979, 1987) found that behaviorally based programs that use contingency management elements are effective in changing offender behavior. Individual studies of offender treatment programs that incorporate cognitive-behavioral or social learning approaches also consistently show reductions in recidivism. Examples of programs shown to reduce recidivism include Functional Family Therapy (Barton & Alexander, 1980), Multi-Systemic Therapy (Henggeler & Bordin, 1990), Aggression Replacement Training (Glick & Goldstein, 1987), Thinking for a Change (Golden et al., 2006), Moral Reconditioning Therapy (Little et al., 1994), and Reasoning and Rehabilitation (Ross & Fabiano, 1985).

Meta-analytic reviews have also consistently found cognitive-behavioral and social learning programs effective in reducing recidivism in offending populations. In one of the initial meta-analyses conducted on the principles of risk, need, and responsivity, Andrews et al. (1990) found that when programs followed a structured, directive, and skills-oriented approach, they were more effective than unstructured programs in reducing recidivism. More specifically, it was reported that programs with cognitive-behavioral approaches produced an average reduction in recidivism of 29% versus programs that did not follow a cognitive-behavioral model, which only produced an average recidivism reduction of 4%. These results were replicated in the expansion of this meta-analysis conducted by Andrews & Bonta (1998). Not only have the meta-analyses that followed continued to show that cognitive-behavioral programs are superior to other approaches in reducing recidivism in offenders, they've also reported remarkably similar average reductions in recidivism when programs follow this type of approach. Pearson et al. (2002) reported an average recidivism reduction of 30%, Wilson et al. (2005) also reported an average reduction of 30%, and Landenberger & Lipsey (2005) reported an average of 25-30% reduction in recidivism. These results have also been found with meta-analyses specifically reviewing cognitive-behavioral approaches with juvenile offending populations (Davidson et al., 1984; Garrett, 1985; Lipsey, 2009) and violent offenders (Dowden & Andrews, 2000). Last, in a large-scale review of meta-analyses that have been conducted on cognitive-behavioral programming, Smith et al. (2009) found that 73% of the meta-analyses reported a mean effect size for cognitive-behavioral interventions reported estimates that were greater than $r = .15$, meaning that cognitive-behavioral treatment represented a 15% reduction in recidivism over the control group.

A large body of research has now shown the effectiveness of cognitive-behavioral and social learning approaches in regard to reducing recidivism and has also clearly demonstrated the

lack of reductions when programs do not follow this approach when serving offending populations. Even with the consistency in these findings, lack of adherence to the responsivity principle, especially the general responsivity principle, has been reported in community supervision research. Studies on ISP have shown that community supervision can reduce recidivism if they adhere to the principles of effective intervention and operate using a human service philosophy (Lowenkamp et al., 2010). However, process evaluations of community supervision contact sessions have found little to no use of structured skills or cognitive behavioral techniques used during contact sessions to address criminogenic need areas (Bonta et al., 2004; Bonta et al., 2008). Again, a clear need existed to provide supervision officers with mechanism for incorporating cognitive-behavioral and social learning techniques into one-on-one contact sessions with offenders.

Last, while risk, need, and responsivity have each been independently verified to lead to successful outcomes, empirical support when all three are used in conjunction is even more powerful and appears to suggest the principles have a cumulative effect. One of the earliest studies to demonstrate this effect was Andrews et al. (1990), in which researchers reviewed 80 studies of both adult and juvenile correctional treatment programs to find that when programs adhered to all three principles, they had a mean effect size of .32 (or a 32% reduction in recidivism). Smith et al. (2009) reported that overall, treatment studies have found that programs adhering to risk, need, and responsivity report reductions in recidivism of 25-30%. Similarly, Andrews and Bonta (2006) found an overall effect size of $r = .07$ when programs adhere to the risk principle, $r = .20$ when programs adhere to the need principle, $r = .19$ when programs adhere to the responsivity principle, but an overall effect size of $r = .28$ when programs adhere to all of these principles at once.

To summarize, the principles of risk, need, and responsivity have become the guiding model of effective offender rehabilitation. However, these principles had not been incorporated

with any structure or consistency in community supervision settings. Primarily, risk, need, and responsivity had yet to be incorporated into case management strategies or one-on-one contact sessions between supervision officers and offenders. The next section will review another element vital to changing offender behavior, but also missing from community supervision settings: core correctional practices.

Core Correctional Practices

While the principles of effective intervention focus on program elements to reduce recidivism, characteristics of and techniques used by individual staff to deliver effective programs are also vital (Lowenkamp et al., 2010). Core correctional practices are a set of identified skills used by staff that are designed to increase the therapeutic potential of a program (Dowden & Andrews, 2004). The skillset was introduced in 1980 in *Effective Correctional Treatment* and initially included *anti-criminal modeling and reinforcement, effective use of authority, problem solving, use of community resources, and interpersonal relationships* (Andrews & Kiessling (1980). When introduced, these five dimensions were based largely on social learning theory and related research aimed at eliciting positive behavior change in offending populations. Today, the CCPs have been validated on more than 700 individual adult and juvenile programs (Lowenkamp, 2004; Lowenkamp et al., 2006; Matthews et al., 2001; Labreque et al., 2013a).

Since their introduction, core correctional practices (CCPs) have gone through several revisions but have continued to gain empirical support. First, the original CCPs were translated into practice as a staff training program called Core Correctional Training in 1998 by Andrews and Carvell. Second, empirical support for the skillset was strengthened by a meta-analytic review (Dowden & Andrews, 2004). Up to this point, a wide-scale examination of the skillset had not

been conducted. In their meta-analysis, Dowden and Andrews (2004) reached several notable conclusions. First, almost all of the CCPs (outside of effective use of authority) were independently found to be associated with significant reductions in recidivism. Additionally, the CCPs also made independent contributions to enhance the effect of human service programs that already adhered to the principles of risk, need, and responsivity.

Along with empirical support for the initial skillset, empirical support for an expanded list of CCPs has developed. In 1989, Gendreau and Andrews presented an expanded set of CCPs in the first version of the Correctional Program Assessment Inventory (CPAI). The CPAI was (and continues to be) a tool that is used to evaluate how closely correctional treatment programs adhere to the principles of effective intervention. The CPAI has also gone through several updates, including the CPAI-2000 and CPAI-2010. The CPAI-2010 identifies the following eight service delivery areas that are considered the most recent list of core correctional practices (Gendreau, Andrews, & Theriault, 2010):

Relationship skills: Effective correctional staff possess relationship skills such as warmth, empathy, remaining flexible, being engaging, using humor, taking a solution-focused approach, and being non-judgmental and open.

Effective reinforcement: Effective reinforcement includes staff recognizing positive target behavior or behavioral changes and immediately explaining that the behavior is positive, providing specific reasons why the behavior is positive, and helping the client recognize short- and long-term benefits of continuing the behavior.

Effective disapproval: Effective disapproval includes staff recognizing risky or negative behavior and immediately explaining why the behavior is inappropriate, providing specific reasons, helping the client recognize short- and long-term consequences of the behavior, and finally helping the client to recognize prosocial alternatives to use in place of the risky behavior.

Effective use of authority: Effective use of authority is a skill that effective staff use to guide a client towards compliance by being direct and clear in their expectations and laying out client choices and attendant consequences for each type of choice.

Anticriminal modeling: Effective correctional staff provide an anticriminal (or prosocial) model for clients through unplanned modeling behavior.

Cognitive restructuring: Effective correctional staff help clients to identify and change risky thinking to more positive/prosocial thinking in order to change behavior and receive more positive outcomes.

Structured learning: Effective correctional staff also use structured learning as a planned modeling tool to teach clients prosocial responses to risky situations. Skills are taught using a structured approach that includes breaking skills down into steps, modeling, role-playing, and providing reinforcement and feedback.

Problem solving: Problem solving is a generalizable, complex skill taught to clients to assist them in becoming independent problem solvers by following a structured step-wise process.

RNR Models of Community Supervision

There have been several initiatives that have attempted to combine an RNR model and core correctional practices specifically within a community supervision setting (Bourgon et al., 2010; Robinson et al., 2011; Smith et al., 2012; Trotter, 1996, 2006). Unlike traditional community supervision, these approaches focus more on integrating the principles of effective intervention with specific evidence-based strategies, such as core correctional practices, and less on solely monitoring for compliance with court orders. While there are now several models that exist within the field, several defining and common themes have emerged among RNR models that distinguish them from traditional community supervision. Taken together, when community supervision agencies follow the principles of risk, need, and responsibility, they are working towards addressing the violations in these principles that had formally been found in research.

First, RNR models provide agencies and supervision officers guidance on how to translate the risk principle into everyday practice. Community supervision agencies that adhere to the risk principle have implemented a structured, validated risk and need assessment that provides information on the risk level of offenders being supervised. Additionally, adherence to the risk

principle would guide agencies to devote more time, resources, and treatment referrals to those offenders identified as high risk (Andrews and Bonta, 2017). From an officer perspective, RNR models emphasize targeting higher risk offenders by increasing the amount of contact and dosage they are providing in one-on-one meetings and reducing contacts and services for low-risk offenders (Smith et al., 2012).

Second, RNR models not only emphasize that agencies and officers target criminogenic needs (or dynamic risk factors), but also provide a format in which to do so. Community supervision agencies and their officers are encouraged to use information gleaned from the risk/needs assessment to determine which criminogenic needs are contributing to an offender's higher risk level and then are urged to target these needs during contact sessions specifically to reduce risk. Additionally, while officers are encouraged to formulate specific strategies to target an offenders' individual high need areas, the top three criminogenic needs are highlighted as those that should be targeted most often. As previously outlined, the top three criminogenic needs across most offending populations are antisocial attitudes, values, and beliefs, antisocial peer associations, and antisocial personality characteristics. Because these criminogenic needs are most highly correlated with future offending, officers are encouraged to provide additional dosage around these as it is more likely to reduce risk.

Third, RNR models stress the importance of adhering to both general and responsivity. When using RNR models of community supervision, officers adhere to a cognitive-behavioral model and use cognitive-behavioral interventions to target criminogenic needs and change behavior. Additionally, because officers work with many different offending populations within a community supervision context, they are taught ways to provide cognitive-behavioral interventions (and other services) in a way that is conducive to the individual characteristics of the

offender they are meeting with. Individual considerations could include such things as learning style, motivation, gender, language, culture, etc.

In addition to adherence to the risk, need, and responsivity principles, RNR models of community supervision provide training and coaching on how to incorporate the use of core correctional practices into a one-on-one meeting format. Officers are specifically taught the skills of anti-criminal modeling, effective reinforcement, effective disapproval, effective use of authority, structured skill building, problem solving, cognitive restructuring, and relationship skills. A central idea of these models is that training on how to incorporate the use of core correctional practices will result in an increase in the use of the skills themselves as well as increases in officer skill proficiency (Taxman, 2008; Labreque et al., 2013).

One of the earliest attempts to incorporate core correctional practices into work with involuntary clients was conducted by Chris Trotter in Australia. Trotter provided a small group of probation officers with a 5-day training that included how to use prosocial modeling, empathy, and problem solving when working with involuntary clients. As a follow-up, a portion of the trained officers attended ongoing training sessions and recorded their use of the skills taught in the initial training by using case notes. Trotter reported moderate success with this initial training series as the 4-year reconviction rate for the clients supervised by trained officers was 53.8% versus a rate of 64% for clients supervised by untrained officers (Trotter, 1996). While the early work of Trotter was encouraging, Bonta et al. (2010) pointed out two reasons why the model needed refinement and additional evaluation. First, Trotter focused mostly on how to increase the empathy of officers and less on practical skills that they could use to target criminogenic need areas to reduce risk. Second, they suggested that a more rigorous study design was necessary to identify the effectiveness of this type of community supervision model (Bonta et al., 2010).

Another early attempt to shift community supervision away from a monitoring focus was proposed by Taxman (1999; 2002; 2006). Taxman was an early proponent of efforts to integrate evidence-based practices into community supervision organizations and into case management work conducted by supervision officers, calling this Proactive Community Supervision. Proactive Community Supervision (PCS) based on a behavioral management theoretical model and is characterized by five major components: 1) identifying criminogenic traits using a validated risk and need tool; 2) developing a supervision plan that addresses criminogenic traits using effective external controls and treatment interventions; 3) holding the offender accountable for progress using the supervision plan; 4) using a place-based strategy wherein individual probation/parole office environments are engaged in implementing the strategy; and 5) developing partnerships with community organizations who can provide ancillary services to offenders (Taxman, 2006). While a preliminary study of the PCS pilot site indicated the model did not have an effect on positive drug screens, offenders supervised by officers using the model had a 38.3% less chance of being rearrested for a new criminal offense and a 38% reduction in the probability of a warrant being filed for a technical violation than offenders supervised by non-PCS officers (Taxman et al., 2006; Taxman, 2008). Additional outcome studies are necessary to determine if the PCS model has positive effects on community supervision populations long-term.

In an effort to refine the application of RNR and core correctional practices into a more structured and comprehensive approach, The Strategic Training in Community Supervision (STICS) model, developed by the Canadian Department of Public Safety, became the first formal application of the RNR framework and core correctional practices into a specific model (Bonta et al., 2010). The STICS model trains probation and parole officers how to adhere to the principles of risk, need, and responsivity and how to use core correctional practices within a structured face-

to-face meeting context. Early reports of the effectiveness of the STICS model have been promising. In the initial evaluation of the STIS model, several important themes emerged between the group of officers trained and coached to use the model (the experimental group) and officers that were not provided with training and coaching. First, evaluators found that STICS helped trained officers more closely adhere to the need principle. Trained officers devoted more of their sessions to discussing procriminal attitudes specifically and that trained officers had significantly higher proportions of their contact sessions spent discussing criminogenic needs in general (Bonta et al., 2010). In fact, discussions of procriminal attitudes were almost six times more likely to occur during STICS officer sessions than control group sessions (39.1% compared to 6.7%, respectively). Second, STICS trained officers were more likely to employ cognitive techniques designed to target the need of procriminal attitudes. Significantly more STICS trained officers used cognitive techniques at least once in all of the audiotapes submitted for the study compared to control group officers (69.7% compared to 5.3%, respectively) (Bonta et al., 2010). This finding led evaluators to also examine if exposure to cognitive techniques during STICS sessions led to reduced recidivism rates. Clients with exposure to cognitive techniques had a significantly lower recidivism rate than clients without exposure to cognitive restructuring techniques (19% compared to 37.1%, respectively) (Bonta et al., 2010). Additionally, at a two-year follow-up mark, recidivism rates were 15% lower for offenders who were supervised by an officer adhering to the STICS model (25.3%) than for offenders who were supervised by an untrained officer (40.5%) (Bonta et al., 2010; 2011).

Two additional experimental replications of the STICS model were started shortly after the results from the 2011 study were reported. A study began in November 2012 with probation officers from Edmonton, Alberta along with a second study in Sweden that also began in 2012.

Currently, only initial analyses from the Edmonton, Alberta study have been reported, but preliminary results from the study again show that STICS trained officers were far more likely to attempt cognitive interventions, while control officers showed no evidence of using cognitive interventions (Bonta et al., 2017). Additionally, STICS trained officers were more likely to proficiently use core correctional practices and spend less time focusing on probation conditions (Bonta et al., 2017).

A similar model has also been designed and implemented with Federal Probation officers. The model designed for use with Federal Probation offending populations is the Strategic Training Aimed at Reducing Re-Arrest (STARR) model. This initiative follows a similar training format to the STICS model in that it integrates similar training on RNR principles and core correctional practices. In the preliminary evaluations of the STARR program, officers who were randomly assigned to the experimental group participated in a 3½ day training that included a theory discussion supporting the STARR model, a demonstration of each skill included in the model, group exercises, and an opportunity for officers to practice each skill and receive feedback on their performance (Robinson et al., 2011; 2012). The training also included a follow-up coaching procedure that requires officers to audio tape interactions at designated intervals that are coded to determine skill development and provide feedback to the officers. Coaching also included four “booster trainings” over the next year after the training to provide additional feedback and coaching on skill deficits recognized on submitted audio tapes. Booster trainings occurred over the phone and included individualized feedback and coaching.

The initial experimental pretest-posttest evaluations of the STARR model produced several promising intermediate and recidivism outcomes. Outcomes were measured immediately after officers received the training and again at the three month and sixth month mark after the initial

training. First, the authors found that trained officers were almost twice as likely to use behavioral strategies (such as reinforcement, disapproval, or use of authority) at the initial and three-month mark than untrained officers (this number lowed to only 1.25 times as likely at the six-month mark). Second, officers in the experimental group who received the STARR training were significantly more likely than the control group to discuss cognitions, peers, and impulsivity in individual meetings with clients on their caseloads (66% versus 42% respectively at the sixth month mark). Third, trained officers (outside of one time within the control group officers) were the only officers to use the cognitive model as a way to help offenders change their behavior by restructuring their thought process. Last, failure rates of offenders supervised by officers in both the experimental and control group were examined. Overall, failure rates for offenders supervised by STARR-trained officers were significantly lower compared to offenders supervised by the control group (26% versus 34% respectively). However, when researchers focused on whether failure rates differed between moderate- and high-risk offenders, they found that failure rates between the experimental and control groups pre- and post-training only differed significantly with moderate-risk-offenders. While failure rates did significantly decrease for high-risk offenders post-training, they dropped significantly for both the experimental and control groups, suggesting that there was another reason for this outside of just the STARR model training, such as additional interpersonal skills necessary to interact successfully with high-risk offending populations (Robinson et al., 2011, 2012).

In a follow-up to the original evaluation, the follow-up period for recidivism was extended to 24 months (Lowenkamp et al, 2014). In the research note, while there was a small decline in treatment effects exhibited by the group of trained officers, researchers again found that the STARR model was associated with a reduction in recidivism for moderate-risk offenders.

However, in this follow-up researchers also reported that when promising reductions in recidivism for high-risk offenders receiving STARR were found the model was coupled with training and use of Motivational Interviewing (MI).

These studies have consistently demonstrated that integrating the principles of risk, need, and responsivity along with core correctional practices into community supervision contact sessions can lead to meaningful reductions in recidivism. Next, specific attention will be given to the Effective Practices in Community Supervision (EPICS) model as another integration of these strategies that has demonstrated success in community supervision settings.

Effective Practices in Community Supervision (EPICS)

Preliminary results from attempts to integrate the principles of effective intervention and core correctional practices also provided the impetus for the University of Cincinnati Corrections Institute to create a similar model called Effective Practices in Community Supervision (EPICS). The purpose of the EPICS model is similar to the previously presented initiatives and includes teaching correctional professionals how to translate the principles of effective intervention into practice and how to use core correctional practices in face-to-face contact sessions (Smith et al., 2012). The training and coaching processes and relevant research will be reviewed in this section.

EPICS Training

EPICS is a 3-day training designed for community supervision officers and their managers. During the training, participants are trained in the principles of effective intervention, particularly how to adhere to the principles of risk, need, responsivity, and fidelity. Along with how to adhere to the principles of effective intervention, participants are trained in each of the core correctional practices and how to use each within the EPICS four component model. The training follows a

social learning framework by introducing each core correctional practice, providing a model or demonstration, asking participants to practice the skill, and allowing trainers to provide feedback on how to continue to improve the use of the practices. The EPICS training is currently in its second version (updated in 2015) and includes the following modules:

- Module 1: Rationale and Foundation for the EPICS Model*
- Module 2: The EPICS Model Components*
- Module 3: How to Build a Collaborative Relationship*
- Module 4: Setting Goals*
- Module 5: Identifying Targets for Change*
- Module 6: Cost-Benefit Analysis*
- Module 7: Cognitive Restructuring*
- Module 8: Structured Skill Building*
- Module 9: Problem Solving*
- Module 10: Effective Reinforcement*
- Module 11: Effective Disapproval and Use of Authority*
- Module 12: How to Support Behavior Change*
- Module 13: Summary and Fidelity Measures*

EPICS Coaching Process

After the initial 3-day training with community supervision officers and their managers, participants are asked to begin practicing using the EPICS model and skills with clients on their caseload. Approximately one month after completion of the 3-day training, participants are asked to record themselves using the EPICS model and skills and send the audio to the University of Cincinnati Corrections Institute (UCCI), where the audio is coded using a fidelity form called the EPICS Rating Form. Feedback on fidelity to the EPICS model is provided to each participant using the EPICS Rating Form and group feedback is provided in the form of an all-staff video conference coaching session held once per month for 5 months.

The EPICS coaching process includes 5 supervisor/internal coach pre-coaching session conference calls between the site supervisors (who act as internal coaches) and the UCCI external coach. These calls act to train supervisors how to take over the coaching process once UCCI is no

longer involved. During these calls, supervisors are trained in how to code audios using the EPICS Rating Form, provide feedback and coaching on the EPICS model, and how to run an EPICS coaching session.

The EPICS coaching process also includes 5 all-staff coaching sessions, typically conducted through video conference. EPICS coaching sessions act to provide group feedback to the site on use of the EPICS model and skills and to provide additional support and coaching on identified areas that need improvement. During EPICS coaching sessions, skills from the initial training are reviewed and demonstrated again by the external UCCI coach. Participants are provided additional opportunities for practice after the skill has been reviewed and demonstrate. Coaching sessions 1 and 2 are led by the external UCCI coach and act as a model for supervisors/internal coaches on how to conduct a coaching session. Coaching sessions 3 and 4 are co-led by the external UCCI coach and supervisors/internal coaches. Coaching session 5 is led completely by the supervisors/internal coaches with support from the external UCCI coach. EPICS coaching is concluded after the 5th coaching session. To close-out the coaching process, the external UCCI coach provides a coaching summary report to the site that includes recommendations for how to move forward with coaching and implementation based on the submitted audios throughout the coaching.

Supporting Evidence

EPICS has gained empirical support through several evaluations of the model. In an evaluation of the EPICS pilot project, researchers found that officers trained in EPICS demonstrated a more consistent use of core correctional practices. More specifically, it was found that EPICS-trained officers were significantly more likely than untrained officers to target

criminogenic needs during contact sessions, challenge antisocial thoughts or beliefs, reinforce prosocial behavior, assign skill-related homework, and use role-playing techniques (Smith et al., 2012). In a similar review, Labrecque et al., 2013 also found that officers trained in the EPICS model received statistically higher ratings in the core correctional practices of *anticriminal modeling, effective disapproval, problem solving, structured learning, cognitive restructuring, and relationship skills*.

Additional evaluations have sought to determine if EPICS is linked to other specific outcomes. In an effort to explore if EPICS training and coaching significantly improves the use of relationship skills of officers, a vital core correctional practice, Labrecque et al., 2013 reported several important findings. First, researchers found that officers who received training on the EPICS model were significantly more likely to adhere to the model and use core correctional practices compared to those not trained on the model. Second, the officers who demonstrated high-fidelity to the model were significantly more likely to be perceived as trusting by the offenders on their caseload. Last, increases in the offender perception of fair/caring, trusting, and non-punitive relationships with supervising officers were related to a reduced risk for reoffending (Labrecque et al., 2013a).

In another more specific evaluation of the EPICS model, researchers sought to determine if officer training in the EPICS model was associated with decreases in the level of offender antisocial thinking and attitudes as evidenced by fluctuations in scores on the Criminal Sentiment Scale- Modified (CSS-M). This study was the first to explore the influence of any RNR community supervision model (in this case, EPICS) on the intermediate measure of antisocial attitudes. The results of the study indicated that offenders supervised by EPICS-trained officers were more likely to have positive (reduced) scores on the CSS-M domains of Identification with

Criminal Others and Tolerance for Law Violators at post-test compared to offenders supervised by untrained officers (Labrecque et al., 2013b).

The effectiveness of the EPICS model when combined with motivational interviewing (MI) has also been evaluated. Specifically, Labrecque et al., 2015 sought to determine how the use of cognitive-behavioral interventions within the EPICS model and use of MI interact to impact recidivism. In this evaluation, authors used standardized assessments to measure officer use and proficiency with cognitive-behavioral interventions and MI techniques in an attempt to discover what level of skill competency is necessary in each area to reduce recidivism. All officers participating in the study had received an MI workshop and the EPICS training and follow-up coaching process. Proficiency with MI skills was determined using the Motivational Interviewing Treatment Integrity (MITI) 3.1, and proficiency using the EPICS model was determined using the EPICS Officer Rating Form. As hypothesized, offenders supervised by officers who were determined to have low proficiency in both areas of cognitive-behavioral interventions and MI had the highest rate of recidivism among the sample (52.5%), and offenders supervised by officers who had high proficiency in both sets of skills were least likely to recidivism (18.8%). These results were even more exaggerated when only focusing on high-risk offenders included in the sample. Here, high-risk offenders supervised by officers who were determined to have low proficiency in both areas of cognitive-behavioral interventions and MI had a recidivism rate of 55.6% versus high-risk offenders supervised by officers who had high proficiency in both sets of skills, who had a recidivism rate of 14.3%. This study again supported the effectiveness of the EPICS model, but also pointed to the importance of including additional practices such as MI that can be used to enhance the model's impact on recidivism, particularly with high-risk offenders.

A larger outcome study has also been conducted on the EPICS model. This study included

a comparison between 21 Ohio adult and juvenile parole and probation officers trained in the EPICS model 20 Ohio adult and juvenile parole and probation officers not trained in the model. This study added to the consistent finding that compared to untrained officers, officers who received EPICS training and coaching were more likely to focus on criminogenic needs during contact sessions, were more likely to help offenders recognize the link between thinking and behaviors, identify high risk situations, use techniques to address client motivation, use structured skill building and problem solving, and use other identified core correctional practices (Latessa et al., 2013). However, one of the more unique findings of this study relates to fidelity. Latessa et al. (2013) separated officers trained in EPICS into a low-fidelity group and a high-fidelity group to determine if offenders served by high-fidelity officers had better outcomes than low-fidelity officers. Overall, offenders supervised by high-fidelity officers had lower incarceration rates and lower arrest rates for new crimes than those supervised by low-fidelity officers (Latessa et al., 2013). Also, because the study was conducted across multiple sites, researchers took a closer look at and compared these outcomes across agencies. It was found that the percentage of offenders incarcerated was lower for high-fidelity officers in all three agencies included in the analysis and ranged from a 4.1% reduction at one site to a 20.4% reduction in another. This same pattern emerged when isolating high-fidelity officers supervising only high-risk offenders. High-risk offenders being supervised by low-fidelity officers had an incarceration rate of 32.4% versus an incarceration rate of 20.5% for high-risk offenders being supervised by high-fidelity officers. These findings suggest that fidelity could be an integral component affecting the success of RNR models of supervision like EPICS.

To summarize, we know that correctional treatment programs that integrate evidence-based practices, particularly the principles of effective intervention, work to reduce recidivism (Smith et

al., 2009). Overall, the results from initiatives to structure and integrate these principles into community supervision settings has been positive. While models such as STICS, STARR, and EPICS are still undergoing replication studies (Andrews and Bonta, 2017), there is evidence that the models can improve a number of intermediate outcomes such as increasing the use of core correctional practices (Bonta et al., 2010, 2011; Robinson, et al., 2011, 2012; Latessa et al., 2013), improving relationship skills (Labrecque et al., 2013a), decreasing criminal thinking (Labrecque et al., 2013b) as well as evidence that the models reduce recidivism when used proficiently (Bonta et al., 2010, 2011; Robinson et al., 2011, 2012; Latessa et al., 2013). These results have shown that meaningful behavior change is possible when community supervision agencies train officers in models that provide a structure for translating “What Works” knowledge into everyday practice. However, even with models such as STICS, STARR, and EPICS producing promising results, the ability of agencies to implement these models at the officer level remains unclear (Alexander et al., 2013). Therefore, the upcoming section will focus on what we know about the implementation of RNR models of community supervision, with a specific focus on the training and coaching processes.

Implementation of RNR Models of Community Supervision

Key components to the implementation and sustainability of each RNR model of community supervision are the training and coaching processes associated with each. The success of RNR models such as STICS, STARR, and EPICS often rests on the officers tasked with implementing the model on the front lines (Taxman, 2002; 2008; Alexander et al., 2013). However, only a small amount of research has been completed to-date specifically examining the effectiveness of training and coaching processes employed by RNR models of community supervision and their ability to increase officer skill use and proficiency. In fact, Lowekamp et al.

(2013) expressed that the actual “amount of taping, coaching, and feedback needed to master the skills has yet to be determined.” This section will explore what we currently know about training and coaching elements of RNR models of community supervision.

Training

Implementation research has consistently shown that training alone, particularly training that is limited to knowledge transfer, is not sufficient to translate the use of concepts and skills into practice (Fixsen, et al., 2005). A meta-analysis conducted by Joyce & Showers (2002) in the education field revealed that training consisting only of theory and discussion translated to 10% of training participants demonstrating knowledge of the skills, 5% of participants being able to demonstrate the knowledge in a training setting, and ultimately translated to 0% of participants demonstrating new skills in a classroom setting. When demonstrations of specific skills were added to the training setting, researchers saw improvements in the percentage of participants that were able to demonstrate knowledge and demonstrate new skills in a training setting (30% and 20%, respectively), but again none of the training participants demonstrated the skills once back in their classroom setting. Next, when practice and feedback were added to the training setting, researchers observed a larger jump in the number of participants who demonstrated knowledge and demonstrated the skills within a training setting (both rose to 60%). However, even with the addition of practice and feedback within the original training setting, researchers only saw the number of participants using the new skills back in their own classroom setting rise to 5%. This led Joyce & Showers (2002) to suggest that training workshops can be effective for staff, but should include a knowledge component (presenting information), a demonstration component of

the skills being taught, and a dedicated practice component in which participants are provided with the opportunity to practice skills and receive feedback.

A study conducted by Miller et al. (2004) on methods to help clinicians learn Motivational Interviewing found similar results. In this study, substance abuse professionals learning Motivational Interviewing (MI) skills were randomly assigned to five treatment conditions: 1) a 14-hour clinical workshop only; 2) a clinical workshop and personal feedback on their use of MI skills from audiotaped sessions; 3) a clinical workshop and individual coaching sessions; 4) a clinical workshop, personal feedback, and individual coaching sessions; and 5) a control group that received a manual only. Miller et al. (2004) reported several relevant findings from this study. First, researchers concluded that the dissemination of therapist manuals only was an insufficient strategy in creating MI proficiency. Second, researchers initially reported being surprised that the workshop only condition led to a large and immediate effect on MI proficiency. It was found that all workshop only groups showed a substantial increase in MI proficiency *immediately following the workshop*. However, when comparing the five different groups at the four-month mark, researchers found that the workshop only group showed a reversal of their initial post-training proficiency. Last, and unsurprisingly, the groups receiving training enhancements (feedback, coaching, and feedback + coaching) were the only groups that met the proficiency standard of 95% MI-consistent response at both the 4- and 8-month follow-ups.

Similar results have also been found with studies conducted specifically on training of cognitive-behavioral techniques. In a study conducted by Sholomskas et al. (2005), researchers separated training participants into 3 groups: 1) cognitive-behavioral therapy (CBT) manual only; 2) CBT manual plus access to a CBT training web site; and 3) CBT manual plus a 3-day seminar (which included didactic material, videotaped examples of CBT sessions, and role-plays of each

of the skills) followed by supervised casework using audio tapes. The three conditions were analyzed according to their use and proficiency with three CBT skills that included an introduction to CBT, coping with a craving, and seemingly irrelevant decisions. Researchers found that those clinicians that received a 3-day seminar with supervised casework had a significantly higher ability to implement CBT for 2 of the 3 skills compared to those assigned to the manual only condition. Those clinicians that received the manual and web-based training received intermediate ratings that were better than the manual-only condition, but not as high as those clinicians that received the 3-day seminar and follow-up supervision. Also, significantly more clinicians in the 3-day seminar and follow-up supervision reached criterion levels for adequate CBT fidelity. Again, these results show that training alone was less effective in skill acquisition and proficiency when compared with a condition that included follow-up feedback and coaching.

There are several key take-aways from studies examining the usefulness of training in helping practitioners translate knowledge to real-life skill application. First, content of a training is crucial. Trainings for practitioners should include a knowledge component, a demonstration component, and a practice and feedback component. Second, even when a training includes these elements, training alone does not translate into the real-life application of skills. Third, follow-up supervision, feedback, and coaching are necessary additions that help practitioners implement the skills learned in a training setting. This section will close with a focus on how RNR models have incorporated these elements into their training processes. The upcoming section on coaching will focus on how the elements of supervision, feedback and coaching are incorporated into RNR model strategies.

RNR models of community supervision have consistently incorporated a knowledge component, a demonstration component, and a practice and feedback component into their training

structures (Bourgon et al., 2010; Robinson et al., 2011; Smith et al, 2012). RNR models have similar training lengths, with each model reporting a length from 3-4 days long. Within the 3-4 day training period, each model provides a theoretical component that works to provide officers with the “why” and demonstrate that the model is supported by research. A review of the principles of intervention, namely risk, need, and responsivity (RNR) would be covered during this foundational and didactic portion of the training. Additionally, because each model works to integrate RNR with core correctional practices, each practice is reviewed, demonstrated with live modeling or training videos, practiced through role-plays or other activities, and followed with general feedback.

While research on STICS, STARR, and EPICS has not exclusively been devoted to examining the effectiveness of the initial training experience, several studies have reported on the skill proficiency of officers immediately after the training. Smith et al. (2012) found that for most of the EPICIS skill competencies, a significant difference in proficiency did not develop between the trained and untrained officers until their second and third audio tapes/coaching sessions. Consistent with previous research on training, this finding indicates that the initial 3-day EPICS training, while necessary to transfer knowledge to officers, was not sufficient to create skill proficiency. This finding has also been reported in evaluations of the STARR model. In their evaluation of the STARR model with Federal Probation officers, Robinson et al. (2011; 2012) found that the initial 3-day STARR training resulted in small increases in the targeting of cognitions, peers, or impulsivity, and the use of the cognitive model for trained versus untrained officers. However, it was not until the 3- and 6-month follow-up marks that the researchers reported seeing increased skill use and larger differences between the trained and untrained officers.

Ultimately, studies have shown that training alone has a limited ability to transfer knowledge into skill application in the real world. While an initial training component is a necessary first step in the implementation process, research is suggesting that follow-up coaching may be more instrumental in ultimately leading to skill use and proficiency. Joyce & Showers (2002) found that when they added the fourth component of coaching to teacher skill implementation, the percentage of participants who demonstrated knowledge, demonstrated skills in a training setting, *and* demonstrated use of skills in their classroom setting all rose to 95%. The following section will focus on effective coaching strategies and how these have been incorporated into the implementation processes for RNR models of community supervision.

Coaching

The value of coaching to increase skill use and proficiency is a common theme in implementation literature (Fixsen et al, 2005). When examining criminal justice research specifically, evaluations of cognitive-behavioral training have shown that coaching is essential to increased knowledge and use of the skill(s) being trained (Cully et al., 2010). While the most effective configuration for coaching is still being determined for RNR models of community supervision, several studies have explored how the coaching process impacts officer skill use and proficiency.

In their initial evaluation of the STICS model, Bonta et al., 2010 attempted to examine if participation in voluntary follow-up coaching activities impacted officer skill proficiency or offender outcomes. Evaluators separated trained STICS officers into high-participation and low-participation groups based on an “on-going supervision” score that was tallied based on officer participation in clinical support activities, which included monthly meetings, feedback, and a

refresher course that occurred one year after the initial training. Those staff that took advantage of the clinical support activities and were in the high-participation group used more of the skills taught in the training and focused their contact sessions more strategically on criminogenic need areas. While not all of their analyses in this area reached significance, the general conclusion and direction of the results showed that participation in follow-up coaching led to skill enhancements and they concluded that attending three days of training is insufficient to learn these skills and clinical support is necessary in order to develop them more thoroughly.

An evaluation of the STARR coaching procedures revealed that officers also found value in receiving coaching sessions after the initial STARR training. Lowenkamp et al. (2012) found that most officers reported that the coaching sessions included in the STARR implementation package helped them to gain a better understanding of the skills they were expected to use with their caseloads and increased the likelihood they would use the skills taught. This finding was also reported in a small investigation of officer responses to STARR coaching. Alexander et al. (2013) asked officers trained in the STARR model to complete an anonymous survey covering the audiotaping and coaching processes associated with the model. They found that 92% of officers reported coaching sessions increased the likelihood they would apply the skills during contact sessions, which was reflected in the data collected on STARR skill usage from January 2012 to December 2012. Skill usage (as a percentage of contacts) increased from 14% in January of 2012 to 59% in December of 2012 (Alexander et al., 2013).

In the first longitudinal examination of an RNR model of community supervision with a control group, Labrecque and Smith (2017) examined how the EPICS training and coaching processes impacted officer proficiency and use of core correctional practices associated with the model. Included in the study were officers that supervised adult probationers, adult parolees, and

juvenile probationers. Officers were randomly divided into experimental and control groups, with the experimental group receiving the standard 3-day EPICS training program previously outlined and follow-up coaching sessions that occurred once a month for approximately 18 months. Both sets of officers submitted monthly audio-recorded sessions of one-on-one contacts with individuals on their caseload as a fidelity and proficiency measurement. Several important themes emerged as a result of the study. First, and consistent with previous findings, EPICS trained officers had a high adherence to most of the core correctional practices included within the model (except for reinforcement and use of authority, which started and remained relatively high for all officers). Second, results showed that trained officers had high scores on an EPICS fidelity rating form across all time periods measured and continued to improve in their scores on the form over time, whereas untrained officers remained steady (31.5% of trained officers were rated as effective within 3 months of coaching, but this number expanded to 69.8% after one year of follow-up coaching). Last, researchers noted that skill acquisition varied by skill type, meaning that officers showed proficiency in certain skills immediately after training (such as reinforcement and use of authority) and needed additional coaching and time to reach proficiency with other skills (such as structured skill learning, relationship skills, and cognitive restructuring). These results show that additional coaching can lead to increased skill proficiency over time and can inform the coaching process by providing information that leads to more targeted and more efficient coaching.

To summarize, initial research is suggesting that both training and ongoing coaching play a role in officer skill use associated with RNR models of community supervision. Consistent with research from other fields, studies specifically looking at the coaching process of RNR models of community supervision are also suggesting that coaching may have a larger role to play in skill acquisition and proficiency than the initial training process. However, additional research is

necessary in order to better understand and ultimately improve the coaching process and techniques associated with these models. The final section of this chapter will review how the current study seeks to expand the knowledge base associated with coaching officers in RNR models of community supervision.

Summary

This chapter has reviewed the specific initiatives geared towards incorporating evidence-based practices within community supervision settings, namely how RNR models of community supervision have combined the principles of effective intervention and use of core correctional practices as a structure for officers to have a more meaningful effect on offender outcomes. While these models are based in heavily researched principles and practices and the models have been shown to impact recidivism, research on the training and coaching processes of these models remains in its infancy. Therefore, there are several gaps that exist in our knowledge of coaching associated with RNR models of community supervision. First, most studies that have looked at coaching associated with these models have focused on the effect of the initial coaching period as a strategy to increase officer skill level and proficiency. While this is a vital area, most research on implementation and sustainability report that coaching should be an ongoing process in order for initiatives to be successful long-term (Smith et al., 2012; Bonta et al., 2017). Second, the small amount of research dedicated to RNR model coaching has been conducted using group coaching data and has not focused on individualized coaching between supervisor/coach and officer.

This dissertation seeks to fill gaps in existing knowledge by examining what coaching variables lead to core correctional practices skill acquisition and proficiency using a unique study site that has been incorporating individualized and group coaching sessions on these practices for over 8 years as part of their long-term implementation of an RNR model of community

supervision. Specifically, this study will seek to add to the understanding of coaching variables that lead to core correctional practices skill acquisition and proficiency by examining how the EPICS coaching process has been implemented within Multnomah County Department of Community Justice (DCJ). In addition to individualized and group coaching methods, Multnomah County DCJ has incorporated the use of live coaching as a strategy to increase officer initial skill acquisition and long-term proficiency.

This study is unique in that it will not only be examining coaching as a strategy used during the initial period after EPICS training but will also study it as a technique used by supervisors who are coaching officers several years into using the EPICS model. Second, a portion of this dissertation will be devoted to examining the use of live coaching as an individual-level coaching strategy between coach and officer. To-date, no research on RNR models of community supervision have reported the use or outcomes of using live coaching as a means for increasing skill acquisition or proficiency. The methodological strategy for studying coaching variables that lead to core correctional skill acquisition and proficiency will be presented in the next chapter.

CHAPTER 3: METHODOLOGY

Introduction

The purpose of this study was to evaluate how live coaching affects core correctional practice (CCP) skill proficiency for community supervision officers. This was accomplished by examining how the Effective Practices in Community Supervision (EPICS) coaching process was implemented within the Multnomah County Department of Community Justice (DCJ). This chapter will outline (1) the proposed research questions, (2) a description of the data source, (3) the study design, (4) measures (5) data analysis proposal, and (6) summary.

Research Questions

Chapters 1 and 2 outlined that while the principles of effective intervention and core correctional practices have been used in the field for 30 years, only within the past 10 have they been combined and applied in a structured approach to community supervision. Chapters 1 and 2 also outlined that because this is a newer application of the principles of effective intervention and core correctional practices, implementation and more specifically, coaching, is still developing.

Preliminary research on coaching associated with RNR models of community supervision has shown that when officers take advantage of coaching activities (monthly group meetings, feedback, refresher courses) after an initial training they use more of the skills taught during the training and more strategically focus contact sessions on criminogenic needs (Bonta et al., 2010). Self-reports from officers using the STARR model of community supervision have also shown that officers find value in follow-up coaching and report that it would increase their use of the skills taught during the initial training (Lowenkamp et al., 2012). Longitudinal research has also shown that coaching is necessary to improve officer skill proficiency in regard to core correctional practices and that this process can take between 12 and 15 months for skills such as cognitive restructuring and structured skill building (Labrecque & Smith, 2017).

These initial studies on the coaching process of RNR models have found coaching to be linked to increased use and proficiency with core correctional practices, however, as previously outlined in Chapter 1, there are limitations to the preliminary research conducted on coaching associated with RNR models of community supervision. Major limitations include lack of consistency with coaching strategies across models, mostly voluntary participation in CCP coaching activities, mostly anecdotal evidence in the form of interviews and surveys, studies that only studied CCP skill acquisition during an initial time period, and studies that were unable to

isolate the specific effect of coaching activities on CCP skill acquisition and proficiency. Given these limitations, there is a need to identify the most effective ways to reach proficiency with these vital skills as they have consistently been linked to recidivism reductions. To add to the body of knowledge on effective coaching strategies and to continue to understand what determines proficiency with core correctional practices, this dissertation addressed the following research questions:

- 1) Does live coaching significantly increase overall proficiency with core correctional practices?
- 2) Does live coaching significantly increase proficiency by core correctional practices skill type?
- 3) Do officers receiving live coaching reach proficiency with core correctional practices faster than officers who do not receive live coaching?

Data Source

Data used for this dissertation was obtained from the Multnomah County Department of Community Justice. Within the State of Oregon, community corrections (both probation and parole) is largely a responsibility of the individual county as opposed to city or state government. Within Multnomah County, OR, community corrections falls under the purview of the Department of Community Justice (DCJ). The Multnomah County DCJ Adult Services Division supervises over 13,000 probationers and post-prison individuals who have been convicted of both felony and misdemeanor offenses.

In 2010, Multnomah County DCJ contracted with the University of Cincinnati Corrections Institute (UCCI) to receive training in the Effective Practices in Community Supervision (EPICS)

model as part of an ongoing initiative to adopt evidence-based principles and practices within the agency. Implementation of the EPICS model began with a 3-day EPICS training held in 2011 for 30 Multnomah County DCJ officers and supervisors. Implementation efforts including additional EPICS trainings and EPICS group coaching sessions are outlined below.

EPICS Officer Training. All officers who submitted EPICS recordings or participated in live coaching throughout the study time period attended a 3-day initial training period on the EPICS model. The purpose of the initial training was to provide officers with instruction in how to use the EPICS model during one-on-one interactions with offenders on their caseloads. During the training, participants were trained in the principles of effective intervention, particularly how to adhere to the principles of risk, need, responsivity, and fidelity. Participants were trained in each of the core correctional practices and how to use each within the EPICS four component model. The training followed a social learning framework by introducing each core correctional practice, providing a model or demonstration, asking participants to practice the skill, and allowing trainers to provide feedback on how to continue to improve the use of the practices.

EPICS Group Coaching Sessions. Consistent with UCCI recommendations, trained Multnomah County DCJ officers received 1 group coaching session 1 time per month for the first 6 months after the initial EPICS training. Once the initial coaching process was completed, officers were required to attend quarterly group coaching sessions, referred to as “booster sessions.” Both monthly coaching and quarterly booster sessions are designed to mimic the structure of the EPICS model itself, each including a check-in, review, intervention, and homework component. During the check-in, trained officers are asked to report how use of the EPICS model is going with offenders on their caseload. Officers can also ask questions, bring up barriers, or share successes regarding their use of the model. The review component of a coaching session

includes reviewing the main topic of the previous coaching session and checking for use and understanding. The intervention component of the coaching session includes focusing on an identified area of officer need for further review, modeling, and practicing. The homework component includes asking the officer to continue to practice using the skill that was the topic of the current coaching session.

Tables 1 and 2 present a timeline of EPICS-related training, coaching, and coding activities carried out by Multnomah County DCJ between 2011 and 2018.

Table 1 Multnomah County DCJ Training and Coaching Timeline 2011-2014

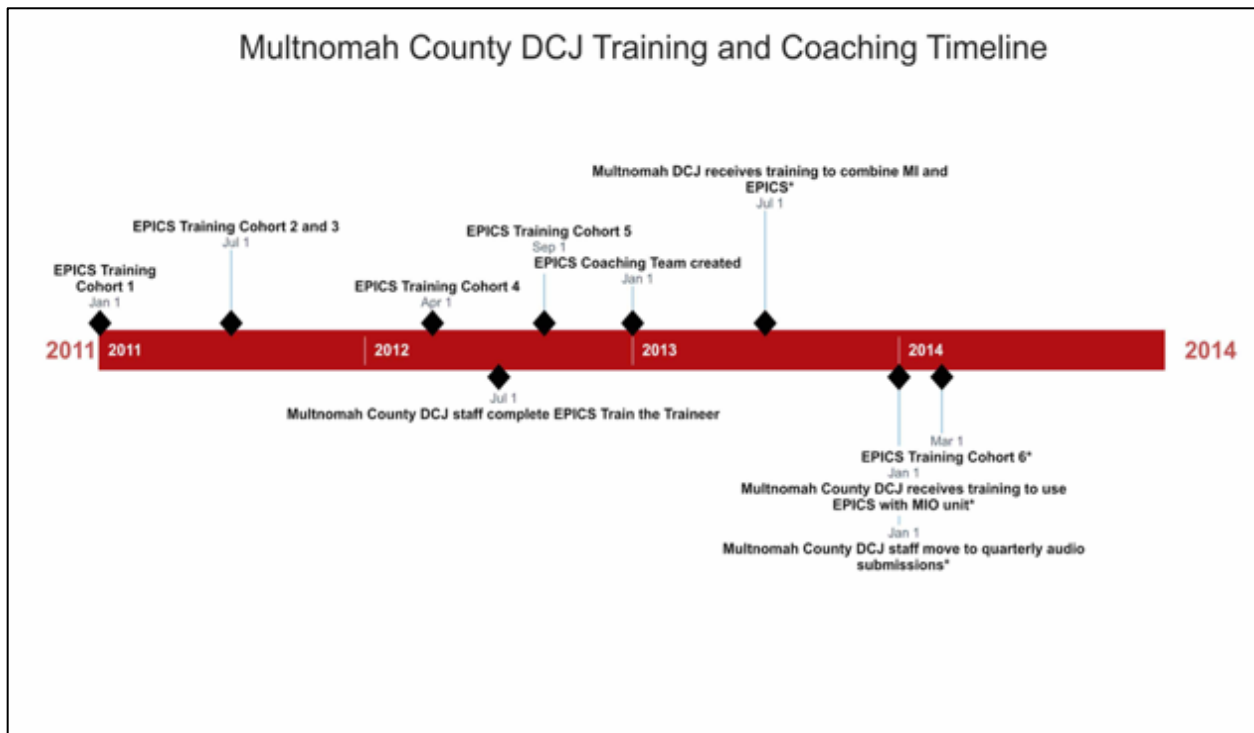
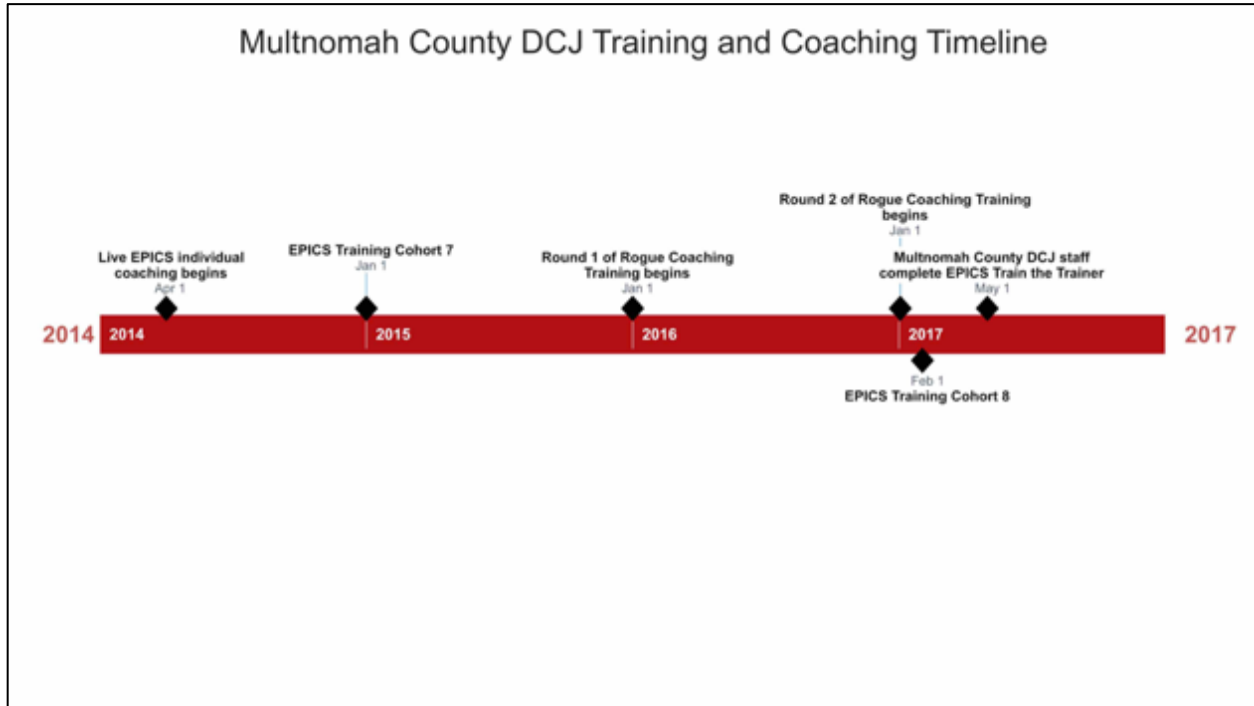


Table 2 Multnomah County DCJ Training and Coaching Timeline 2014-2018



Sample. Study participants included 208 probation and parole officers that participated in EPICS training and coaching at Multnomah County Department of Community Justice (DCJ) between 2011 and 2018. All officers within the sample received an initial 3-day EPICS training and participated in follow-up EPICS coaching following the coaching process outlined above. The sample was divided into officers that participated in EPICS coaching by providing audio submissions only ($N=99$) and officers that participated in EPICS coaching by providing audio submissions and participating in live coaching sessions ($N=109$).

Study Design

As mentioned above, this dissertation was guided by three research questions with the overall purpose of increasing understanding of what leads to proficiency with core correctional practices within community supervision settings. Research Question 1 asked: *Does live coaching*

significantly increase overall proficiency with core correctional practices? First, to answer this question the total sample was separated into three officer groups types: officers who received coaching based solely on audio submissions, officer who received audio coaching and less live coaching (defined as less than 20% of total submissions), and officers who received audio coaching and more live coaching (defined as more than 20% of total submissions). The study examined if mean overall CCP scores were different across officer coaching types, specifically to determine if officer receiving live coaching had higher mean overall CCP scores than officers that did not. Additionally, officer demographic variables including sex, race, and years of experience were used to determine proficiency with core correctional practices, along with the additional variables of years of coaching received and the month an officer started live coaching. More importantly, the focus of this question was determining if live coaching led to proficiency in core correctional practices.

Research Question 2 asked: *Does live coaching significantly increase proficiency by core correctional practices skill type?* Prior research with probation and parole officers has shown that proficiency with core correctional practices has varied by skill type (Labrecque and Smith, 2017). This previous study demonstrated that officers showed proficiency in certain skills immediately after an initial EPICS training, such as effective reinforcement and effective use of authority, but needed additional coaching and time to reach proficiency with other skills such as structured skill learning, relationship skills, and cognitive restructuring. This suggests that certain core correctional practices are more difficult for officers to master and may require additional feedback and coaching.

For Research Question 2, mean proficiency scores for each of the 8 core correctional practices were calculated for each officer group type (Audio Only, Less Live, and More Live) to

determine which practices officers scored lower in and where officers scored higher. Next, mean proficiency scores were compared across officer group types for all core correctional practices to determine if there were specific skills in which live coaching officers scored significantly higher in than officers receiving audio only coaching.

In the aforementioned longitudinal study on core correctional practices skill acquisition, it was also found that 31.5% of EPICS trained officers were rated as effective overall (effective was defined as a proficiency score of 63% or higher on the EPICS Rating Form) within 3 months of coaching, with the number expanded to 69.8% after one year of follow-up coaching (Labrecque and Smith, 2017). Individually, some core correctional practices such as cognitive restructuring and structured skill building took officers between 12 and 15 months before proficiency was shown. This is the only research that has been specifically devoted to determining which core correctional practices require more time and coaching to master. Therefore, Research Question 3 asks: *Do officers receiving live coaching reach proficiency with core correctional practices faster than officers who do not receive live coaching?* To answer this question, overall proficiency with core correctional practices and proficiency with each practice individually were examined over time. Based on prior research examining EPICS coaching (Labrecque & Smith, 2017), audio submissions and live sessions were binned into 3-month intervals beginning 1 month after the initial training occurred. Overall core correctional proficiency scores were examined based on these time intervals to determine when officers began showing proficiency by group type. Proficiency scores for each of the core correctional practices including *quality interpersonal relationship, prosocial modeling, effective reinforcement, effective disapproval, effective use of authority, cognitive restructuring, structured skill building, and problem solving* were examined at these time intervals to determine if officers took longer to reach proficiency with different skill

types. Last, it was important to explore if live coaching assisted officers in achieving proficiency overall or with any of the individual core correctional practices more quickly than coaching based on audio submissions alone.

Data Preparation

The data used in this dissertation was received from Multnomah County DCJ in two separate Excel files. The first file (Database 1) included data for EPICS submissions from 2011-2015 and included audio submissions only. This data was reflective of the first version of the EPICS Rating Form used by Multnomah County DCJ (*see Appendix A*). The second file (Database 2) included data for EPICS submissions from 2015-2018 and included data from audio submissions as well as live submissions. This data was reflective of the second version of the EPICS Rating Form used by Multnomah County (*see Appendix C*).

Datasets 1 and 2 were imported into separate SPSS files so that variables could be renamed and recoded to allow for merging into a single database for analyses. Both versions of the EPICS Rating Form included items to measure use of the EPICS model structure, including *Check-In, Review, Intervention, Homework, Behavioral Practices, and General Ratings*. Both version of the EPICS Rating Form also included items to measure the use of the 8 core correctional practices, including *Quality Interpersonal Relationships, Cognitive Restructuring, Social Skill Building, Problem Solving, Effective Reinforcement, Effective Disapproval, Effective Use of Authority, and Prosocial Modeling*. Both forms measured the same EPICS structure components and core correctional practices but used slightly different language and scoring methods. Table 3 outlines the items found in Database 1 (EPICS Rating Form 1), Database 2 (EPICS Rating Form 2), and how the items appear in the new merged database. Only items that were relevant to answering the

research questions of the current study were included in the new, merged database. Those that were not necessary for answering the research questions were excluded.

Table 3: Merged Database Items

Check-In Component		
Database 1 Item	Database 2 Item	Merged Database Item
Enhances collaborative relationship/rapport with client	Promoted a collaborative relationship/rapport client	COLLAB_RELATIONSHIP*
Assesses for crisis/acute needs Assesses for compliance with conditions	Assessed for need and compliance areas	NEED_COMPLIANCE
Overall Check-In Rating	Overall Check-In Rating	OVERALL_CHECK
<i>*Core Correctional Practice Item</i>		
Review Component		
Database 1 Item	Database 2 Item	Merged Database Item
Reviews short- and long-term goals of the client	Set or reviewed short- and long-term goals	GOALS
Enhances learning through repetition and feedback Reviews homework from previous session	Reviewed previous intervention and assign homework	REV_INT_HOME
Asks about community agency referrals	Discussed community agency referrals	REFERRALS
Overall Review Rating	Overall Review Rating	OVERALL_REVIEW

Intervention Component		
Database 1 Item	Database 2 Item	Merged Database Item
<i>Not Included</i>	Used an appropriate intervention	<i>Not Included</i>
<i>Not Included</i>	Completed the steps of the intervention	<i>Not Included</i>
Demonstrates the ABC Model	<i>Not Included</i>	<i>Not Included</i>
Uses cognitive-behavioral concepts to recognize and explore antisocial thoughts	Behavior Chain/ABC Model Used the intervention effectively	ANTI_THOUGHTS*
Teaches new prosocial attitudes/thoughts	Cognitive Restructuring Used the intervention effectively	PRO_THOUGHTS*
Uses cognitive-behavioral concepts to recognize and explore risky situations (CBA)	Cost-Benefit Analysis Used the intervention effectively	CBA
Teaches new prosocial skills to manage risky situations (SSB or PS)	Skill Building or Problem Solving Used the intervention effectively	SSB* PS*
Overall Intervention Rating	Overall Intervention Rating	OVERALL_INT

**Core Correctional Practice Item*

Homework Component		
Database 1	Database 2	Merged Database Item
Graduated Rehearsal	<i>Not Included</i>	<i>Not Included</i>
Helps the client to generalize learning to new situations	Generalized the skill learned	GENERALIZE
Assigns appropriate homework	Assigned appropriate homework	APP_HOME
Overall Homework Rating	Overall Homework Rating	OVERALL_HOME

Behavioral Practices		
Database 1	Database 2	Merged Database Item
<i>Not Included</i>	Used appropriate behavioral practice	<i>Not Included</i>
Reinforces prosocial behavior or comments	Completed the components of the behavioral practices	<i>Not Included</i>
Explores short- and long-term benefits of continuing prosocial behavior	Completed the components of the behavioral practices	<i>Not Included</i>
Overall Effective Reinforcement Rating	Used behavioral practice effectively	ER*
Disapproves of antisocial behavior or comments	Completed the components of the behavioral practices	<i>Not Included</i>
Explores short- and long-term consequences of continuing antisocial behavior	Completed the components of the behavioral practices	<i>Not Included</i>
Overall Effective Disapproval Rating	Used behavioral practice effectively	ED*
Focuses on behavior	Completed the components of the behavioral practices	<i>Not Included</i>
Keeps a calm voice	Completed the components of the behavioral practices	<i>Not Included</i>
Specifies choices and attendant consequences	Completed the components of the behavioral practices	<i>Not Included</i>
Overall Effective Use of Authority Rating	Used behavioral practice effectively	EUA*

**Core Correctional Practice Item*

General Ratings		
Database 1	Database 2	Merged Database
Targets criminogenic need	Targeted criminogenic needs	TARGET_NEED
Stays focused on primary criminogenic need	<i>Not Included</i>	<i>Not Included</i>
Spends more time on criminogenic than non-criminogenic needs	<i>Not Included</i>	<i>Not Included</i>
Makes appropriate referrals to outside agencies	<i>Not Included</i>	<i>Not Included</i>
Integrates relapse prevention techniques	<i>Not Included</i>	<i>Not Included</i>
The session was of adequate length	Followed components of the Model	<i>Not Included</i>
Communicates with the client in a respectful manner	<i>Not Included</i>	RESPECT*
Uses open-ended questions	<i>Not Included</i>	<i>Not Included</i>
Uses reflective statements to summarize the client	<i>Not Included</i>	<i>Not Included</i>
Communicates information to the client in a clear and concise manner	Communicated information to the client in a clear and concise manner	CLEAR
Elicits and gives appropriate feedback	Elicited and gave appropriate feedback	FEEDBACK
<i>Not Included</i>	Role clarification	<i>Not Included</i>

**Core Correctional Practice Item*

After items were renamed and merged into a single database, items were recoded using a uniform scoring system. Databases 1 and 2 used different scoring, so the recoding procedure was different. For Database 1, the scoring for each item included 0 for *Needs Improvement*, 1 for *Satisfactory*, 2 for *Very Satisfactory*, and NA for *Not Applicable*. Each variable was recoded according to the procedure outlined in Chapter 3. Items were scored as a 0 if the officer originally received a score of 0, .5 if the officer originally received a score of 1, and 1 if the officer originally received a score of 2. Yes or no items were scored as no = 0 and yes = 1.

For Database 2, the scoring for each item included 0 for *Missed Opportunity*, 1 for *Least Proficient*, 2 for *Some Proficiency*, 3 for *More Proficiency*, 4 for *Most Proficient*, and NA for *Not Applicable*. Each item was recoded using a similar procedure used with the first database, but scores had to be collapsed further. Items were scored as a 0 if the officer originally received a score of 0 or 1, .5 if the officer originally received a score of 2, and 1 if the officer originally received a score of 3 or 4. Yes or no items were scored as no = 0 and yes = 1.

Measures

Dependent Variable

Use of Core Correctional Practices

EPICS Rating Form. The EPICS Rating Form was developed by the University of Cincinnati Corrections Institute (UCCI) in 2008 as part of an EPICS coaching package that followed the initial 3-day training for officers. The form was developed to be used as a structured tool to measure officer adherence to core correctional practices within the EPICS model framework. The form was also developed as a way to provide feedback and coaching on use of the EPICS model and core correctional practices.

The form has gone through two iterations within Multnomah County DCJ including the original form from UCCI and an update in 2016 (*see Appendix A, C*), but has consistently incorporated the following sections: 1) Check-In, 2) Review, 3) Intervention, 4) Homework, 5) Behavioral Practices, 6) General Ratings, and 7) Criminogenic Needs. These sections are described below.

Check-In

This section of the EPICS Rating Form measures officer adherence to the check-in component of the EPICS model. In this section, the officer is expected to ask the offender about acute need areas and compliance with court conditions. Additionally, this section captures adherence to the core correctional practice of *quality interpersonal relationship* by measuring how well the officer did building and maintaining a collaborative relationship with the offender.

Review

This section of the EPICS Rating form measures officer adherence to the review component of the EPICS model. In this section, the officer is expected to set and review offender goals, discuss offender participation in community agency referral programs, and review previously taught cognitive-behavioral interventions and homework assignments.

Intervention

This section of the EPICS Rating Form measures officer adherence to the intervention component of the EPICS model. More specifically, this section measures officer adherence to cognitive-behavioral interventions including *cognitive restructuring, structured skill building, and problem solving* (all core correctional practices).

Homework

This section of the EPICS Rating Form measures officer adherence to the homework component of the EPICS model. In this section, the officer is expected to generalize learning of a cognitive-behavioral intervention to multiple risky situations within an offender's life and assign practice-related homework to increase the likelihood the offender will be able to incorporate the intervention into real-life situations.

Behavioral Practices

This section of the EPICS Rating Form measures adherence to three core correctional practices that officers have the opportunity to use during one-on-one sessions with offenders on their caseload including *effective reinforcement, effective disapproval, and effective use of authority*.

General Ratings

The general ratings section measures adherence to general communication techniques and to the EPICS model structure taking into account the full session between officer and offender.

Adherence to the core correctional practice of *prosocial modeling* is captured within this section of the form.

Criminogenic Needs

Last, the criminogenic needs section captures officer adherence to the need principle by measuring if the officer targeted and focused on criminogenic need areas during the one-on-one contact session with an offender.

Scoring the EPICS Rating Form. Each audio submission or live EPICS session was coded by a trained coder using the structured EPICS Rating Form and an associated Scoring Guide. The Scoring Guide acts as an instructional manual that directs the coder how to listen for specific indicators of each EPICS component and core correctional practice and provide a quality score based on the use of the indicators (*see Appendix B for the full Coding Key Version 1, see Appendix D for the full Coding Key Version 2*). EPICS coders are provided with training on the EPICS model and specific, dedicated training on how to code the EPICS Rating Forms using the Scoring Guides. Within the time frame of the current study (2011-2018), forms were coded by UCCI coders as well as Multnomah County DCJ coders. Both sets of coders received similar training based on UCCI's New Coder Training format (*see Appendix E*). Each core correctional practice and associated indicators from the EPICS Rating Forms are outlined below:

Quality Interpersonal Relationship

- Set the tone by being genuine
- Set the tone by being collaborative
- Set the tone by showing concern/empathy
- Set the tone by engaging the client

Cognitive Restructuring

- Introduce the intervention
- Discuss the importance or usefulness of the intervention
- Explain the different components of the intervention
- Emphasize how the components are linked together
- Help client recognize risky, antisocial thoughts
- Using the same situation, help client replace risky, antisocial thoughts with pro-social thoughts (i.e. cognitive restructuring)
- Model new prosocial thoughts
- Have client role play or practice new restructured thoughts

- Give client feedback after role play completed

Structured Skill Building

- Introduce the skill
- Discuss the importance or usefulness of the skill
- Explain the different steps of the skill
- Elicit client input on the skill steps
- Apply the skill to a specific situation of the client
- Model the skill steps (play the client and walk through the steps of the skill) with the specific situation
- Have the client role play/ practice the skill with the specific situation
- Provide feedback to the client about the role play/skill practice

Problem Solving

- Introduce the skill
- Discuss the importance or usefulness of the skill
- Explain the different steps of the skill
- Elicit client input on the skill steps
- Apply the skill to a specific situation of the client
- Model the skill steps (play the client and walk through the steps of the skill) with the specific situation
- Have the client role play/ practice the skill with the specific situation
- Provide feedback to the client about the role play/skill practice

Effective Reinforcement

- Reinforce the pro-social behavior or comment
- Explain why they reinforced what was said or did (providing specific reasons)
- Explore the short term and long-term benefits of continuing pro-social behavior

Effective Disapproval

- Disapprove of anti-social behavior or comment
- Explain why they disapproved of what was said or did (providing specific reasons)
- Explore the short term and long-term consequences of continuing anti-social behavior
- Discuss and identified prosocial alternatives that could be used in place of the unacceptable behavior

Effective Use of Authority

- Identify expected behavior
- Indicate negative consequence(s) that will occur for not engaging in the expected behavior
- Indicate positive consequences if the choice is made to engage in expected behavior
- Encourage and guided individual towards expected behavior

- Praise compliance if they choose expected behavior and, if not, reminded of consequence and imposed it

Prosocial Modeling

- When the officer speaks to the client, did they do any of the following?
 - Use a respectful tone and appear genuine
 - Encourage client's behavior change
 - Use language that is respectful and not derogatory
 - Use verbal praise throughout session
- When the officer speaks to the client, are any of the following negative interactions present?
 - Pattern of sarcasm
 - Pattern of hopelessness or inability of the client to change
 - Disrespectful comments/terms
 - Inappropriate remarks

Core Correctional Practices Score Calculations

Overall CCP Proficiency Score Calculation. First, because Multnomah County DCJ used two versions of the EPICS Rating Form since the initial training and coaching process in 2011, components on each version of the form were recoded and merged into a single database. The items that were merged into a single database included the 8 core correctional practices: *quality interpersonal relationship, cognitive-restructuring, structured skill building, problem solving, effective reinforcement, effective disapproval, effective use of authority, and prosocial modeling.*

Prior research conducted on EPICS coaching guided the calculation of the CCP proficiency scores (Latessa et al., 2013, Labrecque & Smith, 2017). After all items were recoded and merged into a single database, a CCP proficiency score was calculated. Items from the EPICS Rating Form were included only if there was an opportunity for the officer to use the item, meaning that no items scored as *Not Applicable* were included in the score. Items were scored as a 0 if the officer had the opportunity to use the item, but did not, .5 if the officer used the item, but needed improvement or missed major steps, and 1 if the officer was scored as having a satisfactory use of the item. Yes or no items were scored as no = 0 and yes = 1. Each applicable item on the EPICS

Rating Form was added and the total number was divided by the number of applicable items. This calculation produced a range of potential CCP proficiency scores of .00 to 1.00. Scores closer to .00 indicated low proficiency with core correctional practices and scores closer to 1.00 indicated high proficiency with core correctional practices. Based on prior research, any score above .63 (or 63%) was defined as proficient (Latessa et al., 2013). An overall CCP proficiency score was also calculated for each audio submission session and live session for which an EPICS Rating Form was completed. Next, for each officer, all CCP proficiency scores from each of their EPICS Rating Forms were added together and divided by the total number of EPICS Rating Forms for that officer to produce that officer's mean overall CCP proficiency score.

Individual CCP Proficiency Score Calculation. Because it was also important to evaluate the use of individual core correctional practices throughout the coaching process, a proficiency score was calculated for each of the 8 core correctional practices including *quality interpersonal relationship, cognitive-restructuring, structured skill building, problem solving, effective reinforcement, effective disapproval, effective use of authority, and prosocial modeling*. Items from the EPICS Rating Form were included only if there was an opportunity for the officer to use the item, meaning that no items scored as *Not Applicable* were included. Items were scored as a 0 if the officer had the opportunity to use the item, but did not, .5 if the officer used the item, but needed improvement or missed major steps, and 1 if the officer was scored as having a satisfactory use of the item. Therefore, each applicable core correctional practice received a score of 0, .5 or 1 for each EPICS Rating Form completed for an audio submission or live session. Next, each officer's individual core correctional practice score was added from each of their EPICS Rating Forms and divided by the total number of EPICS Rating Forms for that officer to produce that officer's average individual core correctional practice proficiency scores. Therefore, each officer

received a proficiency score between .00 and 1.00 for *quality interpersonal relationship, cognitive-restructuring, structured skill building, problem solving, effective reinforcement, effective disapproval, effective use of authority, and prosocial modeling*. Scores closer to .00 indicated low proficiency with the individual core correctional practice and scores closer to 1.00 indicated high proficiency with the individual core correctional practice. Based on prior research, any score above .63 (or 63%) was defined as proficient (Latessa et al., 2013).

Overall CCP Proficiency Scores by Time. In order to assess the acquisition of skills over time, overall CCP proficiency scores were binned into 3-month periods starting 1 month after the initial training (Labrecque & Smith, 2017). Each officer received a mean overall CCP proficiency score for each 3-month period. This score was calculated by adding the officer's overall CCP proficiency scores from a 3-month time period and dividing them by the total number of EPICS Rating Forms completed on their submissions for that 3-month time period. Scores closer to .00 indicated low proficiency with core correctional practices and scores closer to 1.00 indicated high proficiency with core correctional practices. Based on prior research, any score above .63 (or 63%) was defined as proficient (Latessa et al., 2013).

Individual CCP Proficiency Scores by Time. In order to assess the acquisition of specific skills over time, individual CCP proficiency scores were also binned into 3-month periods starting 1 month after the initial training. Each officer received an average CCP proficiency score for each of the core correctional practices for each 3-month period. This score was calculated by adding the officer's individual CCP proficiency scores from the 3-month time period and dividing them by the total number of EPICS Rating Forms completed on their submissions for that 3-month time period. Scores closer to .00 indicated low proficiency with the individual core correctional practice and scores closer to 1.00 indicated high proficiency with the individual core correctional practice.

Based on prior research, any score above .63 (or 63%) was defined as proficient (Latessa et al., 2013).

Independent Variables

EPICS Individual Coaching. Consistent with UCCI recommendations, each time a trained Multnomah County DCJ officer submitted an audio recording of an EPICS session or had an EPICS coach sit in on a live session, written feedback and verbal coaching were provided. Written feedback was provided in the form of the EPICS Rating Form. Verbal feedback was provided by an EPICS coach and included a review of strength areas, areas to improve, modeling and practicing for areas in which improvement when necessary, and a plan on how to incorporate the feedback and coaching into future EPICS sessions with offenders.

Officers Receiving Individualized Coaching based on Audio Submissions Only

In order to evaluate officer use of core correctional practices, measure adherence to the EPICS model structure, and provide ongoing feedback to increase skill proficiency, trained officers at Multnomah County DCJ were asked to submit audio recordings using the EPICS model during one-on-one contact sessions with offenders. During the first six months of coaching after the initial EPICS training, officers were asked to submit an audio using the EPICS model with a specific intervention (for example: submit an EPICS session using *Structured Skill Building* during the intervention component). During this time frame, officers were permitted to choose any audios from moderate- or high-risk offenders on their caseload to record and submit, as long as the offender granted permission to do so. After the initial six-month period, officers were still asked to submit monthly audios from moderate- or high-risk offenders on their caseload but could then also submit using any intervention that was appropriate during the recorded contact session.

Officers were also permitted to move to a quarterly submission schedule once they had shown proficiency in each of the EPICS interventions (*Cost-Benefit Analysis, Cognitive Restructuring, Structured Skill Building, and Problem Solving*) and behavioral practices (*Effective Reinforcement, Effective Disapproval, and Effective Use of Authority*). If an officer that was on a quarterly submission provided two audios in a row that were shown to be not proficient in the above EPICS intervention areas (not proficient would be a score of less than 3 on Version 2 of the EPICS Rating Form, *See Appendix C*), they would move back to a monthly submission schedule until they could demonstrate proficiency with the intervention before moving to a quarterly schedule again.

After audios were submitted, a trained listener coded the audio for adherence to the EPICS model structure including *check-in, review, intervention, and homework* and core correctional practices including *quality interpersonal relationship, prosocial modeling, effective reinforcement, effective disapproval, effective use of authority, cognitive restructuring, structured skill building, and problem solving*. Coding for these items was completed using the EPICS Rating Form.

Once an audio was coded, the officers' coach would return the completed EPICS Rating Form to the officer and schedule a one-on-one coaching session to review the results. Within the coaching session, the coach would review the officers' strength areas, their needs improvement areas, how they could improve in the areas discussed, and both officer and coach would decide on a specific goal to improve upon concerning one of the needs improvement areas (*See the first page of the EPICS Rating Form Version 2 in Appendix C*).

A total number of 99 officers, receiving coaching based on audio submission only, submitted 732 audio submission EPICS Rating Forms between 2011 and 2018.

Officers Receiving Individualized Coaching based on Audio Submissions and Live Sessions

In an effort to decrease the amount of time it took for officers to receive feedback on their EPICS submissions, Multnomah County DCJ began incorporating and prioritizing the process of live coaching in May 2015. Instead of submitting an audio recording of an EPICS session, an EPICS coach sat in or would listen nearby to a one-on-one contact session between officer and offender. As outlined above, all officers were on either a monthly or quarterly submission schedule based on where they were in the coaching process and if they had demonstrated the necessary proficiencies to move to quarterly submission. Based on this schedule, once live coaching began, the EPICS coach would reach out to the officer when their submission was coming up to attempt to schedule a live session instead of having the officer submit an audio. Priority was given to scheduling the live session, but at times this was not possible mainly due to offender no-shows or scheduling conflicts between officer and coach. Similar to audio submission, officers were permitted to choose any moderate- and high-risk offender on their caseload to complete the live session with.

The live coaching process was first preceded by a pre-coaching session in which the coach and officer reviewed the plan for the contact session. This would mainly consist of the intervention the officer was planning to use with the offender and if they had any EPICS-related questions for the coach before the contact session. During the contact session, based on the offender's comfort level, the coach would either sit in the session or listen in outside the door or cubicle. While the coach was listening to the contact session, they would take notes and fill out the same EPICS Rating Form that coaches used when listening to an audio submission. The main difference was that the coaches were filling out the form in real-time in order to be able to give immediate feedback to the officer once the contact session was complete. Once the contact session ended, the

coach and officer had a post-coaching session, which consisted of the coach providing immediate feedback to the officer based on the EPICS Rating Form. In this process, just like with the audio submission, the coach coded the live session for adherence to the EPICS model structure including *check-in, review, intervention, and homework* and core correctional practices including *quality interpersonal relationship, prosocial modeling, effective reinforcement, effective disapproval, effective use of authority, cognitive restructuring, structured skill building, and problem solving*. Additionally, just like with the audio submission process, within the coaching session, the coach would review the officers’ strength areas, their needs improvement areas, how they could improve in the areas discussed, and both officer and coach would decide on a specific goal to improve upon concerning one of the needs improvement areas (*See the first page of the EPICS Rating Form Version 2 in Appendix C*).

A total number of 109 officers receiving coaching based on audio and live submissions, submitted 1,915 audio submissions between 2011 and 2018 and 523 live observation EPICS Rating Forms between 2015 and 2018. A summary of officer group type and the amount of live coaching defining that group type is summarized in Table 4.

Table 4: Summary of Officer Type and Amount of Coaching

Officer Type	Amount of Live Coaching
Audio Submission Only	0% of submissions
Audio Submission + Less Live Coaching	<20% of submissions
Audio Submission + More Live Coaching	≥20% of submissions

Control Variables

Officer Information. Demographics for each officer were also collected to act as control variables. Demographics being collected included sex, race, and years of experience. Sex and race were both coded dichotomously, where 0 = male and 1 = female and 0 = white and 1 = nonwhite. Years of experience was defined as a limited metric variable representing the total number of years the officer worked for Multnomah County Department of Community Justice.

Years of Coaching. Because the EPICS coaching process occurred over a long period of time, years of coaching an officer received acted as a control variable within the analysis. This variable was measured as a limited metric variable.

Month Started Live Coaching. Additionally, officers who received live coaching began receiving it at different points within the coaching process. Therefore, the month they started live coaching, measured as a limited metric variable was also included as a control variable.

Data Analysis

First, descriptive statistics including frequencies, means, and standard deviations were calculated for each of the demographics for all officers who participated in EPICS coaching within Multnomah County DCJ between 2011 and 2018. These initial analyses were conducted in order to describe the sample. This included sex, race, and years of experience. Second, two officer groups were created from the total sample based on the type of coaching the officer received. The first group consisted of officers who received individualized coaching based on audio submissions only and the second group consisted of officers who received individualized coaching based on audio submissions and the live session format. Descriptive statistics of officers were examined by

group type to test for any statistically significant differences between officers receiving only coaching based on audio submissions and those receiving coaching based on a combination of audio submissions and live sessions. Additionally, for those officers who received both audio submission coaching and live coaching, “less live” and “more live coaching” subcategories were created by examining the number of audio submissions versus live coaching sessions the officer participated in. Officers who received both types of coaching were placed into a “less live coaching” officer category if less than 20% of their total coaching sessions were live in nature. Officers were placed into a “more live coaching” officer category if 20% or more of their total coaching sessions were live in nature.

Next, CCP proficiency scores were calculated for each audio submission and live session for the total sample. For each officer in the sample, all CCP proficiency scores from each of their EPICS Rating Forms were added together and divided by the total number of EPICS Rating Forms for that officer to produce that officer’s mean overall CCP proficiency score. Mean overall CCP proficiency scores were also calculated based on group type (audio submission and audio submission + live session combination). Each officer’s individual core correctional practice scores were added from each of their EPICS Rating Forms and divided by the total number of EPICS Rating Forms for that officer to produce that officer’s mean individual core correctional practice proficiency scores. Therefore, means were calculated for each of the 8 core correctional practices based on group type, including scores for *Relationship Skills*, *Anticriminal Modeling*, *Effective Reinforcement*, *Effective Disapproval*, *Effective Use of Authority*, *Cognitive Restructuring*, *Structured Skill Building*, *Problem Solving*.

To answer Research Question 1: *Does live coaching significantly increase overall proficiency with core correctional practices*, initial examinations were conducted to explore

differences in the use of core correctional practices across officer groups. To determine if there were meaningful differences in mean overall CCP proficiency scores between officers who received audio submission coaching only and officers who received both audio submission and live coaching, a one-way between subjects ANOVA was used. Specifically, an ANOVA was used to test for statistically significant differences in mean overall CCP proficiency scores between: (1) officers who received audio submission coaching only; (2) officers who received a combination of audio submission coaching and less live coaching; and (3) officers who received a combination of audio submission coaching and more live coaching.

Second, bivariate correlations were conducted to determine if there was a significant relationship between the percentage of live coaching an officer received and their mean overall CCP score. This process was conducted for the total sample (which included 99 officers who did not receive live coaching) and then just for portion of the sample that received live coaching (109 officers who received a varying amount of live coaching throughout the coaching period).

Third, variation in mean overall CCP proficiency scores determined the specific regression model that was used to analyze the relationship between CCP proficiency score and coaching variables (audio submissions only, less live coaching, and more live coaching). The outcome variable, (mean overall CCP score) was kept continuous in nature (values varied between 0.00 and 1.00). Creating “not proficient” and “proficient” categories was not feasible for the sample because most mean overall CCP scores were above the .63 proficiency mark, showing little variability if the outcome variable were made dichotomous. Finally, a hierarchical multivariate linear regression was used to determine the relationship between officer characteristics, coaching characteristics, coaching type, and mean overall CCP proficiency.

To answer Research Question 2: *Does live coaching significantly increase proficiency by core correctional practices skill type*, initial descriptive statistics were calculated to describe differences in individual skill proficiency scores across the different officer coaching types. Additionally, comparisons of each of the 8 core correctional practices will be made between officers who received coaching based on audio submissions only and those who received coaching based on audio submissions and live sessions using one-way between subjects ANOVAs.

Last, in a previous evaluation of EPICS, Latessa et al. (2013) found that officers who were categorized as high-fidelity officers (defined as those officers with a total EPICS proficiency score of 63% or higher) supervised offenders with lowered incidences of recidivism. Smith & Labrecque (2017) also examined the frequency of officers that scored in the effective range at each 3-month time interval and found that 31.5% of trained officers were rated in the effective range during the first time interval (1-3 months) and after 1 year of coaching, 69.8% of officers fell into the effective range. This study will also examine the frequency of officers that scored in the effective range at each 3-month time interval to determine if officers receiving coaching based on audio submissions and live sessions were rated in the effective range more often and/or more quickly than those receiving coaching from audio submissions only.

To answer Research Question 3: *Do officers receiving live coaching reach proficiency with core correctional practices faster than officers who do not receive live coaching*, the mean CCP proficiency scores for each of the officer group types (Audio Only, Less Live, and More Live) were binned in 3-month increments beginning 1 month after the initial training occurred. The study then examined the frequency of officers that scored in the proficient range at each 3-month time interval to determine if officers receiving live coaching were rated in the proficient range more often and/or more quickly than those receiving coaching from audio submissions only. This

process was then repeated for each of the 8 core correctional practices to determine if officers receiving live coaching were rated in the proficient range more often and/or more quickly than those receiving audio coaching only for any of the individual practices.

Summary

Each of the research questions proposed by this dissertation addresses a gap in existing knowledge of coaching and skill proficiency with core correctional practices. The purpose of this study was to provide further insight into coaching variables that lead to skill acquisition and proficiency with core correctional practices when utilized within RNR models of community supervision.

This chapter described the Multnomah County DCJ rating form data that was collected as part of a long-term EPICS fidelity initiative within the agency. The sample of interest included Multnomah County DCJ officers who participated in EPICS coaching by submitting audio sessions and participating in live coaching sessions between the years of 2011 and 2018. Using the data collected on this specific sample, this study sought to determine if the type of feedback and coaching that officers received was associated with higher overall proficiency in core correctional practices, higher proficiency with specific practices, and a faster time to proficiency. Multnomah County DCJ offered unique insight into feedback and coaching variables associated with core correctional practices proficiency because it allowed the comparison of officers who received feedback and coaching based on traditional audio recording procedures to officers who received feedback and coaching based on a new live feedback and coaching format. These comparisons were accomplished through the use of bivariate correlations, ANOVAs, and regression analyses,

with the addition of a binning technique to allow for comparisons based on time. The following two chapters of this dissertation present the results of the analyses and a discussion of the results.

CHAPTER 4: RESULTS

The previous chapters outlined relevant literature that showed RNR models of community supervision are effective at reducing recidivism, but also that fidelity to core correctional practices is a crucial element to this effectiveness. Relevant literature was used to show that research in the area of implementation, specifically coaching procedures, is limited when it comes to RNR models of community supervision seeking to increase officer use and proficiency of core correctional practices. Therefore, Chapter 3 included a description of the methodology for analyses to examine if the use of live coaching is a technique that will assist officers in increasing their proficiency with core correctional practices.

This chapter will present results of analyses conducted to determine if live coaching improves community supervision officer use of core correctional practices. This chapter will first review univariate descriptive statistics of the sample and will then present the results from each of the three research questions outlined previously. The chapter will contain three major sections organized by research question. Specifically, the research questions previously posed that will be answered in this section include:

- 1) Does live coaching significantly increase overall proficiency with core correctional practices?
- 2) Does live coaching significantly increase proficiency by core correctional practices skill type?
- 3) Do officers receiving live coaching reach proficiency with core correctional practices faster than officers who do not receive live coaching?

A review of the analyses performed and the main findings will act as a summary at the end of each research question section. Finally, Chapter 5 will provide a more in-depth discussion of the findings presented in this chapter.

Description of Sample

A total of 208 probation and parole officers provided EPICS submissions for Multnomah County DCJ between 2011 and 2018: 99 officers that provided audio submissions only, 54 officers who provided a combination of audio submissions and a small amount of live submissions (less than 20% of submissions were live), and 55 officers who provided a combination of audio submissions and a larger amount of live submissions (20% or more of submissions were live). Table 5 describes the characteristics of the officers in the study separated by group type.

Table 5: Descriptive statistics of probation and parole officers, by group type

Characteristic	Audio Only (99)		Less Live (54)		More Live (55)	
	N	%	N	%	N	%
Male	40	42.1	21	38.9	30	54.5
White	68	73.1	37	68.5	49	89.1
Mean Years of Service (SD)	14.4	9.3	13.4	8.5	10.0	8.3

In general, the officers in the study were predominately white and female. The only exception to this appeared in the More Live Coaching group, where male officers were in the slight majority. The Audio Only officer group had the highest mean years of service for any group at 14.4 years, followed by the Less Live Coaching group with 13.4 years, and finally the More Live Coaching group had the lowest amount with 10 years of service.

Research Question One

Descriptives

Research question one seeks to determine if the use of live coaching is associated with a significant increase in overall officer proficiency with core correctional practices. The first step in answering this question was to create a mean CCP score for each officer included in the sample. Because not all items on the EPICS Rating Form measure core correctional practices, items measuring these practices were isolated for each officer submission. The EPICS Rating Form items specifically measuring core correctional practices are outlined in Table 6 below.

Table 6: EPICS Rating Form Items Measuring Core Correctional Practices

Core Correctional Practice	EPICS Rating Form Item(s)
Quality Interpersonal Relationship	<i>Promoted a collaborative relationship with client</i>
Cognitive Restructuring	<i>Identified risky thinking Restructured/identified prosocial thinking</i>
Structured Skill Building	<i>Structured skill building*</i>
Problem Solving	<i>Problem solving*</i>
Effective Reinforcement	<i>Effective reinforcement</i>
Effective Disapproval	<i>Effective Disapproval</i>
Effective Use of Authority	<i>Effective Use of Authority</i>
Prosocial Modeling	<i>Communicated with client in a respectful manner**</i>

**Problem Solving was scored as part of Structured Skill Building for submissions from 2015-2018.*

***Information on this variable was only available for audio submissions from 2011-2015.*

For each officer submission, scores for the core correctional practice items were totaled and divided by the number of applicable core correctional practice items for that submission, creating the overall CCP score for that submission. Next, each officer was isolated, their overall CCP

scores for all submissions were added and divided by the number of submissions, producing the officer’s mean overall CCP score.

As outlined in Chapter 3, to examine if the use of live coaching leads to increased proficiency in the use of core correctional practices, officers were separated into two groups: officers who received coaching based on audio submission only and officers who received coaching based on audio submissions and live submissions. Additionally, officers receiving both audio and live coaching were further separated into a “less live” coaching group and a “more live” coaching group. To determine the cutoff point for less live versus more live coaching, a percentage of live coaching variable was created. Descriptives on officers receiving a combination of audio and live coaching are summarized in Table 7.

Table 7: Officers Receiving a Combination of Audio and Live Coaching

Total (N)	Minimum	Maximum	Mean	Median	SD
109	.027	.700	.237	.200	.142

109 officers within the sample received coaching based on a combination of audio submissions and live submissions. The amount of live coaching received ranged from 2.7% to 70% with a mean of 23.7% and a median of 20%. To allow for the same number of officers in the “less live” and “more live” coaching groups, the median score was used. Therefore, the “less live” coaching group was defined as officers who received less than 20% of their coaching from live submissions. The “more live” coaching group was defined as officers who received 20% or more of their coaching from live submissions.

Because the focus of research question one is overall use of core correctional practices, initial descriptives on mean overall CCP scores were conducted after officers were separated into coaching groups. Table 8 displays mean overall CCP scores by officer group type.

Table 8: Mean Overall CCP Score by Group Type

Officer Type (N)	Mean Overall CCP Score	SD
Audio Only (99)	.795 (79.5%)	.128
Less Live Coaching (54)	.800 (80.0%)	.075
More Live Coaching (55)	.842 (84.2%)	.059

Officers receiving coaching based on audio submission only had the lowest mean overall CCP score out of the three groups of officers ($M = .795$). Officers receiving coaching based on audio submissions and less live coaching had a slightly higher mean overall CCP score ($M = .799$). Those officers receiving coaching based on audio submissions and who also received more than 20% of their coaching based on live submissions had the highest mean overall CCP score ($M = .842$). These improvements in mean overall CCP score as amounts of live coaching were added offer an initial display of a dose-response relationship between increases in live coaching and increases in proficiency. Additionally, when examining the third column of Table 8, it appears that standard deviations are lower for both Less Live and More Live officers, indicating scores across these groups were closer to the mean scores shown in the second column of Table 8. However, the standard deviation for the Audio Only group is more than double that of the More Live Group and almost double that of the Less Live group, indicating more variability in scores within this group of officers.

To further explore if mean overall CCP score increased as the amount of live coaching increased, descriptives were ran to determine the mean overall CCP score for each 10% increase in the amount of live coaching an officer received. Table 9 outlines the mean overall CCP scores as percentage of live coaching increased.

Table 9: Mean Overall CCP Scores as Percentage of Live Coaching Increases

Percentage of Live Coaching (N)	Mean Overall CCP Score	SD
0% (99)	.795 (79.5%)	.128
0-9.99% (17)	.781 (78.1%)	.092
10-19.99% (38)	.812 (81.2%)	.066
20-29.99% (25)	.823 (82.3%)	.062
30-39.99% (13)	.841 (84.1%)	.042
40-49.99% (9)	.858 (85.8%)	.063
50-70% (7) [†]	.875 (87.5%)	.063

[†]50-60% and 60-70% were combined because of the small number of officers falling into each category.

Again, the mean overall CCP score for officers receiving coaching based on audio submission only (0% live coaching) was 79.5%. With the exception of the 0-10% live coaching category, which showed a slight decrease in mean overall CCP score at 78.1%, mean overall CCP scores increased with each 10% increase in percentage of live coaching. The highest mean overall CCP score was found within the 50-70% percentage of live coaching category at 87.5%, which was almost 8 percentage points higher than officers receiving coaching based on audio submissions only. These results offer additional and stronger evidence of a dose-response relationship between live coaching and CCP proficiency, which can be seen as the mean overall CCP score increases with each 10% “dose” of live coaching that officers received.

Bivariate Analyses

Next, bivariate correlations were conducted to examine if the percentage of live coaching received was correlated with mean overall CCP scores of officers. Table 10 shows the correlation between percentage of live coaching received and officer mean overall CCP scores. Table 10 displays the correlation for all officers in the sample, which would include those officers receiving

coaching based on audio submissions only (N=99) and officers who received a combination of audio coaching and live coaching (N=109).

Table 10: Bivariate Correlation for Percent Live and Mean Overall CCP Score

		Percent Live	Mean Overall CCP Score (All Officers)
Percent Live	Pearson Correlation	1	.219**
	Sig. (2-tailed)		.002
	N	208	208
Mean Overall CCP Score (All Officers)	Pearson Correlation	.219**	1
	Sig. (2-tailed)	.002	
	N	208	208

**Correlation is significant at the 0.01 level (2-tailed).

Results of the bivariate correlation show a significant positive correlation ($r = .219, p = .002$) between the percentage of live coaching received and mean overall CCP scores for the total sample.

Table 11 shows the correlation between percentage of live coaching received and the mean overall CCP score of officers, but only includes those officers who received coaching based on a combination of audio and live submissions (N=109). For this correlation, officers receiving no amount of live coaching were removed to examine the strength of the relationship between any percentage of live coaching above 0 and mean Overall CCP score.

Table 11: Bivariate Correlation for Percent Live and Mean Overall CCP Score

		Percent Live	Mean Overall CCP Score (Live Officers)
Percent Live	Pearson Correlation	1	.376**
	Sig. (2-tailed)		.000
	N	109	109
Mean Overall CCP Score (Live Officers)	Pearson Correlation	.376**	1
	Sig. (2-tailed)	.000	
	N	109	109

**Correlation is significant at the 0.01 level (2-tailed).

Here, there was a stronger, significant positive correlation ($r = .376$, $p = .000$) between the percentage of live coaching received and mean overall CCP scores for officers receiving a combination of audio and live coaching, showing that as percent of live coaching increased, it was associated with higher mean overall CCP scores.

Next, to move beyond describing the sample, a one-way ANOVA was performed to determine if there were significant differences in mean overall CCP scores across the three officer group types. There was a significant effect of the type of coaching on mean overall CCP scores at the $p < .05$ level for the three officer group types [$F(2,205) = 4.172$, $p = .017$]. Table 12 provides the results of the ANOVA with post hoc comparisons.

Table 12: ANOVA Comparisons of Mean Overall CCP Scores, by Live Coaching Start

Group	<i>n</i>	Mean	<i>SD</i>	Games-Howell Comparisons		
				Audio Only	Less Live	More Live
Audio Only	99	.795	.128	--	-.005	-.047*
Less Live	54	.800	.075	.005	--	-.043*
More Live	55	.842	.059	.047*	.043*	--

* $p \leq .05$

** $p \leq .001$

Because the ANOVA produced a statistically significant result, post-hoc comparisons were performed to determine which officer group means were significantly different from one another. The Games-Howell test was chosen as Levene's test for homogeneity of variances was significant, revealing that equal variances could not be assumed for these officer groups. Post hoc comparisons using the Games-Howell test indicated the mean score for officers in the More Live group ($M=.842$, $SD=.059$) was significantly different from the mean score for both the Audio Only group ($M=.795$, $SD=.128$) and the Less Live group ($M=.800$, $SD=.075$). However, no significant differences were found between means of the Audio Only and Less Live group.

Taken together, these results suggest that receiving more live coaching is associated with higher mean overall CCP scores. Specifically, these results show that officers who received 20% or more of their coaching based on live submissions had significantly higher mean overall CCP scores when compared to officers receiving coaching based on audio submissions only and when compared to officers who received less than 20% of their coaching based on live submissions. It should be noted that the results did not indicate a significant difference between means for Audio Only and Less Live officers.

Multivariate Analysis

To approach this component of the first research question, a two-step hierarchical linear regression analysis was conducted to specifically evaluate the extent at which live coaching predicts mean overall CCP score. The use of a linear regression model was chosen over a logistic regression model as the outcome variable (mean overall CCP score) was kept continuous. Mean overall CCP score was kept as a continuous variable because all three groups of officers had mean overall CCP scores that were above the previously determined high-fidelity score of .630 (63.0%). A hierarchical linear regression model was used to determine if the percentage of live coaching

explained a statistically significant amount of variance in mean overall CCP scores after accounting for the included control variables and to specifically isolate its predictive power.

For model 1, mean overall CCP score was entered as the dependent variable and Race (0=White, 1=Nonwhite), Sex (0=Male, 1=Female), Years of Experience (coded as years employed by Multnomah County DCJ), Years of Coaching (coded as the number of years the officer has received any EPICS coaching), and Live Coaching Start Date (coded as the month the officer began live coaching) were entered as the independent variables. For model 2, Percentage of Live Coaching was added as an independent variable to determine the specific change in variance explained for this variable of interest. Intercorrelations between the multiple regression variables are reported in Table 13 and the regression statistics are reported in Table 14.

Table 13: Regression Correlation Matrix

	<i>Race</i>	<i>Sex</i>	<i>Experience</i>	<i>Years of Coaching</i>	<i>Live Start</i>	<i>% Live Coaching</i>
<i>Race</i>	1	-.085	.071	.005	.057	-.155*
<i>Sex</i>	-.085	1	.014	-.070	-.039	-.113
<i>Experience</i>	.071	.014	1	.583**	.134	-.270**
<i>Years of Coaching</i>	-.005	-.070	.583**	1	.389**	-.110
<i>Live Start</i>	.057	-.039	.134	.389**	1	.424**
<i>% Live Coaching</i>	-.155*	-.113	-.270**	-.110	.424**	1

* $p \leq .05$

** $p \leq .001$

Table 14: Hierarchical Regression Analysis of Predictors of Mean Overall CCP Proficiency

Predictor Variables	Model 1			Model 2		
	β	t	p	β	t	p
Race (0, white; 1, nonwhite)	-.138*	-1.971	.050	-.092	-1.314	.190
Sex (0, male; 1, female)	-.028	-.407	.684	.002	.030	.976
Years of Experience	-.204*	-2.360	.019	-.149	-1.725	.086
Years of Coaching	.230*	2.479	.014	.284*	3.059	.003
Started Live Coaching	-.068	-.889	.375	-.202*	-2.331	.021
Percentage of Live Coaching				.255*	3.041	.003

* $p \leq .05$ ** $p \leq .001$

First, a check for multicollinearity was performed to determine if this would be problematic in the regression models. Collinearity statistics showed that no tolerance level was less than .20 and there were no corresponding VIF values of 10 or above, indicating multicollinearity was not problematic within the regression model. Additionally, there were six officers that had a combination of data missing for the variables of Race, Sex, and Years of Experience. Because this represented a small percentage (2.89%) of the overall sample, these officers were excluded from the regression analysis.

Model 1 produced a significant regression equation ($F(5,196) = 2.537, p = .030$) with an R^2 of .061 (6.1%), meaning that approximately 6% of the variation in mean overall CCP score can be explained by the current combination of variables. In model 1, Race, Years of Experience, and Years of Coaching (the number of years the officer had received EPICS coaching) were significant predictors of mean overall CCP score. Significant coefficients are displayed in the first column under Model 1 in Table 14. A negative and statistically significant coefficient for Race indicates

that the model would predict lower overall mean CCP scores for the reference group (white) and higher scores for nonwhite officers. Years of Experience produced a negative coefficient, showing that the model would predict that as officer years of experience increased the mean overall CCP score would decline. Conversely, Years of Coaching produced a significant and positive coefficient, meaning the model would predict that as the years of coaching received increased, so would the mean overall CCP score. Taken together, model 1 produced a statistically significant regression model and indicates that three included independent variables are statistically significant in predicting the outcome variable of mean overall CCP score, however, the R^2 value (.061) is still relatively low. This indicates that while the combination of these variables is correlated with the outcome variable of mean overall CCP score, they do not explain a high amount of variability in scores.

In the second regression model, the independent variable of interest (Percentage of Live Coaching) was entered into the regression equation. Model 2 also produced a significant regression equation ($F(6,195) = 3.744, p=.002$) with an R^2 of .103. Significant coefficients are displayed in the first column under Model 2 in Table 14. Race and Years of Experience were no longer significant predictors within this model. Instead, Years of Coaching, Live Coaching Start Date (month the officer began receiving live coaching), and Percentage of Live Coaching were significant predictors of mean overall CCP scores. As with the previous model, Years of Coaching produced a positive coefficient, showing that additional years of coaching are associated with higher mean overall CCP scores. Live Coaching Start Date produced a significant negative coefficient, indicating an inverse relationship. This indicates when an officer began live coaching later in the EPICS coaching process (indicated by a higher start month), it was associated with a lower mean overall CCP score. Finally, Percentage of Live Coaching also produced a significant

and positive coefficient. This shows the regression model would predict that as the percentage of live coaching received by an officer increases, the mean overall CCP score will also.

The addition of Percentage of Live Coaching to regression model 2 produced an R^2 change of .042, showing the amount of live coaching received by officers increased the ability of the model to predict mean overall CCP score by 4.2% and showing that the Percentage of Live Coaching accounts for 4.2% of the variability in mean overall CCP score. These results indicate that the percentage of live coaching an officer receives is important for understanding the mean overall CCP score, but there are additional variables that were not captured by this database that would increase the ability to predict mean overall CCP scores.

Question One Summary

Research Question 1 asked if live coaching significantly increased overall proficiency with core correctional practices? In order to answer this question, univariate descriptives, bivariate analyses, and multivariate analyses were used to examine mean overall CCP proficiency scores across officer group type. Because of multiple analyses within this question, an effect size will be used to report the results. Using an effect size to summarize the results for this question will allow for the presentation of the magnitude of the reported effects using a standardized metric. Pearson's r was chosen specifically as it is typically used for comparisons of effects within a single study (Lakens, 2013).

First, descriptives showed that officers in the Audio Only group had the lowest mean overall CCP score (.795), followed by officers in the Less Live Coaching group (.799), and that officers in the More Live Coaching Group had the highest mean overall CCP score (.842). Descriptives also revealed that in general, mean overall CCP scores increased with each 10%

increase in the percentage of live coaching that officers received, with officers who received 50-70% of their coaching from live submissions having a mean overall CCP score of .875.

Second, bivariate analyses showed a significant correlation between percentage of live coaching and mean overall CCP for the entire sample of officers ($r=.209$, $p=.002$) and when isolating officers receiving live coaching ($r=.367$, $p=.000$). A one-way ANOVA showed significant differences across mean overall CCP scores for the officer groups. Post hoc comparisons indicated the mean score for officers in the More Live group was significantly different from the mean score for both the Audio Only group ($r=.203$) and the Less Live group ($r=.298$). However, no significant differences were found between means of the Audio Only and Less Live group.

Finally, a hierarchical linear regression was used to explore the amount of variability in mean overall CCP score. In the first model, the independent variables of Race, Sex, Years of Experience, Years of Coaching, and Month Started Live Coaching were used to determine the variance in mean overall CCP score. The first regression model was significant ($r=.247$) and the variables of Race, Years of Experience, and Years of Coaching were significant predictors of mean overall CCP score. The second model added Percentage of Live Coaching as the independent variable of interest and was also significant ($r=.321$). The second regression model revealed that percentage of live coaching an officer received accounted for 4.2% of the variability in mean overall CCP score. In summary, the data show the use of live coaching increased overall proficiency with core correctional practices, specifically when officers receive more live coaching, which was defined as 20% or more of coaching based on live submissions.

Research Question Two

Research question two seeks to determine if live coaching significantly increases proficiency by core correctional skill type. This section will be organized into several sections in order to answer this research question. First, a summary of mean proficiency scores for each core correctional practice will be displayed by officer group type. Second, one-way ANOVA tests were used to examine if there were significant differences between 1) Audio Only; 2) Less Live Coaching; and 3) More Live Coaching officer scores. This process was repeated for each core correctional practice and the results of each test is summarized under each core correctional practice heading. Finally, a table significant displaying differences in means across officer groups types by core correctional practice will act as a summary of the findings for research question 2.

For all 8 individual core correctional practices, each officer was isolated and descriptive statistics were used to calculate the mean score for each of the 8 core correctional practices. Each officer, therefore, received a mean score for each of the 8 core correctional practices. Table 15 outlines individual core correctional proficiency scores by officer group.

Table 15: Individual Core Correctional Practice Proficiency Scores by Group Type

Core Correctional Practice	Audio Only (N)	SD	Less Live (N)	SD	More Live (N)	SD
<i>Quality Interpersonal Relationship</i>	.924 (99)	.108	.912 (54)	.067	.949 (55)	.047
<i>Cognitive Restructuring</i>						
<i>Identifying Antisocial Thinking</i>	.609 (69)	.292	.639 (52)	.207	.717 (55)	.208
<i>Restructuring/Identifying Prosocial Thinking</i>	.565 (51)	.340	.608 (49)	.250	.724 (49)	.213
<i>Structured Skill Building</i>	.662 (71)	.310	.688 (52)	.241	.807 (53)	.185
<i>Problem Solving[†]</i>	.656 (24)	.389	.637 (31)	.296	.643 (25)	.220
<i>Effective Reinforcement</i>	.575 (90)	.233	.572 (54)	.133	.653 (55)	.156
<i>Effective Disapproval</i>	.544 (56)	.316	.627 (53)	.214	.658 (54)	.230
<i>Effective Use of Authority</i>	.746 (38)	.295	.633 (53)	.298	.760 (49)	.275
<i>Prosocial Modeling^{††}</i>	.980 (78)	.118	.979 (50)	.045	.995 (44)	.024

[†]Problem Solving scores were only available for officers between 2011-2015 before live coaching began.

^{††}Prosocial Modeling scores were only available for officers between 2011-2015 before live coaching began.

Quality Interpersonal Relationship

The first core correctional practice examined was *Quality Interpersonal Relationship*. Overall, Table 15 shows that *Quality Interpersonal Relationship* appears to be an item that all officer groups scored very highly in with all mean scores falling above 90%. This core correctional practice was also used by 100% of officers in each group during EPICS submissions throughout the coaching process. However, one-way ANOVA results showed there was no significant difference in mean *Quality Interpersonal Relationship* score across officer group types, [F(2,205)

= 2.701, $p = .070$]. This result suggests that live coaching is not associated with higher mean proficiency scores specifically for *Quality Interpersonal Relationship*.

Cognitive Restructuring

Within the EPICS model, cognitive restructuring is taught as the process of helping offenders first become aware of the antisocial thinking that leads to criminal behavior (*Identifying Antisocial Thinking*) and second, helping offenders restructure or counter antisocial with more prosocial thinking (*Restructuring/Identifying Prosocial Thinking*) in order to ultimately change behavior. Therefore, *Cognitive restructuring* was measured using two items from the EPICS Rating Form including *Identifying Antisocial Thinking* and *Restructuring/Identifying Prosocial Thinking*.

Cognitive Restructuring: Identifying Antisocial Thinking

Table 15 shows the mean scores for *Identifying Antisocial Thinking* are well below the mean scores for the previous core correctional practice of *Quality Interpersonal Relationship*, suggesting that officers did not reach the same level of proficiency with this skill. Also noteworthy is the number of officers from each group that used this specific core correctional practice during their EPICS submissions. When looking at the Audio Only group, only 69/99 (69.7%) officers had a mean *Identifying Antisocial Thinking* score to report, meaning that only 69.7% of this officer group used this specific skill for their EPICS submissions throughout the course of their coaching. The Audio Only group was also the only group that had a mean proficiency score below the previously outlined level of .630 (63.0%). The percentage of officers receiving live coaching that used *Identifying Antisocial Thinking* in their EPICS submissions was much higher, with 52/54 (96.3%) for the Less Live Coaching group and 55/55 (100%) for the More Live Coaching Group.

The two live coaching group mean scores for this core correctional practice were also both above 63.0%.

One-Way ANOVA results revealed there were significant differences in mean scores for this core correctional practice, $[F(2,173) = 3.092, p = .048]$. Post hoc tests were conducted to determine specific mean differences. Games-Howell tests revealed a significant mean difference (MD=.108) between Audio Only and More Live officer groups only. There were not significant mean differences found between Audio Only and Less Live officers or between Less Live and More Live officers.

Table 16: ANOVA Comparisons of *Identifying Antisocial Thinking* Scores, by Group Type

Group	n	Mean	SD	Games-Howell Comparisons		
				Audio Only	Less Live	More Live
Audio Only	69	.609	.292	--	-.030	-.108*
Less Live	52	.639	.207	.030	--	-.078
More Live	55	.717	.208	.108*	.078	--

* $p \leq .05$

Cognitive Restructuring: Restructuring/Identifying Prosocial Thinking

Table 15 shows the scores for *Restructuring/Identifying Prosocial Thinking* were lower than *Identifying Antisocial Thinking* for Audio Only and Less Live Coaching officer groups. These scores suggest that overall, officers in these groups were less proficient with helping offenders restructure risky thinking than they were with helping them identify risky thinking. Audio Only and Less Live Coaching officers mean proficiency scores were also below 63.0%. The More Live Coaching group had the highest mean proficiency score and was the only group to score in the proficient range.

Second, only 51/99 (51.5%) of officers from the Audio Only group used *Restructuring/Identifying Prosocial Thinking* in their EPICS submissions during the coaching process. In contrast, 49/54 (90.7%) of officers in the Less Live Coaching group and 49/55 (89.1%) of officers in the More Live Coaching group used the *Restructuring/Identifying Prosocial Thinking* during their EPICS submissions.

One-Way ANOVA results revealed there were significant differences in mean scores for this core correctional practice, $[F(2,146) = 4.477, p = .013]$. Table 17 displays the means for each officer group and post hoc tests conducted to determine specific mean differences. Games-Howell tests showed a significant mean difference between Audio Only and More Live officers (MD=.159) as well as a difference between Less Live and More Live officers (MD=.116). No significant difference in means was found between officers receiving coaching by audio only and officers receiving less live coaching.

Table 17: ANOVA Comparisons of *Restructuring/Identifying Prosocial Thinking* Scores, by Group Type

Group	n	Mean	SD	Games-Howell Comparisons		
				Audio Only	Less Live	More Live
Audio Only	51	.565	.340	--	-.043	-.159*
Less Live	49	.608	.250	.043	--	-.116*
More Live	49	.724	.213	.159*	.116*	--

* $p \leq .05$

Structured Skill Building

The core correctional practices of *Structured Skill Building* and *Problem Solving* were scored under the same item by Multnomah County DCJ in Database 2 (see Table 6). This means that for submissions received between 2015 and 2018, a distinction was not made when an officer

used *Structured Skill Building* or *Problem Solving* during an EPICS submission. Instead, the practices were scored as the same item and the officer was provided with more specific feedback based on which practice they used with indicator check-boxes and individualized feedback in the comments section of the EPICS Rating Form. An attempt was made to request information that would allow *Structured Skill Building* and *Problem Solving* to be scored as separate practices for the years 2015 to 2018. However, when Multnomah County DCJ was contacted to request copies of the EPICS Rating Forms that would allow for this, it was explained that the forms had been destroyed according to their records protocols. Because *Problem Solving* can be defined as a specific structured skill that is taught to offenders to address a variety of high-risk problem situations, for the purposes of this study, these scores for the years 2015 to 2018 were categorized under *Structured Skill Building*.

Table 15 shows each group of officers had a mean score higher than the .63 (63.0%) proficiency threshold for *Structured Skill Building*. This is slightly different than the previous cognitive behavioral intervention (*Cognitive Restructuring*), where at least one group of officers was below this level of proficiency, suggesting that Multnomah County officers in each group were more comfortable and proficient with *Structured Skill Building* overall. However, another common theme was that a smaller percentage of Audio Only officers (71.7%) used *Structured Skill Building* during their EPICS submissions when compared to Less Live Coaching (96.3%) and More Live Coaching officers (96.4%).

One-Way ANOVA results revealed there were significant differences in mean scores for this core correctional practice, $[F(2,173) = 5.104, p = .007]$. Table 18 displays the means for each officer group and post hoc tests conducted to determine specific mean differences. Games-Howell tests showed a significant mean difference between Audio Only and More Live officers

(MD=.144) as well as a difference between Less Live and More Live officers (MD=.119). No significant difference in means was found between officers receiving coaching by audio only and officers receiving less live coaching.

Table 18: ANOVA Comparisons of *Structured Skill Building* Scores, by Group Type

Group	n	Mean	SD	Games-Howell Comparisons		
				Audio Only	Less Live	More Live
Audio Only	71	.662	.310	--	-.025	-.144*
Less Live	52	.688	.241	.025	--	-.119*
More Live	53	.807	.185	.144*	.119*	--

* $p \leq .05$

Behavioral Practices

Effective Reinforcement, Effective Disapproval, and Effective Use of Authority are all considered behavioral practices or behavioral modification techniques. These are core correctional practices that officers can use to help assist in offender behavior change by reinforcing prosocial behavior or speech (*Effective Reinforcement*), disapproving or antisocial behavior or speech (*Effective Disapproval*) or using authority effectively to guide an offender towards compliance (*Effective Use of Authority*). These specific core correctional practices will each be examined separately below.

Effective Reinforcement

Table 15 shows that this was a core correctional practice that officers in each coaching group recognized more opportunities to use during their EPICS submissions with 91.3% of Audio Only, 100% of Less Live Coaching, and 100% of More Live Coaching using this skill during their submitted or live EPICS sessions. However, even though officers recognized opportunities for and used *Effective Reinforcement* more often than other core correctional practices, overall the

mean proficiency scores were lower for this practice, suggesting officers were less proficient with this skill. Both officers from the Audio Only and the Less Live Coaching groups fall below the .63 (63.0%) proficiency mark. The More Live Coaching group was the only group to score above this proficiency mark.

One-Way ANOVA results revealed there were significant differences in mean scores for this core correctional practice, $[F(2,196) = 3.409, p = .035]$. Table 19 displays the means for each officer group and post hoc tests conducted to determine specific mean differences. Games-Howell tests showed a significant mean difference between Audio Only and More Live officers (MD=.078) as well as a difference between Less Live and More Live officers (MD=.080). No significant difference in means was found between officers receiving coaching by audio only and officers receiving less live coaching.

Table 19: ANOVA Comparisons of *Effective Reinforcement* Scores, by Group Type

Group	n	Mean	SD	Games-Howell Comparisons		
				Audio Only	Less Live	More Live
Audio Only	90	.575	.233	--	.003	-.078*
Less Live	54	.573	.133	-.003	--	-.080*
More Live	55	.653	.156	.078*	.080*	--

* $p \leq .05$

Effective Disapproval

Table 15 shows less officers within the Audio Only group used *Effective Disapproval* during their EPICS submissions when compared to Less Live Coaching and More Live Coaching officers. Only 53.3% of Audio Only officers used this core correctional practice during their EPICS submissions, compared to 96.3% of Less Live Coaching officers and 98.2% of More Live Coaching officers.

The mean proficiency score for officers in the Audio Only group was just .537 (53.7%), well below the .63 (63.0%) proficiency mark. The mean proficiency score for officers in the Less Live Coaching was also under the proficiency mark at .627 (62.7%). Officers in the More Live Coaching Group was .658 (65.8%), the only officer group above the predetermined proficiency level.

One-way ANOVA results showed there was not a statistically significant difference in mean score across officer group types for *Effective Disapproval*, [F(2,160) = 2.887, $p = .059$]. This result suggests that live coaching is not associated with statistically different proficiency scores specifically for *Effective Disapproval*. However, it is worth noting that the More Live Coaching group was the only group to exceed the .630 (63.0%) proficiency level that has previously been associated with reductions in recidivism (Latessa, et al., 2013).

Effective Use of Authority

Effective Use of Authority also appears to be a practice utilized less in EPICS submissions by officers who did not receive live coaching. For *Effective Use of Authority*, only 37.5% of officers in the Audio Only group recognized opportunities to use this core correctional practice during their EPICS sessions, as compared to 98.1% of Less Live Coaching officers and 87.5% of More Live Coaching officers. However, even though officers in the Audio Only group appeared to use this core correctional practice less than officers receiving some amount of live coaching, the mean proficiency score of this group of .727 (72.7%) does not appear to have suffered from less use.

One-way ANOVA results showed there was not a statistically significant difference in mean score across officer group types for *Effective Use of Authority*, [F(2,137) = 2.876, $p = .060$].

This result suggests that live coaching is not associated with statistically different proficiency scores specifically for *Effective Use of Authority*.

The results for *Effective Use of Authority* are unique because it was the only core correctional practice to show a decrease in proficiency between Audio Only officers and Less Live Coaching officers. Additionally, this was the behavioral practice in which officers scored the highest overall and the only behavioral practice in which mean scores rose above 70%, suggesting a comfort with this skill even with less use.

Problem Solving

Unfortunately, the item measuring *Problem Solving* was not captured from 2015 to 2018 within Database 2. Again, EPICS Rating Forms for this time period were requested from Multnomah County, but the forms were destroyed in compliance with their records protocols. Therefore, it cannot be determined if the use of live coaching improved this specific core correctional practice.

However, 81 officers provided EPICS audio submissions between 2011 and 2015 in which the core correctional practice of *Problem Solving* was scored. As can be seen from Table 15, the mean score across the officers was .644 (64.4%). It is important to note that these submissions are all before officers began to receive live coaching in 2015 and, therefore, only reflect mean proficiency scores based on audio submission coaching.

Table 20: Descriptives for *Problem Solving* from 2011-2015

Officers (N)	Minimum	Maximum	Mean	SD
81	0	1	.644	.303

First, unlike all of the other core correctional practices, there were no differences found across officer groups before live coaching began. This is in contrast to other core correctional practices where officers were able to be compared after live coaching began and significant differences, particularly between Audio Only and More Live Coaching officers were found. Because there are no significant differences in any of the mean scores, officers were at a similar proficiency level before live coaching began. Second, all officers have mean proficiency scores above the .630 (63.0%) proficiency level, showing initial proficiency with *Problem Solving* even before live coaching began. Third, Table 15 also shows that even with a four-year coaching span that proficiency with this intervention did not reach the proficiency level of the other interventions including *Cognitive Restructuring (Identifying Antisocial and Restructuring/Identifying Prosocial Thinking)* and *Structured Skill Building*, which all showed proficiency levels above 70% after a higher amount live coaching was incorporated.

Prosocial Modeling

The item measuring *Prosocial Modeling (Communicates with Client in a Respectful Manner)* was not captured from 2015 to 2018 within Database 2 even though it was an item on the second version of the Multnomah County DCJ EPICS Rating Form. Again, EPICS Rating Forms for this time period were requested from Multnomah County, but the forms were destroyed in compliance with their records protocols. Therefore, it cannot be determined if the use of live coaching improved this specific core correctional practice.

However, there were 1950 EPICS audio submissions from 172 officers between 2011 and 2015 in which the core correctional practice of *Prosocial Modeling* was scored. As can be seen from Table 18, the mean score across 172 officers was .983 (98.3%). This demonstrates that

officer proficiency with *Prosocial Modeling* was already extremely high and with less than two percentage points possible for improvement, the addition of live coaching likely would not have impacted this particular practice.

Table 21: Descriptives for *Prosocial Modeling* from 2011-2015

Officers (N)	Minimum	Maximum	Mean	SD
172	0	1	.983	.084

Question 2 Summary

Research Question 2 asked if live coaching significantly increase proficiency by core correctional practices skill type. In order to answer this question, descriptives and bivariate analyses were used to examine mean proficiency scores for each core correctional practice across officer type. Table 16 summarizes the results of the bivariate analyses conducted to determine if there were meaningful differences in mean proficiency scores across skill and officer type.

Table 22: Summary of Proficiency Score Mean Differences

Core Correctional Practice	MD Audio Only Less Live	MD Less Live More Live	MD Audio Only More Live
<i>Quality Interpersonal Relationship</i>	.011	.037	.025
<i>Cognitive Restructuring</i>			
<i>Identifying Antisocial Thinking</i>	.030	.078	.108*
<i>Restructuring/Identifying Prosocial Thinking</i>	.043	.116*	.159*
<i>Structured Skill Building</i>	.025	.119*	.144*
<i>Effective Reinforcement</i>	.003	.808*	.078*
<i>Effective Disapproval</i>	.083	.032	.114
<i>Effective Use of Authority</i>	.113	.126	.014
<i>Problem Solving</i>	N/A	N/A	N/A
<i>Prosocial Modeling</i>	N/A	N/A	N/A

* $p \leq .05$ ** $p \leq .001$

First, one of the most noticeable results shown in Table 22 is that no significant differences were found between mean proficiency scores for any of the core correctional practices when comparing Audio Only officers and officers receiving Less Live Coaching, suggesting that providing a small amount of live coaching was not associated with meaningful increases in proficiency for any of the individual core correctional practices.

Second, Table 22 shows that overall, the addition of more live coaching appeared to be associated with higher mean proficiency scores when compared to proficiency scores of audio only officers for the core correctional practices of, *Cognitive Restructuring* (both for *Identifying*

Antisocial Thinking and Restructuring/Identifying Prosocial Thinking), *Structured Skill Building*, and *Effective Reinforcement*. The addition of more live coaching when compared to audio only officers was not associated with significantly different mean scores for the core correctional practices of *Quality Interpersonal Relationship*, *Effective Disapproval*, and *Effective Use of Authority*.

Third, there was a significant difference in mean proficiency scores for officers receiving more live coaching when specifically compared to officers receiving less live coaching for the core correctional practices of *Restructuring/Identifying Prosocial Thinking*, *Structured Skill Building*, and *Effective Reinforcement*. Last, the data provided for this study was insufficient to answer this question for two core correctional practices, including *Problem Solving* and *Prosocial Modeling*.

To summarize, the addition of live coaching was associated with increases in mean proficiency scores for the majority of core correctional practices that were able to be analyzed with the current study data, with the exceptions of *Quality Interpersonal Relationship*, *Effective Disapproval*, and *Effective Use of Authority*. It was unable to be determined if officer proficiency was increased with the core correctional practices of *Problem Solving* and *Prosocial Modeling*, because of insufficient data received between 2015 and 2018. However, it was shown that the mean officer proficiency score for officers submitting EPICS sessions between 2011 and 2015 was 98.3%, leaving only 1 percentage point possible for improvement with the use of live coaching. On the other hand, the mean *Problem Solving* proficiency score for officers submitting EPICS sessions between 2011 and 2015 was 64.4%, which does show it was a skill in which officers needed to improve. Unfortunately, this study was unable to answer if this specific core correctional practice was improved with the use of live coaching. This will be outlined as a limitation in the final chapter.

Research Question Three

Research Question Three seeks to determine if officers receiving live coaching reach proficiency with core correctional practices faster than officers who do not receive live coaching. The first step to answering this question included creating 3-month time intervals beginning at month 1 and extending out to month 69. To calculate mean overall CCP scores for officers for the length of time they submitted EPICS sessions and received coaching, each officer was isolated and the date of the first submitted EPICS session was used to determine month 1, when their EPICS coaching began. From here, the officer's overall CCP scores for that 3-month time period were totaled and divided by the number of submissions for that time period, creating a mean overall CCP score for each 3-month interval. This process was repeated for the individual core correctional practices of *Quality Interpersonal Relationship*, *Identifying Antisocial Thinking*, *Restructuring/Identifying Prosocial Thinking*, *Structured Skill Building*, *Effective Reinforcement*, *Effective Disapproval*, and *Effective Disapproval*, producing a mean overall score for each practice. The process was not completed for *Problem Solving* or *Prosocial Modeling* as data were not available for these skills after live coaching began.

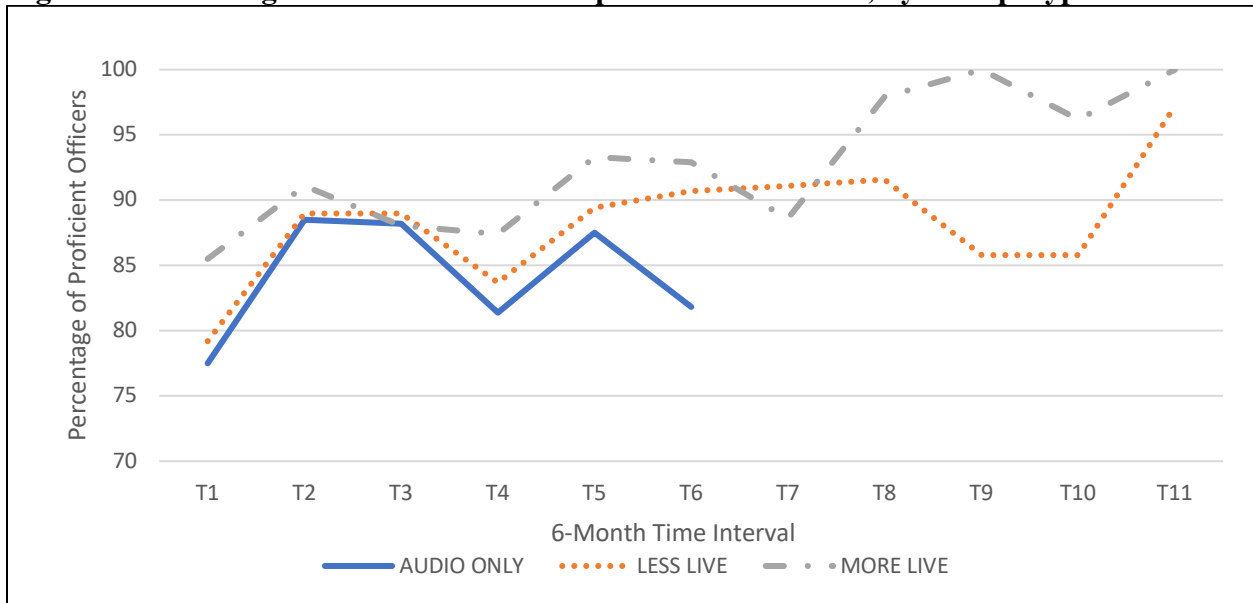
Next, as outlined in Chapter 3, the frequency of officers scoring in the proficient range (defined as a score of .630 or higher) for each 3-month interval was examined across officer group type. Originally, this time interval was chosen based on the only prior research examining the use of core correctional practices over time within an EPICS site (Labrecque & Smith, 2017). However, previous research was only able to examine use of core correctional practices across an 18-month period, whereas this study allows for time intervals to extend out to a 69-month period. Therefore, the frequency of officers scoring in the proficient range was collapsed to 6-month time intervals to allow for more clear summarizations across the data. Frequency of officers scoring in

the proficient range was examined for two reasons. First, the frequencies were examined to determine if live coaching increased the number of officers falling into the proficient range at earlier time intervals (indicating that officers receiving live coaching were reaching proficiency faster). Second, the frequencies were examined to determine if the number of officers in the proficient range increased faster for officers receiving live coaching than officers receiving audio coaching only. The first section of this question will examine the frequency of proficient officers by time period for mean overall CCP scores. The second section will examine the frequency of proficient officers by time period for each core correctional practice individually.

Overall Use of Core Correctional Practices by Time

Figure 1 shows the percentage of officers by group type that fell into the proficient range for overall use of CCP's for up to 69 months of EPICS submissions, by 6-month time interval. Officers in the Audio Only Coaching group did not provide submissions beyond 36 months. Officers in the Less Live Coaching and More Live Coaching groups provided submissions until month 87, however, too few officers submitted from month 70 to 87, so these time periods were excluded.

Figure 1: Percentage of Proficient Officers per 6-Month Period, by Group Type



First, while Figure 1 does show an increase in the percentage of live coaching officers falling into the proficient range as early as the T1 time interval (month 1-6), the table also shows that overall, the frequency of officers falling into the proficient range was high across all groups for all time periods, with the lowest frequency at any time period being 77.5% for Audio Only officers. This shows that at each time period, regardless of officer group type, the majority of officers were proficient in the overall use of core correctional practices. Potential explanations for the high frequency of CCP proficient officers across time within the Multnomah County DCJ sample will be explored in the final chapter.

Second, it appears from Figure 1 that a higher percentage of officers in both live coaching groups fell into the proficient range across time when compared to officers receiving audio coaching only. While there were slight fluctuations in the percentage of proficient officers for each coaching group across time, Figure 1 shows that the More Live Coaching group consistently had higher percentages of officers in the proficient range when compared to the Audio Only and Less Live Coaching groups. Additionally, the More Live Coaching group is the only officer group

that never had the percentage of proficient officers fall below 85% and was the only group to show 100% of officers falling into the proficient range, which was first achieved at T9 (49-54 months).

Use of Individual Core Correctional Practices by Time

To answer Research Question 3, it was also necessary to examine the frequency of officers that scored in the proficient range across time for each core correctional practice individually to determine if officers receiving live coaching were rated in the proficient range more often and/or more quickly than those receiving coaching from audio submissions only. Figures 2-8 show the percentage of officers by group type that fell into the proficient range for each core correctional practice for up to 69 months of EPICS submissions, by 6-month time interval.

Figure 2: Percentage of *Quality Interpersonal Relationship* Proficient Officers per 6-Month Period, by Group Type

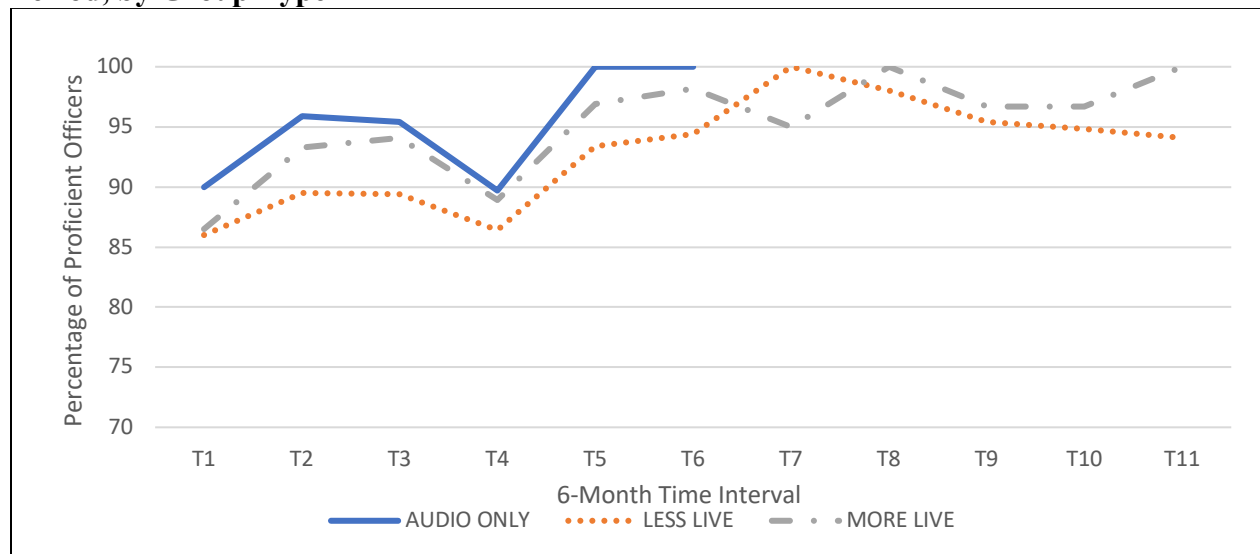


Figure 2 shows the percentage of officers falling into the proficient range for *Quality Interpersonal Relationship* per 6-month time interval, by group type. First, Figure 2 shows that a high percentage of officers from each group type fell into the proficient range across all time periods, with the lowest percentage being 86% at T1 (month 1-6) for the Less Live Coaching group. Second, a higher percentage of Audio Only group officers scored higher at initial time

periods and was the first group to have 100% of officers fall into the proficient range. The Audio Only group had a higher percentage of proficient officers at each time period up to T6 (month 31-36). Additionally, it took longer for Less Live Coaching and More Live Coaching groups to reach 100% proficiency with this core correctional practice. Specifically, for the core correctional practice of *Quality Interpersonal Relationship*, live coaching did not appear to be associated with higher frequencies of proficient officers or attaining proficiency at a faster rate.

Figure 3: Percentage of *Identifying Antisocial Thinking* Proficient Officers per 6-Month Period, by Group Type

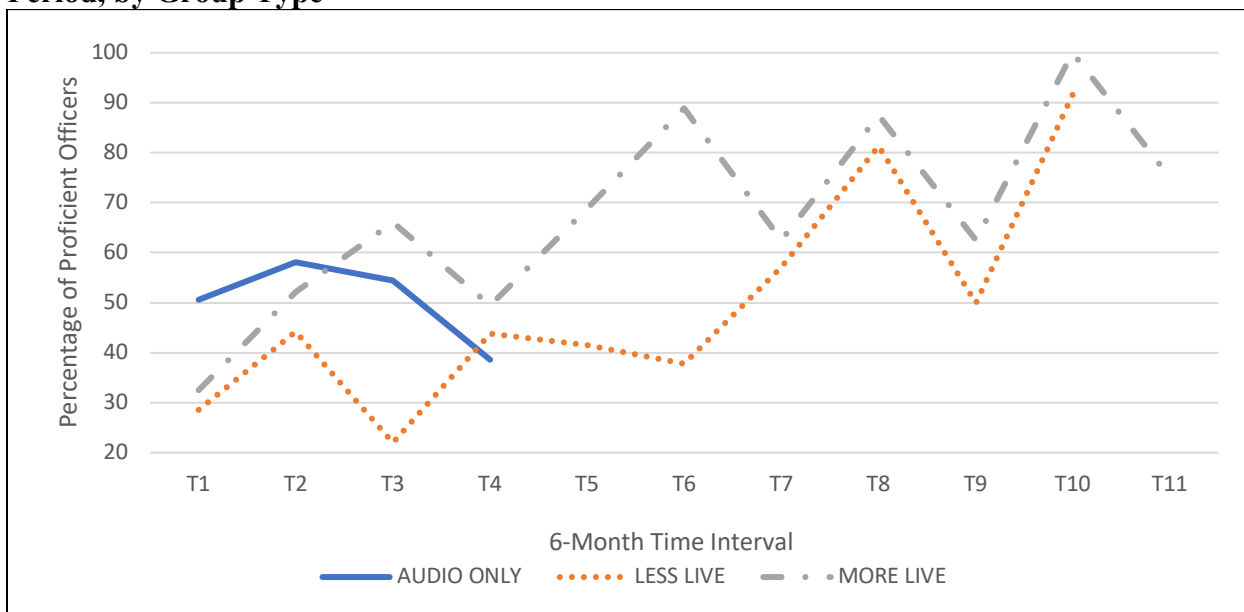


Figure 3 shows the percentage of *Identifying Antisocial Thinking* proficient officers per 6-month period, by group type. First, it was apparent that this practice was not used by Audio Only officers past the T4 time interval (month 19-24). This coincides with the earlier finding reported under Research Question 2 that showed only 69.7% of Audio Only officers used this practice while providing EPICS submissions. It appears Audio Only officers used this practice less throughout EPICS coaching when compared to Less Live and More Live officers. Second, while the Audio Only group does begin with a higher percentage of officers in the proficient range at T1 and T2,

scores appear to decline throughout the next year of coaching at both T3 and T4 intervals, showing the number of proficient officers in this group falling below 40% by T4.

A small percentage of Less Live (28.6%) and More Live (32.5%) officers were proficient with this practice when coaching began. However, a higher percentage of More Live officers were proficient with this skill at all time intervals when compared to the Less Live Coaching group. After T3, the More Live Coaching group had a higher percentage of officers in the proficient range than both Audio Only and Less Live officers. Finally, the More Live group of officers was the only coaching group to achieve a 100% proficiency rate, but this did not occur until T10, showing this to be a skill that took longer for the majority of officers to become proficient in.

While this appears to be a skill in which the percentage of proficient officers can fluctuate, live coaching, specifically a higher amount of live coaching, does appear to be associated with higher percentages of proficient officers across time.

Figure 4: Percentage of *Restructuring/Identifying Prosocial Thinking* Proficient Officers per 6-Month Period, by Group Type

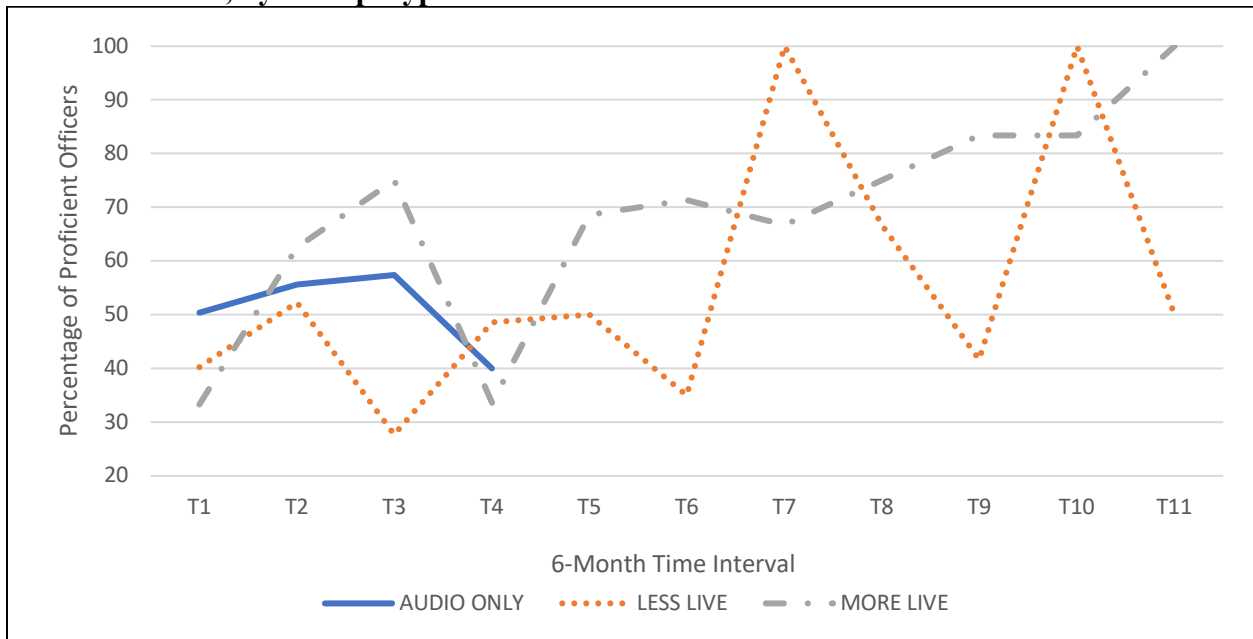


Figure 4 shows the percentage of *Restructuring/Identifying Prosocial Thinking* proficient officers per 6-month period, by group type. Similar to *Identifying Antisocial Thinking*, this appears to be a skill that was used for a shorter amount of time for Audio Only officers, who did not provide submissions with this skill after T4. Also similar to *Identifying Antisocial Thinking*, The Audio Only group had the highest percentage of proficient officers at T1 but showed a sharp decline in proficient officers from T3, to T4, ending with the majority of officers not falling into the proficient range after receiving coaching through audio submissions only(40%).

Figure 4 also shows that the More Live group had the sharpest increase in percentage of proficient officers up to T3 and after a decline at T4, showed a steady increase over time ending with 100% proficiency at T11. The Less Live group showed major fluctuations across the coaching time period, showing the percentage of proficient officers as low as 27.7% and as high as 100%.

Overall, for this core correctional practice, more live coaching appears to be associated with a sharp increase in initial proficiency and a gradual increase in percentage of proficient officers over time. While less live coaching does appear to be associated with several spikes in the percentage of proficient officers, it is also associated with sharp decreases in the percentage of proficient officers, showing that less live coaching may not be able to help officers retain proficiency with this specific skill over time.

Figure 5: Percentage of Structured Skill Building Proficient Officers per 6-Month Period, by Group Type

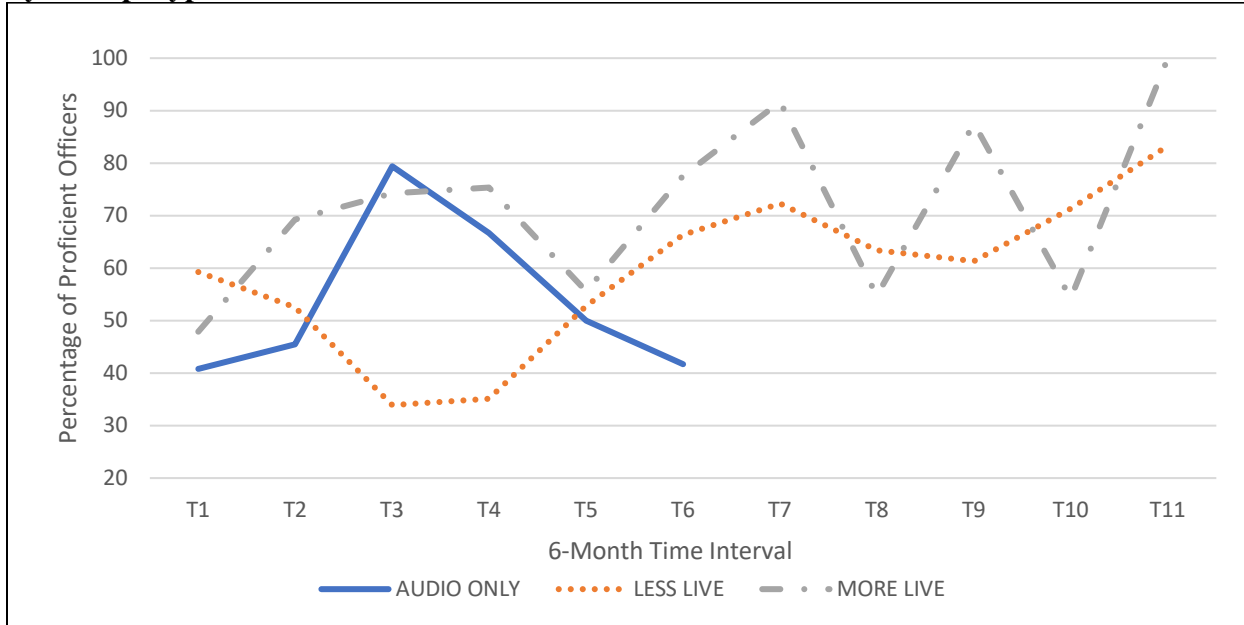


Figure 5 shows that Audio Only officers used this skill throughout the entire time they provided audio submissions. The percentage of proficient officers began at 40% with a sharp increase at T3 then a gradual decline at intervals T4-T6, showing officers in this group did not remain proficient with this skill after the T3 time interval. While audio only coaching was associated with an initial increase in proficient officers, it did not appear that this type of coaching was associated with sustaining proficiency over time, showing a gradual decrease between T3 and T6 and ultimately returning to the original percentage of proficient officers by T6.

While Less Live officers started at a higher percentage of proficient officers (59.2%), there was a decline up to T4, showing that initial proficiency with this skill was not increased with the use of a small amount of live coaching. More Live coaching had a higher percentage of proficient officers generally across time intervals except for T3 with audio only and T8 and T10 with less live coaching.

Generally, the use of more live coaching appears to be associated with increased percentages of officers falling into the proficient range across time. However, with this skill, more live coaching also appears to be associated with fluctuations in proficiency, whereas with previous skills it has been associated with more of a general increase in proficiency over time.

Figure 6: Percentage of *Effective Reinforcement* Proficient Officers per 6-Month Period, by Group Type

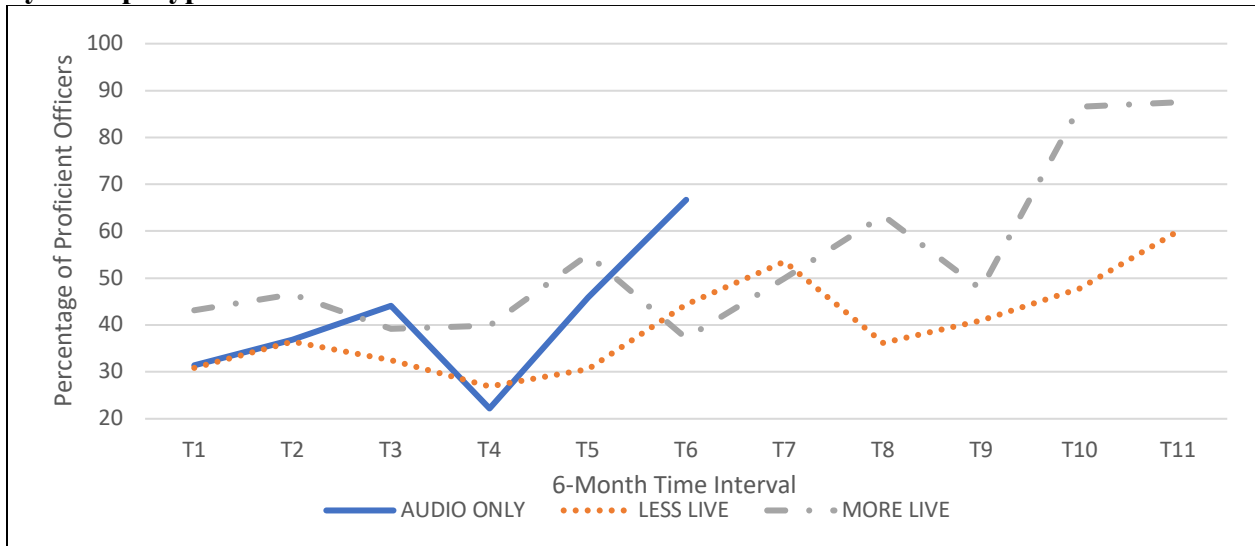


Figure 6 shows the percentage of officers falling into the proficient range for *Effective Reinforcement* per 6-month period, by group type. This appears to be the core correctional practice that shows the lowest percentage of proficient officers across all group types at the beginning of the coaching period, with all group showing that less than 50% of officers had proficiency with this skill at T1. Audio Only officers showed a slight increase in the percentage of officers before a sharp decrease at T4, followed by a steep increase until T6. The percentage of proficient officers in the Less Live coaching group appeared to continually fluctuate between 30% and 60% throughout the coaching period. The More Live Coaching group also appeared to fluctuate over time but saw a large increase in proficient officers after T9 and was the only group to have the percentage of proficient officers reach over 70%.

Figure 7: Percentage of *Effective Disapproval* Proficient Officers per 6-Month Period, by Group Type

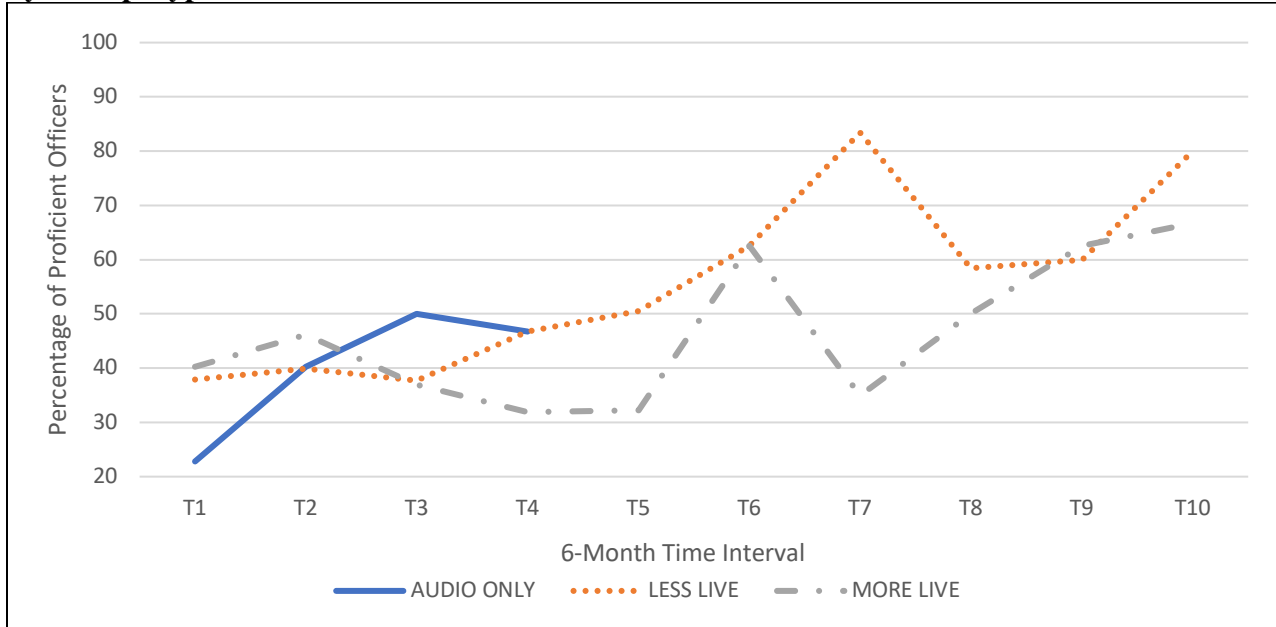
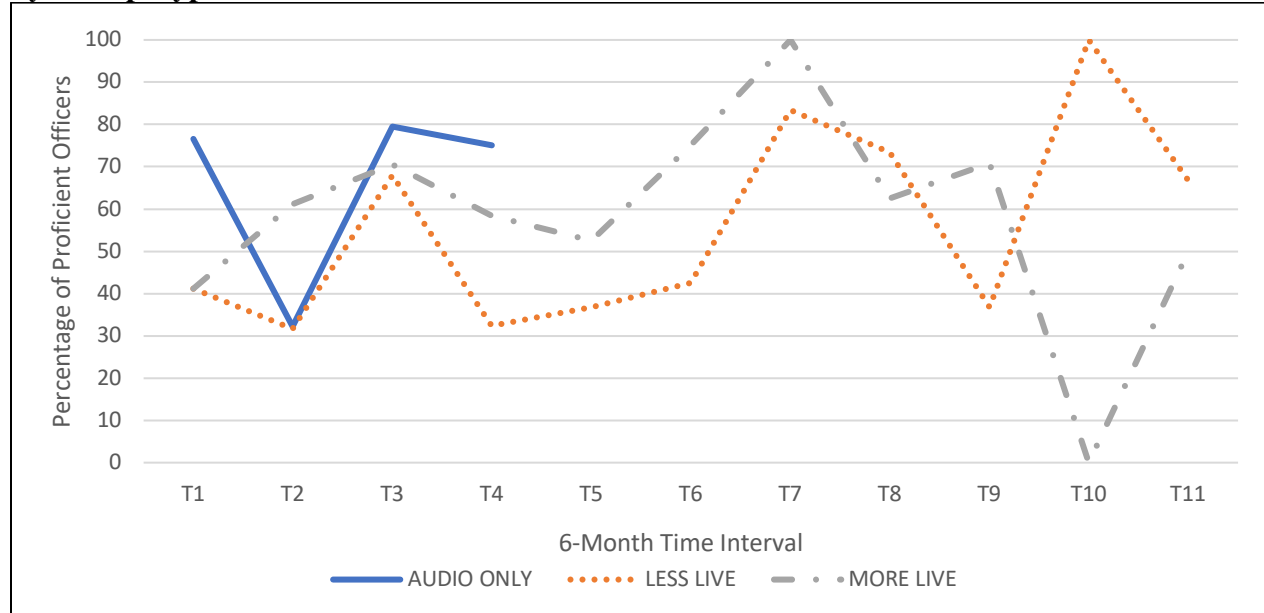


Figure 7 shows the percentage of officers falling into the proficient range for *Effective Disapproval* per 6-month time period, by group type. Like *Effective Reinforcement*, each group showed low rates of proficient officers as coaching began, with all groups reporting lower than 40% of their officers as proficient at T1. There was a slight increase across time for Audio Only officers, but this group did not show a majority of officers falling into the proficient range at any time interval. This is also the first individual core correctional practice that shows the percentage of proficient officers to be higher across time for officers receiving a smaller amount of live coaching. While the number of proficient officers in the Less Live group did drop between T7 and T8, this group consistently showed a higher percentage of proficient officers across all time periods, even above those officers receiving More Live Coaching, suggesting this may be a practice where a higher amount of live coaching did not help with increasing proficiency at a faster rate or even over time.

Figure 8: Percentage of *Effective Use of Authority* Proficient Officers per 6-Month Period, by Group Type



Finally, Figure 8 shows the percentage of officers falling into the proficient range for *Effective Use of Authority* per 6-month time period, by group type. Figure 8 shows that the percentage of proficient officers group fluctuated greatly across time regardless of group type. This is the first, and only, individual core correctional practice to show a 100% proficiency rate at one point in time and a 0% proficiency rate at another point (and later point in time) for the same group type (More Live Coaching). Based on this data, time does not appear to be associated with officer proficiency with *Effective Use of Authority*. Figure 8 shows that even when officers were proficient with this practice at one time, they did not necessarily retain proficiency.

Overall, when examining officer proficiency over time, a clear pattern did not emerge that would allow for conclusions about live coaching being associated with officers achieving proficiency at a faster rate or at earlier time intervals. Because of these fluctuations over time, an attempt was made to more fully understand how receiving live coaching could have impacted scores based on time. When examining the group of officers receiving live coaching, it became apparent that a high percentage of these officers did not begin to receive live coaching until later

in the coaching process. For those officers receiving live coaching, the average start month for live coaching was 30 months and over half of the live coaching officers (51.4%) did not begin receiving live coaching until 35 months. Because many of the officers receiving live coaching did not begin to receive it until almost 3 years into the coaching process, examining the data in the time intervals above would make it difficult to determine if live coaching contributed to higher proficiency scores or higher percentages of proficient officers early in the coaching process. Therefore, the live coaching start month variable was used to identify officers who began receiving live coaching within the first 12 months of the coaching process. This was used to create a new variable with three conditions: 1) officers who started live coaching prior to 12 months in the coaching process; 2) officers who began to receive live coaching at or after 12 months in the coaching process; and 3) officers who received no live coaching (Audio Only officers).

A one-way between subjects ANOVA was conducted to compare the effect of live coaching start on mean overall CCP proficiency scores. Conditions for the ANOVA included officers who started receiving live coaching prior to 12 months in their coaching process, officers who started receiving live coaching at or after 12 months, and officers who did not receive live coaching (Audio Only officers). The ANOVA results revealed there were significant differences in mean scores across officer groups, $[F(2,205) = 4.037, p = .019]$. Table 19 displays the means for each officer group and post hoc tests conducted to determine specific mean differences. Because the test for homogeneity of variances was significant ($p = .000$) equal variances could not be assumed and Games-Howell post hoc tests were used to determine specific differences among the groups based on when live coaching began.

Table 23: ANOVA Comparisons of Mean Overall CCP Proficiency, by Live Coaching Start

Group	<i>n</i>	Mean	<i>SD</i>	Games-Howell Comparisons		
				No Live	≥12	<12
No Live	99	.795	.128	--	-.015	-.065*
≥12	85	.810	.066	.015	--	-.050*
<12	24	.860	.072	.065*	.050*	--

p* ≤ .05*p* ≤ .001

Games-Howell tests showed a significant mean difference between officers receiving no live coaching and officers who started receiving live coaching prior to 12 months (MD=.065) as well as between officers who started receiving live coaching at or after the 12 month mark and officers who started to receive live coaching prior to 12 months (MD=.050). No significant difference in means was found between officers receiving no live coaching and officers who started receiving live coaching at or after 12 months.

Research Question 3 Summary

Research Question 3 asked if officers receiving live coaching reach proficiency with core correctional practices faster than officers who do not receive live coaching. In order to answer this question, the frequency of officers falling into the proficient range at 6-month intervals were examined to determine if the frequency of proficient officers was higher at earlier time intervals for officers receiving live coaching than it was for officers who did not. Additionally, to provide a clearer picture of how time may be associated with live coaching and officer proficiency, those live coaching officers who began receive live coaching before the first year of their EPICS coaching were isolated and mean proficiency scores for core correctional practices were compared to officers receiving live coaching after one year and officers receiving no live coaching.

First, Figures 1-9 showed that while a higher amount of live coaching was generally associated with a higher percentage of officers in the proficient range, clear patterns did not emerge that would allow for the conclusion that live coaching contributed to a higher frequency of officers reaching proficiency at earlier time intervals when compared to officers who did not receive live coaching. Instead, the frequency of proficient officers appeared to fluctuate over time, when core correctional practices were taken as a whole and when each practice was considered individually. Because there were not steady increases in the percentage of proficient officers in groups over time, the results may suggest that these are perishable skills and officers have the ability to lose proficiency even after it has been gained. This result will be explored further in Chapter 5, along with implications for continued coaching. The one clear pattern that did appear to emerge when examining Figures 1-9 was the dip in percentage of proficient officers at the T4 (19-24 month) time interval. This pattern occurred for mean overall CCP scores as well as for each individual core correctional practice. Possible reasons for this pattern and general fluctuations in overall proficiency with core correctional practices and with individual skills will be explored in the next chapter.

Second, because it was shown that a majority of officers receiving live coaching began receiving live coaching almost 3 years into the process, the data made it difficult to determine if the use of live coaching increased core correctional proficiency faster and at earlier time intervals. Therefore, officers who began to receive live coaching within the first year of the coaching process were isolated to determine if receiving live coaching earlier in the coaching process increased overall proficiency with core correctional practices and/or increased proficiency with the individual skills. A one-way ANOVA was conducted to compare the effect of live coaching start on mean overall CCP proficiency scores. Results of the ANOVA were significant and post hoc

tests revealed significant differences between officers receiving coaching earlier than 12 months and officers receiving live coaching at 12 months or later, as well between officers receiving coaching earlier than 12 months and no live coaching. This shows that receiving coaching within the first 12 months was associated with significantly higher mean overall CCP scores than when officers began to receive this type of coaching later in the process or not at all.

In the next chapter, the results of these three research questions are discussed. Conclusions are drawn so that the results can inform coaching strategies regarding core correctional practices, specifically within the context of RNR models of community supervision. Limitations of the study are outlined and directions for future research are recommended.

CHAPTER 5: DISCUSSION

Over the past 10 years, the principles of effective intervention and the use of core correctional practices have been systematically applied to the field of community corrections with the creation of RNR models of community supervision. RNR models of community supervision are characterized by the incorporation of the principles of risk, need, and responsivity along with core correctional practices into a structure for individual contact sessions. Research conducted on the ability of RNR models of community supervision to reduce recidivism has been promising (Bonta et al., 2010; 2011; Robinson et al., 2011; 2012; Smith et al., 2012; Latessa et al., 2013). Additionally, research on these models is showing that fidelity to the model is vital to achieving success (Latessa et al., 2013). However, like many evidence-based practices in correctional settings, agencies implementing core correctional practices struggle with how to establish and maintain fidelity (Bonta & Andrews, 2017). Based on the small amount and limitations with available research, understand the coaching variables that lead to skill acquisition, proficiency, and

long-term sustainability of core correctional practices represents a critical need within community supervision settings. Therefore, this study sought to determine if live coaching, a fidelity technique used by Multnomah County Department of Community Justice (DCJ) while implementing and sustaining the EPICS Model, aided officers in their proficiency with core correctional practices.

The focus of this study was threefold. First, a main objective was to examine if the use of live coaching as a fidelity measure increased supervision officer overall proficiency with core correctional practices. A second focus was to determine if the use of live coaching increased supervision officer proficiency with individual core correctional practices. And finally, this study focused on examining live coaching as a strategy for helping officers achieve proficiency in core correctional practices faster.

This chapter will be organized into four sections including (1) a summary of the major findings; (2) a discussion of practical implications; (3) a description of the study's limitations; and (4) recommendations for future research.

Summary of Findings

Research Question One: Does live coaching significantly increase overall proficiency with core correctional practices?

The first research question sought to determine if the use of live coaching was associated with higher overall core correctional practice proficiency. Because officers participating in the EPICS coaching process within Multnomah County DCJ received varying levels of live coaching, an initial exploration of mean overall CCP scores based on percentage of live coaching received was performed. This initial analysis showed that officers receiving no live coaching had a mean overall CCP score of .795 and outside of the 0-9.99% live coaching group (M=.781), mean overall CCP scores increased incrementally with each additional 10% of live coaching that officers

received, with the highest mean overall CCP score being reported of the 50-70% live coaching group ($M=.875$). This initially showed that mean overall CCP scores increased as the amount of live coaching increased.

Next, bivariate analyses showed significant positive correlations between the percentage of live coaching received and mean overall CCP score. When using the total sample, which included 99 officers who received no live coaching and 109 officers who received a percentage of live coaching, the correlation was $.219$ ($p=.002$), which represents a modest positive association between the two variables. The 109 officers who received a percentage of live coaching were isolated next and the intercorrelations between percentage of live coaching and mean overall CCP score indicated a stronger, positive relationship ($r=.376$, $p=.000$). While these estimates are based on bivariate analyses and do not account for other covariates related to mean overall CCP proficiency score, they contribute to evidence of a positive relationship between live coaching and mean overall CCP proficiency scores.

Third, results from a one-way ANOVA showed significant differences between Audio Only officers and officers in the More Live group as well as between officers in the Less Live and More Live group. These results show that officers that received more than 20% of their coaching by live submissions have significantly different mean overall CCP proficiency scores than officers in both of the other coaching groups, even officers who received a small amount of live coaching. However, ANOVA results did not show that mean scores differed significantly between Audio Only and Less Live officers, indicating a small amount of live coaching was not associated with higher mean overall CCP scores when compared to officers who received coaching from audio submissions only.

Finally, a hierarchical linear regression analyses showed percentage of live coaching to be a significant predictor of mean overall CCP proficiency. Within the first model, Race, Sex, Years of Experience, Years of Coaching, and Month Start Live Coaching were included as variables. Results from model 1 showed these variables explained 6.1% of the variance within mean overall CCP score, with Race, Years of Experience, and Years of Coaching producing significant coefficients. Years of Coaching produced a positive coefficient showing increases in years of coaching an officer received was associated with increases in mean overall CCP score. Interestingly, Years of Experienced produced a significant negative coefficient, showing that an increase in officer experience was associated with a decrease in mean overall CCP score. This provides evidence for a common theme recognized by administrators, supervisors, and coaches that officers with more experience tend to be more resistant to implementing the core correctional practices within RNR models of supervision like EPICS. Gleicher (2019) found that “trying to obtain buy-in from older/seasoned staff and leadership” was a common barrier referenced in qualitative surveys provided to sites that have implemented the EPICS model. This finding has also been found in other fields attempting to implement evidence-based practices. Aarons (2004) surveyed 322 public sector service providers working with children, adolescents, and families about their attitudes towards EBPs and found that greater experience was associated with less favorable attitudes. While this finding does not suggest that experienced officers cannot become proficient in core correctional practices, it does suggest there may be a benefit to training officers in core correctional practices using RNR models of community supervision early in their career, such as when they attend a probation or parole academy.

However, implementing training and coaching in core correctional practices at a probation or parole academy may not be feasible for some agencies and many agencies are already working

with higher percentages of experienced officers. Therefore, these findings also suggest it may be vital to know what experienced officers perceive as barriers to implementing EBPs like core correctional practices so they may be addressed to increase the likelihood of success. For example, Nelson et al. (2006) found community practitioners identified challenges to using evidence-based approaches including limited time to learn new approaches and access to adequate training and supervision with evidence-based protocols. Addressing these barriers when implementing core correctional practices could include ensuring training was tailored to officer areas of need and that coaching included strategies that have been found to be effective in increasing proficiency. Results from the current study point to the use of live coaching as a strategy to increase comfort and proficiency with core correctional practices. Finally, administrator understanding on the part of how long certain EBPs, like core correctional practices, take to learn and implement with fidelity is crucial. Specific recommendations in this area will be made under the practical implications section later in this chapter.

Model 2 added the Percentage of Live Coaching as the variable of interest to determine if it significantly predicted mean overall CCP score and to what extent while the variables from Model 1 were held constant. Within model 2, Years of Coaching remained significant and Month Started Live Coaching became a significant predictor, producing a negative coefficient. Because Month Started Live Coaching was measured as the month an officer started live coaching, a negative coefficient indicated that increases in mean overall CCP score was associated with an earlier live coaching start date. This is consistent with results found during research question 3 that showed increases in mean overall CCP score when an officer began receiving live coaching within the first 12 months of the coaching process. Percentage of Live Coaching was found to significantly predict mean overall CCP score and increased the variance explained by 4.2% over

model 1, bringing the total variance explained by the included variables to $R^2 = .103$. While this was a modest increase, the result contributes to evidence that live coaching added value by increasing core correctional proficiency above and beyond audio coaching only.

Because this is the first study to specifically examine live coaching as a strategy to increase core correctional practice proficiency, it is difficult to compare this outcome to findings from prior research within the criminal justice field. However, research from a variety of other fields has been conducted on the effectiveness of immediate feedback, which is an integral component of the live coaching process implemented by Multnomah County DCJ. For example, classroom studies providing individualized feedback have confirmed that immediate feedback is better than delayed feedback (Kehrer, Kelly, & Heffernan, 2013; Singh et al., 2011) and that it can increase the development of expertise (Ellis, Klahr, & Siegler, 1993). The finding that live coaching led to increased mean overall CCP scores may be congruent with this research as live coaching decreased the amount of time that officers had to wait for feedback and coaching after they completed an EPICS session with an individual on their caseload. Within the sample, officers providing an audio submission had to wait an average of 15.70 days to have their submission coded and to receive feedback on their performance. In contrast, officers participating in a live submission had their EPICS session coded and received feedback within .33 days. These results suggest that agencies implementing core correctional practices would benefit from incorporating live coaching as a mechanism for providing more immediate feedback and coaching to staff.

Research Question Two: Does live coaching significantly increase proficiency by core correctional practices skill type?

Research question two sought to determine if live coaching was associated with higher mean proficiency scores for individual core correctional practices. One-way ANOVA analyses

were conducted to determine differences across officer group means for the core correctional practices of *Quality Interpersonal Relationship*, *Cognitive Restructuring (Identifying Antisocial Thinking and Restructuring/Identifying Prosocial Thinking)*, *Structured Skill Building*, *Effective Reinforcement*, *Effective Disapproval*, and *Effective Use of Authority*.

Quality Interpersonal Relationship

As outlined previously, this core correctional practice requires staff to foster a quality interpersonal relationship with the offender (which can have considerable influence over behavior change) by remaining open, warm, and using engaging and enthusiastic communication (Dowden & Andrews, 2004). This was captured on the EPICS Rating Forms by measuring if officers were genuine, collaborative, showed concern and empathy, and if they engaged the offender in a two-way conversation.

Analyses did not reveal differences in mean proficiency scores between Audio Only, Less Live, and More Live officer groups for this core correctional practice, suggesting that live coaching was not associated with higher mean proficiency scores. For this core correctional practice, all officer groups had mean proficiency scores above 90%, showing a high level of proficiency regardless of type of coaching. This was also the core correctional practice that showed the lowest variability in scores across all officer groups. Standard deviations for Audio Only, Less Live, and More Live officers were .108, .067, and .047 respectively, showing that officer scores did not vary considerably from the mean for any group. Additionally, when the frequency of proficient officers was examined over time, all coaching groups had more than 85% of officers showing proficiency with this skill within the first six months of coaching. These results taken together suggest this was not a skill in which officers within Multnomah County DCJ required devoted coaching to

improve in as they began and remained highly proficient with this practice after the initial EPICS training.

Prior research in this area is varied. Bonta et al. (2010) found that *Relationship Skills* had a minimal and negative association with participation in clinical support activities (monthly meetings, feedback, refresher, on-going supervision), meaning that as officers participated in these activities, their proficiency with this skill decreased. However, Labrecque and Smith (2017) found relationship skills to be one of three practices that appeared to benefit the most from coaching, suggesting that officers required coaching to improve in this area after their initial EPICS training. Additionally, Labrecque and Smith (2017) reported that trained officers ended their 18-month coaching period with a .75 mean score, which still showed continued room for improvement and is well below the mean scores reported for the Multnomah County DCJ officer group. For the Multnomah County DCJ sample, there may have been additional factors outside of training and coaching (or an interaction of factors) not captured by the study data that led to such high overall scores in this area. Because findings have been varied with the need and effectiveness for coaching for this core correctional practice, it may suggest that this is a skill that largely depends on the specific officer group participating in core correctional practice training and coaching. This would emphasize the need to tailor the amount of time spent in training and on follow-up coaching activities to the needs of the officers in this area. To accomplish this, trainers and coaches could establish a baseline level of staff proficiency in this area prior to training by using a pre-test designed to measure relationship skills or requesting that staff submit an audio or live contact session with an offender to determine their use of relationship skills within the session.

Identifying Antisocial Thinking

Cognitive Restructuring can be defined as helping offenders identify and restructure antisocial thinking to more positive/prosocial thinking in order to change behavior and experience more positive outcomes. Within this study, the core correctional practice of *Cognitive Restructuring* was separated into two vital stepwise components, the first being *Identifying Antisocial Thinking*. *Identifying Antisocial Thinking* is being able to identify, and helping offenders identify, the antisocial thinking that influences their risk behavior.

ANOVA results did show differences in mean scores across officer groups for *Identifying Antisocial Thinking*. Specifically, post hoc comparisons revealed a significant difference between mean scores for officers receiving audio coaching only and officers receiving more live coaching. These results suggest that live coaching was associated with significantly higher mean scores when specifically targeting *Identifying Antisocial Thinking*, but only when live coaching constituted 20% or more of the process.

Results did not show a significant difference between Audio Only and Less Live mean scores or between Less Live and More Live mean scores, showing that for this skill, a small amount of live coaching was not associated with a significant increase in scores over the Audio Only condition. However, even though officers receiving less live coaching were not statistically different than officers receiving coaching through audio submissions only, mean scores for officers in the Less Live group did exceed the .630 proficiency threshold. Therefore, even though a small amount of live coaching was not associated with a statistically significant difference between group means for officers in the Audio Only and Less Live group, it did appear to be associated with increasing proficiency to a level at which prior research has shown is more likely to reduce

recidivism (Latessa et al., 2013). This suggests a small amount of live coaching is still valuable for increasing scores for this core correctional practice.

These results appear to be consistent with recent research examining core correctional practice proficiency over time. Labrecque and Smith (2017) found *Cognitive Restructuring* to be one of three CCPs that benefited most from coaching over time, but also reported that the mean score for this skill never rose above .50 for the EPICS trained officer group, which received only audio coaching over an 18-month period. While the Audio Only group within the current sample had a higher mean score for *Identifying Antisocial Thinking*, it also did not reach the .630 threshold.

STICS, another RNR model of community supervision, has also recognized the importance of focusing on cognitive restructuring by making a large focus of their initial training identifying and changing procriminal attitudes of offenders, which they saw reflected in trained officer skill usage after the training (Bonta et al., 2010). They also found *Cognitive Techniques* to be more highly correlated with participating in clinical feedback activities (monthly meetings, feedback, refresher, on-going supervision) than any other group of core correctional practices, meaning that as officers participated in activities, their skill proficiency rose.

Results across several studies examining officer use of core correctional practices throughout the coaching period are more consistent for this skill. Prior research, along with findings from the current study, suggest that training and coaching officers to identify antisocial thinking should be a large focus within the initial training as well as a focus during follow-up feedback and coaching activities. This study specifically also suggests that agencies would assist officers in increasing their proficiency in this area by adding in a live coaching component after the initial training period.

Restructuring/Identifying Prosocial Thinking

The second component of *Cognitive Restructuring* includes helping an offender to change identified antisocial thinking to more positive/prosocial thinking to change behavior. Within this study, this second component was captured under *Restructuring/Identifying Prosocial Thinking*.

Results showed significant differences in mean scores between Audio Only and More Live officers as well as between Less Live and More Live officers for *Restructuring/Identifying Prosocial Thinking*. These results point to any amount of live coaching effectively increasing officer proficiency with this core correctional practices. However, more live coaching was necessary for officers to reach a mean score that was over the predetermined .630 proficiency threshold. More Live officers were the only group to exceed this level of proficiency with a mean proficiency score of .724, indicating again that a higher percentage of live coaching was necessary for officers to reach a proficiency level with the capability of reducing recidivism. More Live coaching was also associated with a lower standard deviation for this core correctional practice. This practice showed the largest standard deviation decrease between Audio Only (SD=.340) and More Live (.213) coaching groups in the study, showing that along with higher mean scores for the More Live group, there was also decreased variability among scores.

Previous research conducted on officer use of and proficiency with core correctional practices has shown the restructuring component of cognitive restructuring (challenging and changing antisocial thinking once it's identified) to be a skill officers have found challenging to use and gain proficiency with. Smith et al., (2013) found that EPICS-trained officers initially experienced difficulties with challenging pro-criminal attitudes and values. This deficit was recognized and addressed through coaching sessions. While the researchers reported that the coaching sessions seemed effective in increasing the use of the practice, they did not report on the

proficiency level of officers using the skill. Labrecque and Smith (2017) reported that even though *Cognitive Restructuring* was one of three core correctional practices that appeared to benefit most from coaching, the mean for this skill never rose above .50 even after the 18-month coaching period. This result showed that even with dedicated coaching over an 18-month period, officers did not reach a proficiency level with a critical skill that could assist offenders in changing their behavior. Similarly, within the current sample, Audio Only officers received feedback for up to 39 months, but only reached a mean proficiency level of .565. Therefore, additional time does not appear to provide officers with the necessary coaching to reach a proficiency level capable of reducing recidivism with this skill. Instead, a different coaching mechanism, like live coaching, appears to be necessary to increase the mean score to an effective proficiency level.

Structured Skill Building

Similar to *Cognitive Restructuring*, *Structured Skill Building* is a cognitive-behavioral intervention used to help offenders change risk behavior. *Structured Skill Building* is a planned modeling technique used to teach offenders prosocial behavioral skills for handling risk situations and focuses on breaking skills down, modeling, role-playing, and providing reinforcement and feedback.

Results showed significant differences in mean scores between both Audio Only and More Live officers as well as Less Live and More Live officers in regard to *Structured Skill Building*. For this core correctional practice, all officer groups reached the .630 threshold, suggesting that even audio coaching only was sufficient to assist officers in the level of proficiency necessary to make reductions in recidivism. However, the addition of more live coaching increased officer mean proficiency 11.9 percentage points over officers receiving a small amount of live coaching

and 14.4 percentage points over officers receiving coaching by audio submission only. The addition of more live coaching propelled the mean for this officer group into a mean proficiency score above 80%, making *Structured Skill Building* the only cognitive-behavioral skill within the study to reach this level of proficiency. Additionally, standard deviations decreased between Audio Only (.310) and More Live (.185) officers more than any other practice outside of *Restructuring/Identifying Prosocial Thinking*, showing that live coaching was also associated with decreased variability in officer scores for this practice.

Higher mean proficiency scores for *Structured Skill Building* over *Cognitive Restructuring* has been found in other EPICS research. Labrecque and Smith (2017) reported *Structured Skill Building* was one of three core correctional practices that showed the most improvement throughout the coaching process, reporting that mean proficiency scores for officers rose to .66 by the end of the 18-month coaching period. The *Structured Skill Building* mean score reported by Labrecque and Smith (2017) of .66 is almost exactly what the current study reported as the mean proficiency score for Audio Only officers, which was .662. While this is only based on two studies, this may suggest there is a proficiency level ceiling when coaching based on audio submission only and that a different coaching mechanism, such as live coaching, would be beneficial to assist officers in reaching a higher level of proficiency.

Effective Reinforcement

Effective Reinforcement is a behavioral practice in which staff recognize and praise positive/prosocial behavior or speech demonstrated by offenders to strengthen internal motivation and the likelihood the behavior or speech is used in the future. *Effective Reinforcement* was the only behavioral practice where differences in mean proficiency scores were found across all officer

coaching groups. For this skill, significant differences were found between Audio Only and More Live officers as well as between Less Live and More Live officers. However, even though significant differences were found in scores with this skill, this was obviously a skill that officers were less proficient in as mean scores across all groups were lower than for any other skill included in the study. Additionally, with a mean score of .653, officers in the More Live group were the only officers to reach proficiency above .630. The use of live coaching, particularly more live coaching, appeared critical for this skill as it was associated with significantly higher proficiency scores and the only proficiency score to exceed .630.

In a prior review of how coaching impacts the use of core correctional practices over time, Labrecque and Smith (2017) found no differences in *Effective Reinforcement* proficiency scores between EPICS trained and untrained officers. Based on this finding, they suggested there was tentative evidence to recommend this skill not take up too much time during training or follow-up coaching sessions. However, the proficiency score for both EPICS-trained and untrained officers within this study only reached .65, which is just above the .630 proficiency level, suggesting that even trained officers still had room for improvement for this skill.

Together, these results suggest that *Effective Reinforcement* should be a focus during the initial training and should continue to be a focus during follow-up coaching activities. Additionally, *Effective Reinforcement* may need to be an even larger focus during coaching as it appears to be a skill that prior research is showing is not increasing over the .65 mark even with dedicated audio and live coaching strategies. In a study comparing EPICS-trained and untrained staff on their use of core correctional practices, Smith et al. (2012) found EPICS-trained officers were more likely to reinforce, encourage and praise prosocial behavior (the first step of *Effective Reinforcement*), showing an initial training on core correctional practices increased the amount

that officers recognized opportunities for and used the initial step of *Effective Reinforcement*. They also found that after the initial EPICS training, there was no difference in the officer groups in exploring short- and long-term benefits of continuing a prosocial behavior (a critical second step in using reinforcement effectively). However, this specific area was targeted during coaching sessions and a significant difference in the use of this second step emerged between trained and untrained officers after this was targeted during coaching sessions. While this research does not specifically provide information on proficiency level with this skill, it may shed light on specific suggestions for how to focus on this skill specifically during training and follow-up coaching. The results of the current study paired with these specific findings suggest that recognizing opportunities and how to reinforce may be most beneficial during training settings and that more targeted and specific feedback on how to help offenders explore short- and long-term benefits of continuing a prosocial behavior may be more beneficial during follow-up coaching activities.

Effective Disapproval

Effective Disapproval is a second behavioral practice and includes recognizing and verbally disapproving of antisocial behavior or speech, helping offenders recognize the short- and long- term consequences of continuing this type of behavior, and exploring prosocial alternatives they can use instead. ANOVA results did not reveal statistically significant differences in mean scores across officer groups for *Effective Disapproval*, suggesting that the addition of live coaching did not have a statistically significant impact on this skill. However, similar to *Effective Reinforcement*, the More Live officer group was the only group to exceed the proficiency threshold of .630, with a mean proficiency score of .658. The Less Live coaching group also approached this threshold with mean overall score of .627. This again suggests that while means between

Audio Only (M=.544), Less Live and More Live did not statistically differ from one another, the addition of more coaching (defined as 20% or more of submissions were live) was valuable as it was associated with the only mean score above the .630 proficiency mark.

Prior research on use of core correctional skills within the EPICS model also showed *Effective Disapproval* to be a skill that is utilized less often during contact sessions even by officers who have received trained in the EPICS model. Labrecque and Smith (2017) reported that trained officers used *Effective Disapproval* so infrequently during audio sessions, they were unable to include it in the analyses because of inconsistent use and small sample size. They also reported that trainers and coaches from the study site anecdotally informed researchers that officers struggled with this skill (along with *Prosocial Modeling and Problem Solving*) the most and were therefore more likely to avoid it during the audiotaped submissions. The authors recommended that future trainings and coaching sessions focus on this specific skill in order to increase officer comfort and proficiency. The current study would support this recommendation given that current findings also show a decreased use of the skill (by Audio Only officers) and even with an increase in use of the skill (by Less Live and More Live officers), officers still struggled to gain high levels of mean proficiency.

Decreased use of this skill, along with lower levels of proficiency, is surprising given common resistance heard from officers participating in the implementation of EPICS and other RNR models of community supervision. In fact, an implementation report written for practitioners by Multnomah County DCJ in 2015 reported that one of the implementation challenges they faced was changing officer roles from law enforcement to behavior change agents (Multnomah County Implementation Report, 2015). A common barrier to the use of certain skills within the model such as *Cognitive Restructuring* or *Structured Skill Building* is that officers do not see this as part

of their duties (Gleicher, 2019). Instead, officers have reported that their job is to monitor for compliance and hold offenders accountable. While monitoring may be seen as a different job function, holding offenders accountable and *Effective Disapproval* may be seen as more synonymous as they both involve a punishment for illegal or antisocial behavior. This would suggest an increased use, comfort, and proficiency with a skill such as *Effective Disapproval*. However, research is showing this is a skill that should be focused on within the initial EPICS training and follow-up coaching in order to increase true proficiency with this skill.

Because the steps of *Effective Disapproval* are so similar to the steps of *Effective Reinforcement* (the only meaningful difference is the kind of behavior or speech being targeted by the officer) recommendations for how training and coaching strategies should target this skill for increased proficiency would also be similar. Specifically, the findings in previous research and the current study suggest that training and coaching focus on teaching officers to recognize appropriate opportunities to use *Effective Disapproval* to increase comfort with *when* to use this skill. Additionally, it may be beneficial during coaching activities to focus on helping officers with exploring short- and long-term consequences of antisocial behavior and how to help offenders recognize prosocial alternatives to antisocial behavior to increase comfort with *how* to use this skill.

Effective Use of Authority

Effective Use of Authority is the third behavioral practice included within the eight core correctional practices. This skill involves guiding offenders towards compliance by outlining clear officer expectations, offender choices, and consequences of offender choices. As with *Effective Disapproval*, results did not reveal overall differences in mean proficiency scores across officer

groups for *Effective Use of Authority*. Also similar to *Effective Disapproval*, this was a core correctional practice that was utilized at a lower frequency by Audio Only officers. However, even with decreased use by Audio Only officers, proficiency scores across all officer groups for this skill were the highest for any behavioral practice, with each score above the .630 proficiency threshold. Additionally, standard deviations were the most consistent across officer groups for *Effective Use of Authority* than for any other core correctional practice. Standard deviations for Audio Only, Less Live, and More Live groups were .295, .298, and .275 respectively, demonstrating there was less individual officer score variability for this practice.

This result is consistent with previous EPICS research that found officer proficiency scores were highest for *Effective Use of Authority* compared to all other core correctional practices and were actually the same across both EPICS trained (M=.94) and untrained officers (M=.94) (Labrecque & Smith, 2017). Together, these results suggest that *Effective Use of Authority* may be a skill that officers have a comfort with and proficiency in prior to EPICS training. The results also suggest this is not a skill that requires increased time during training and may not benefit from higher levels devoted to live coaching.

Problem Solving

Problem Solving is a complex cognitive-behavioral intervention used to teach offenders to become independent problem solvers by following a structured, stepwise process. Unfortunately, as previously outlined, *Problem Solving* was not captured from 2015 to 2018 within Database 2. Therefore, it cannot be determined if the use of live coaching improved this specific core correctional practice. However, a review of audio sessions submitted between 2011 and 2015 showed 81 officers provided audio submissions in which *Problem Solving* was used. The overall

mean *Problem Solving* score across officers during this time frame was .644, showing that officers just exceeded the .630 proficiency rating. This suggests audio coaching alone was enough to assist officers in reaching a level of proficiency capable of having a meaningful impact on recidivism.

Additionally, while it was shown that audio coaching appeared sufficient to assist officers in reaching the proficiency level of .630, proficiency levels did not rise to the level of other cognitive-behavioral interventions where live coaching was implemented, including both components of *Cognitive Restructuring* (M=.717, .724) and *Structured Skill Building* (M=.807). Interestingly, the mean proficiency scores for *Problem Solving* across all three officer groups were not significantly different from one another and ranged from .637 for Less Live officers to .656 for Audio Only officers. This finding shows that officers within the three group types were at similar proficiency levels before the use of live coaching began. Therefore, based on the results from the previous cognitive-behavioral interventions within this study, it also suggests that the addition of live coaching, particularly more live coaching, may help to increase proficiency scores.

Findings for this skill also suggest that Multnomah County DCJ officers may have been more comfortable with the skill of *Problem Solving* or that it was targeted more for coaching purposes as these results are in contrast with prior EPICS research showing that *Problem Solving* was a skill used infrequently by officers, even by those with training in the EPICS model (Labrecque & Smith, 2017). Similar to *Effective Disapproval*, the study site trainer and coaches anecdotally confirmed that officers struggled with *Problem Solving* within training and coaching sessions and were more likely to avoid their use during audio submissions of EPICS sessions (Labrecque & Smith, 2017). Based on this finding, the researchers recommended that *Problem Solving* be targeted as a core correctional practice that should be better addressed through training and coaching opportunities in the future. The findings within the current study would also support

this recommendation. Again, while *Problem Solving* reached a proficiency level that has been shown to be more likely to reduce recidivism, it did not reach the proficiency levels of other core correctional practices when exposed to live coaching. Expanded recommendations will be outlined in the following section.

Prosocial Modeling

Finally, *Prosocial Modeling* includes staff providing a positive and prosocial model for offenders through unplanned modeling behavior. *Prosocial Modeling* was a second core correctional practice that was not captured within the data from 2015 to 2018. However, 172 officers submitted 1950 EPICS sessions between 2011 and 2015 in which *Prosocial Modeling* was used. While the current study is unable to examine the effects of live coaching on this core correctional practice, the overall mean *Prosocial Modeling* score for all officers between 2011 and 2015 was .983 (98.3%). Within the current study, this was the highest overall mean score for any core correctional practice, suggesting this was a skill that officers were comfortable with, used often, and had high levels of proficiency in. Therefore, the addition of live coaching likely would not have impacted this practice in a significant way.

This finding is interesting given that prior EPICS research on core correctional practice coaching over time found that *Prosocial Modeling* (this practice was labeled as *Anticriminal Modeling* in previous research) was one of the least used core correctional practices, was a practice that officers felt less comfortable using, and was the practice in which officers had the lowest mean scores (Labrecque & Smith, 2017). A possible explanation for the difference in findings may be the way this specific item was coded in this study compared to prior research. Within the current study, *Prosocial Modeling* was defined as:

- *Prosocial modeling*: Effective correctional staff provide an anticriminal (or prosocial) model for clients through unplanned modeling behavior.

Additionally, the item on the EPICS Rating Form that captured this item was coded using the following guidelines:

- When the officer speaks to the client, did they do any of the following?
 - Use a respectful tone and appear genuine
 - Encourage client's behavior change
 - Use language that is respectful and not derogatory
 - Use verbal praise throughout session
- When the officer speaks to the client, are any of the following negative interactions present?
 - Pattern of sarcasm
 - Pattern of hopelessness or inability of the client to change
 - Disrespectful comments/terms
 - Inappropriate remarks

Within the current study, officers likely had the opportunity to use this skill in every EPICS session as it is mostly capturing if the officer interacted with the offender in a respectful, prosocial way. Therefore, based on findings from the current study, it does not appear that *Prosocial Modeling* is a skill that should be targeted during training or follow-up coaching activities.

Research Question Three: Do officers receiving live coaching reach proficiency with core correctional practices faster than officers who did not receive live coaching?

Research question three sought to determine if officers receiving live coaching reached proficiency with core correctional practices faster than officers who did not receive live coaching. To allow for the examination of proficiency scores over time, mean overall CCP scores, as well as mean scores for each individual practice, were binned into 3-month time intervals from the start of each officers coaching period. However, because of the length of time of coaching, scores were collapsed into 6-month time intervals. The frequency of officers scoring in the proficient range (.630 or higher) for each time interval was examined across group type for overall use of core

correctional practices and for each individual practice to determine if officers receiving live coaching showed a higher frequency of proficient officers at earlier time intervals than officers receiving no live coaching.

First, when examining the overall use of core correctional practices, results showed the majority of officers in each group were proficient across time, even within the first time interval, suggesting that regardless of group type, most Multnomah County DCJ officers were proficient early in the coaching process. However, results also showed that while a high percentage of officers were proficient in core correctional practices from each group, a higher percentage of officers in both live coaching groups fell into the proficient range across all time intervals when compared to officers receiving audio coaching only. Additionally, the More Live coaching group had a higher percentage of officers in the proficient range when compared to the Less Live coaching group for all but 2 time periods throughout the coaching process was the only group to reach a rate of 100% proficiency, however, this did not occur until the 49-54 month interval. These results lend evidence to live coaching being associated with not just higher mean proficiency scores when compared to officers receiving audio coaching only, but also that live coaching is associated with a higher frequency of proficient officers when compared to officers receiving audio coaching only. However, these results do not produce strong evidence that officers receive live coaching reach higher levels of proficiency faster than officers receiving audio coaching only. While the More Live coaching group was the only group to show that 100% of officers were proficient with core correctional practices, this did not occur until more than 4 years into the coaching process (at the 49-54 interval). Therefore, these results are showing that it takes a considerable amount of time and coaching for all officers to reach proficiency with these skills.

Second, it is important to note that while the percentage of proficient officers for each group did increase over time, it was not a progressive increase in which the percentage of officers increased during every time interval. Instead, for each group, the percentage of proficient officers appeared to fluctuate over time intervals, showing the percentage of proficient officers in each group increasing at most time intervals, but decreasing at others. This result is consistent with prior EPICS research that examined the use of coaching to increase officer use of core correctional practices over time. Labrecque and Smith (2017) reported that the frequency of proficient officers increased with each 3-month time interval between 1 and 12 months, but then decreased between months 13-15 and 16-18. Together these results show that overall core correctional proficiency is not something that officers achieve and automatically retain. Instead, it appears that proficiency among officers can increase and decrease over time. This, along with the results outlined above, suggest live coaching should continue over time to ensure officers retain proficiency with core correctional practices.

Research question three also sought to determine if the frequency of officers scoring in the proficient range for each core correctional practice indicated that officers receiving live coaching reached proficiency faster for any of the individual skills when compared to Audio Only officers. The above process was repeated for each core correctional practice and the frequency of proficient officers for each coaching group type was examined over 6-month time intervals. Results from these analyses revealed a similar pattern to overall use of core correctional practices over time. For the skills of *Identifying Antisocial Thinking*, *Restructuring/Identifying Prosocial Thinking*, *Structured Skill Building*, and *Effective Reinforcement*, officers receiving more live coaching had a higher percentage of proficient officers across time intervals when compared to officers receiving audio coaching only and officers receiving less live coaching. However, the percentage of

proficient officers again fluctuated over time for all group types and the use of live coaching was not associated with noticeably higher percentages of proficient officers at earlier time periods when compared to officers receiving audio coaching only. The skills of *Quality Interpersonal Relationship*, *Effective Disapproval*, and *Effective Use of Authority* did not show a clear pattern of higher percentages of proficient officers for the Move Live group in early time intervals or across time, suggesting that the increased use of live coaching was not associated with helping officers reach proficiency faster or retain proficiency over time. These results may point to the need for increased monitoring and dedicated coaching for *Effective Disapproval* and *Effective Use of Authority* because of increased officer variability across time for these specific skills. The same kind of dedicated coaching would likely be unnecessary for *Quality Interpersonal Relationship* as officers across all groups had high mean proficiency scores, there was decreased individual officer variability as evidenced by similar standard deviations, and a high percentage of officers scored in the proficient range across all time periods for all officer groups.

While the findings from research question three showed fluctuations in proficient officers over time for both mean overall CCP proficiency and mean individual score proficiency, there was a notable pattern in the fluctuations at the T4 (19-24 month) time interval. The percentage of proficient officers noticeably decreased for both mean overall CCP proficiency and mean individual score proficiency during this time frame. To explore possible reasons for this finding, an additional analysis was performed to determine what year in Multnomah County DCJ's implementation of the EPICS model this would likely have been based on when most officers began the coaching process. It was determined that 54.3% of officers began coaching in 2011/2012, which indicates the T4 time interval for the majority of officers in the sample would have occurred in 2013/2014. Several key staff tasked with implementing the EPICS model within

Multnomah County DCJ were contacted to determine what may have changed in EPICS coaching within this time frame. Staff pointed to two key changes that may have impacted officer proficiency during the 2013/2014 time frame. First, during this time frame, coaching shifted from the responsibility of supervisors to a centralized “EPICS Unit.” The EPICS Unit was responsible for the organization of EPICS training and coaching within the Multnomah County DCJ organization. This shift specifically relates to a potential change in scores as those tasked with coding EPICS audios and providing individualized feedback to officers changed from the direct supervisor to a team of coaches within the EPICS Unit. This shift occurred mainly to ensure that EPICS coding and coaching was more consistent across officers and units within the department, but also to dedicate staff resources to coding and coaching EPICS in order to ease supervisor responsibility in this area. Anecdotally, staff expressed that supervisors were inclined to code EPICS Rating Forms more favorably for their own staff and that the EPICS Unit was more likely to be objective, which included more honest scrutiny of staff skills. Second, and relatedly, Multnomah County DCJ decided to incorporate the use of Motivational Interviewing (MI) during EPICS sessions. This meant that officers had to have training and coaching in another initiative alongside continuing to learn and improve their use of the EPICS model and core correctional practices. MI items were added to the end of the EPICS rating form and coaches began to code for and coach on these items, which may have caused officers to feel the strain of implementing another initiative and may have also shifted focus away from core correctional practice proficiency during this time. Again anecdotally, staff shared that officers often talked of “initiative fatigue,” or being expected to implement multiple evidence-based initiatives at once during this time frame. The addition of MI training and coaching may have added to this fatigue and caused scores to decline as officers were focusing on a new initiative.

Finally, one possible explanation for the absence of clear differences in the percentage of proficient officers across group types at early time intervals may have been due to when officers began to receive live coaching. Because over half of officers (51.4%) who received live coaching did not begin to receive live coaching until 35 months into the coaching process, it was difficult to determine using the analyses above if live coaching was associated with higher percentages of proficient officers at earlier intervals. In an attempt to determine if live coaching could be associated with higher levels of proficiency at earlier time intervals, officers who began receiving live coaching within the first 12 months of the coaching process were isolated and compared both to officers who began to receive live coaching after this time frame and officers who received no live coaching at all. ANOVA results and post hoc comparisons revealed significant differences in mean overall CCP proficiency scores across officers falling into these different categories. Specifically, officers in the <12 months groups had significantly higher mean overall CCP proficiency scores than officers who began to receive live coaching at or after the 12 month mark and officers in the Audio Only coaching group. In fact, officers who began to receive live coaching within the first 12 months of the coaching process had a mean overall CCP proficiency score of .860, which was the highest proficiency score for any officer category outside of officers receiving 50-70% of their coaching through live submissions (M=.875). This result shows that officers receiving live coaching earlier in the process was associated with significantly higher mean overall CCP scores than if they began receiving live coaching after this point or not at all. Therefore, if agencies are able to incorporate a mechanism such as live coaching, these results would advocate for incorporating this practice within the first 12 months of coaching to help increase officer proficiency in core correctional practices. This is congruent with the previous recommendation to incorporate live coaching as it aids in providing more immediate feedback to officers after their

use of core correctional practices during contact sessions. Incorporating live coaching as soon as possible after officers receive training would reinforce the practice of immediate feedback and coaching.

Overall, findings from the research questions included in this study offer guidance for practical implications for the field and should be given serious consideration. The following section will outline practical implications in the form of recommendations for how the field of community corrections can increase officer proficiency in core correctional practices. These recommendations are based on a combination of prior research and findings from the current study.

Practical Implications

1. *Restructure core correctional training and coaching to focus on common areas of officer need.*

The current study, along with similar research, has generally shown that officer comfort and proficiency with core correctional practices varies by skill type (Bonta et al., 2010; Labrecque & Smith, 2017). Practical implications of this common finding would be to tailor training and coaching by focusing on skills where officers have been shown to lack comfort or have been shown to take increased time to proficiency. Based on the current study, training and coaching activities should devote the highest amount of time to the core correctional practices of *Identifying Antisocial Thinking*, *Restructuring/Identifying Prosocial Thinking*, *Effective Reinforcement* and *Effective Disapproval*. Next, a moderate amount of training and coaching time should be devoted to the practices of *Structured Skill Building* and *Problem Solving*. Finally, according to the current study, there were several core correctional areas that could be seen overall as natural officer strength areas. These practices include *Quality Interpersonal Relationship*, *Effective Use of Authority*, and *Prosocial Modeling*. These

areas appeared to require at least a smaller amount of time devoted to coaching for officers to gain proficiency and while less time is required for these skills during the coaching process, this recommendation does not mean training and coaching should ignore these areas. Instead, these areas can be used during training and especially during coaching activities to encourage strength areas, increase confidence with skill usage, and increase officer buy-in to improve in areas they may be weaker in. Additionally, these are general recommendations for training across staff which will undoubtedly have varying levels of experience and proficiency with these skills. While the above recommendations are guidelines for where to focus more or less training time, this should also be balanced with individual staff need during the follow-up coaching process.

2. *Consider including training in core correctional practices during officer orientation.*

A noteworthy finding that has a practical implication from the current study was that higher levels of officer experience were associated with lower mean overall CCP scores, meaning the more experience an officer had the lower their mean overall CCP proficiency score tended to be. A possible way to remedy this would be to offer or even require training on how to use core correctional practices within community supervision settings as early as officer orientation training to a new jurisdiction or within a probation or parole academy setting. This would encourage structure and the use of core correctional practices immediately so that this framework becomes “the way officers do business” instead of requiring officers to unlearn years of ineffective strategies.

3. *Incorporate live feedback as a fidelity measure.*

Live coaching consists of a supervisor or coach sitting in or listening nearby to a one-on-one contact session between officer and offender, instead of submitting an audio recording of the interaction. This process is preceded by a pre-coaching session in which the supervisor/coach and officer review the plan for the contact session. In this process, just like with the audio submission, the supervisor/coach codes the interaction for adherence to the core correctional practices including *quality interpersonal relationship, prosocial modeling, effective reinforcement, effective disapproval, effective use of authority, cognitive restructuring, structured skill building, and problem solving*. Finally, live coaching includes a post-coaching session in which the supervisor/coach provides immediate feedback to the officer based on a rating form designed to capture fidelity to core correctional practices.

The current study lends enough evidence to suggest that incorporating the use of live coaching will have a meaningful impact on core correctional practice proficiency, both overall, and with individual practices. Results from this study suggest that incorporating a small amount of live coaching sessions (20% or less) would likely be associated with increased proficiency for core correctional practices *Restructuring/Identifying Prosocial Thinking, Structured Skill Building, and Effective Reinforcement*. However, incorporating a larger amount of live feedback (more than 20% of coaching submissions are categorized as live) would likely be associated with higher mean proficiency scores for core correctional practices *Identifying Antisocial Thinking, Restructuring/Identifying Prosocial Thinking, Structured Skill Building, Effective Reinforcement, and Effective Disapproval*. Additionally, while it was based

on a small sample size (N=8), the current study found the highest mean overall CCP proficiency scores for officers receiving between 50-70% of their coaching through live submissions. Jurisdictions considering implementing live coaching may want to take this into account when structuring what live coaching will entail. Finally, it was found that officers who began receiving live coaching within the first 12 months of their coaching process had significantly higher mean overall CCP scores than officers who began receiving live coaching after 12 months and officers that did not receive live coaching at all. This suggests that agencies incorporating live feedback should consider including it as a measure to follow within the first 12 months after core correctional practice training.

4. *Continue core correctional practice coaching over time.*

Within many agencies incorporating not just core correctional practices, but other evidence-based practices, there is a common and collective feeling of working towards the “end” of an evidence-based practice, or at least the end of quality assurance involving that practice. With core correctional practices specifically, agencies and staff often treat the implementation and use of these practices like a program with a start and end date, instead of a continual evidence-based way of interacting with offenders to create more successful outcomes. However, findings from the current study would encourage that agencies implementing core correctional practices continue to monitor, provide feedback, and coach the use of these practices indefinitely. Specifically, the current study found that officer proficiency in core correctional practices varies over time, both with overall use of core correctional practices and with individual skills. It was shown clearly across overall use of CCP and for each core correctional practice

that even though proficiency was gained by a percentage of officers, that percentage could still decrease at a later time interval, suggesting that gaining proficiency is not a one-time thing. Instead, core correctional practices appear to be perishable skills that require continued feedback and coaching over time to maintain high proficiency scores and high percentages of proficiency officers. Therefore, when agencies undertake core correctional practices training within a community supervision setting, it is recommended that a long-term sustainability plan include the use of continued coaching over time.

The recommendation to continue fidelity measures, in this case the use of live coaching, is consistent with recommendations from both the Correctional Program Assessment Inventory (CPAI) and Correctional Program Checklist (CPC). Both the CPAI and the CPC are structured assessments used to measure agency and program adherence to evidence-based practices and include specific items correlated to recidivism reduction. Both assessments include items designed to measure an agency's internal quality assurance process, including how staff are monitored for fidelity to evidence-based practices and how feedback is delivered to staff on evidence-based skill delivery. These items do not look for community supervision agencies to implement a practice and stop the continued improvement process, but instead have shown that agencies that continue to supervise and provide quality assurance measures, specifically in regard to effective practices like core correctional practices, have lower recidivism rates (Gendreau et al., 2010; Latessa et al., 2010).

5. *Use current study results to inform implementation plans.*

It should be noted that Multnomah County DCJ had exceptional leadership around the implementation of core correctional practices within the EPICS model. Aspects of Multnomah County DCJ's implementation of these practices within the EPICS model may have contributed to findings within the current study such as the high percentage of proficient officers across group types over time. These aspects included 1) the implementation and sustainability of these practices being supported initially and over time by leadership; 2) the dedication of the leadership to auditing, coding, and coaching on core correctional practices throughout the length of time data was captured for the study; and most notably 3) the creation of an implementation team that was tasked with the organization and decision-making concerning the initial implementation and long-term sustainability of the EPICS model within Multnomah County DCJ. Specific implementation team information, guidelines, and recommendations created by Multnomah County DCJ are outlined in Appendix F.

6. *Align officer proficiency expectations with research.*

A final practical implication based on the current study includes aligning agency and leadership (and sometimes the officers') expectations regarding core correctional proficiency with research. Many times, agencies and their stakeholders are more concerned with outcomes of evidence-based practices, namely reductions in recidivism, than they are with the process for successfully achieving those outcomes. Therefore, community supervision agencies investing in core correctional practices may want to see outcomes such as reductions in recidivism quickly. However, research on core correctional practices suggest that reductions in recidivism are seen when

officers reach a certain proficiency threshold, therefore, the process to assist officers in gaining proficiency becomes extremely important. Research also suggests that with these specific skills, officer proficiency is going to take time. Therefore, current research showing there are skills officers may be proficient in right away, such as *Quality Interpersonal Relationship*, *Effective Use of Authority*, and *Prosocial Modeling*, should factor into expectations of officer proficiency. Expectations should also consider there are skills that will take officers months or possibly years to achieve proficiency in, especially overall as an agency, such as *Cognitive Restructuring*, *Structured Skill Building*, *Problem Solving*, *Effective Reinforcement*, and *Effective Disapproval*. One last factor that should be considered is individual variation in regard to proficiency with core correctional practices. This recommendation, while based in available research, provides insight into overall officer proficiency with core correctional practices, but there will always be individual variability across officers. Using both points of information will assist agencies in forming expectations that are realistic and congruent with research and individual officer need areas.

Study Limitations

Despite the positive findings in response to the research questions for this study, it is also important to outline the current study's limitations. First, there are several limitations associated with the sample. Perhaps the most obvious limitation is the data used to answer the research questions for this dissertation are from only one jurisdiction. This may limit the ability to generalize results to other jurisdictions across the country. Multnomah County represents a large jurisdiction with a large number of probation and parole officers. These factors may make the results difficult to generalize to smaller jurisdictions in more rural settings that may not have the

same resources Multnomah County did to implement evidence-based practices. However, results may be generalized to jurisdictions of a similar size and setting. Additionally, the county combined the supervision of probationers and parolees, which is not a typical format for community supervision agencies in the United States. This may help actually help to generalize the results to an increased number of jurisdictions as the results would apply to both probation supervision and parole supervision settings, again of a similar size and setting.

While it may not strictly be categorized as a study limitation, it is also important to frame the results and findings from the study within the context of Multnomah County DCJ as an invested early adoption site. Leadership is important in the effective operation of human service organizations and good leadership is associated with higher levels of service provider organizational commitment (Glisson & Durick, 1988; Glisson, 1989, Aarons, 2006). As noted in the recommendations section, Multnomah County DCJ had invested leadership prior to and during the implementation of the EPICS model, which continued as the model became a part of “business as usual” within the organization. This was demonstrated by vocal and strong leadership support for the model, re-arranging of supervisor and staff time to accommodate learning the model and associated skills, and the development of an implementation team. Because Multnomah County DCJ was an invested site with resources that made it possible to devote large amounts of leadership and staff time to increasing proficiency with core correctional practices, it may be seen as fundamentally different than many jurisdictions that struggle with or are resistant to the implementation of evidence-based practices. This may be seen as a limitation in that it could limit the generalizability of findings to organizations that lack this type of leadership and commitment to the implementation of evidence-based practices. However, the process followed by Multnomah County DCJ could also be seen as a model for other jurisdictions that are considering implementing

core correctional practices. Because many community supervision organizations struggle with the implementation of evidence-based practices, having a successful process to follow could assist other organizations in replicating the process. Additionally, because Multnomah County DCJ could be seen as a model site in many ways, the findings from this study could act as “proof of concept.” Harrell (2006) outlined an ideal research and development continuum for crime policy, beginning with the proof of concept phase, which includes determining if an intervention can produce results under the best conditions. Because this study has shown that live coaching (the way it was implemented within Multnomah County DCJ) was associated with increased officer core correctional practice proficiency, it could act as the initial proof of concept for the live coaching process. Because the second and third stages proposed by Harrell (2006) include how to move forward with researching an intervention after it has been shown to produce initial results, they will be outlined in the next section.

A second limitation related to the sample for this study is the lack of a Live Only comparison group. Unfortunately, when Multnomah County DCJ decided to incorporate the use of live coaching within their jurisdiction, those officers receiving live coaching still continued to submit EPICS audios submissions and receive coaching based on audio submissions when live coaching was not a possibility. Therefore, it was not a possibility to create a traditional control group (Audio Submission Only) and an Experimental/Treatment group (Live Coaching Only) for comparison. This particularly limited the current study’s ability to answer research question three, which assessed if officers receiving live coaching reached proficiency faster than officers not receiving live coaching. Traditional control and experimental/treatment groups would have allowed for more equivalent comparisons across officer groups by time intervals.

Next, there are several limitations to be outlined concerning the data and data collection for this study. First and foremost, the data was originally collected and documented for quality assurance, not research purposes. Therefore, as Multnomah County DCJ used the original EPICS Rating Form to provide feedback and coaching to officers using the EPICS model, they began to recognize areas of the form that were not capturing a practice accurately or in a way that made providing feedback and coaching clear to the officers. Additionally, there were components of the original EPICS Rating Form that Multnomah County DCJ felt could be combined to make coding EPICS audios and providing feedback and coaching to officers more efficient. Therefore, Multnomah County DCJ chose to create a second version of the EPICS Rating Form to alleviate these issues (*see Appendix C*). The difference in how items were measured is outlined in Chapter 3, Table 3. However, while updating the EPICS Rating Form may have helped Multnomah County DCJ coders, officers, and coaches, it created the possibility of an instrumentation threat to validity because the scoring instrument changed. Changes to the EPICS Rating Form made consolidation of the data more difficult and negatively affected the ability to specifically study two core correctional practices: *Problem Solving* and *Prosocial Modeling*.

Another data-related limitation was the possibility for selection bias, pertaining to both audio and live coaching procedures. As outlined in Chapter 3, officers were permitted to choose which moderate- and high-risk offenders they recorded and submitted audio sessions on. This means that officers were in the position to select their “best” audios for submission. This possibility could have also been exacerbated by the expectation that officers reach proficiency in EPICS interventions and behavioral practices before moving to a quarterly submission schedule. Because this process was used to incentivize officers, it could have encouraged them to submit their best audios instead of those in which they struggled. Live submission and coaching may have

decreased this selection bias slightly as the officer no longer had the opportunity to discard a “bad audio” and record and submit again if they thought they could have done better. Instead, once a coach was listening, that contact session was scored using the EPICS Rating Form and was not discarded even if the contact session did not go well. However, officers were still able to select which moderate- and high-risk offenders they scheduled for the live submission process and thus still had the ability to choose offenders that would show them in a positive light using core correctional practices during their contact sessions. Therefore, both audio and live groups were likely to choose their better submissions to a certain degree. Given this, the limitation here is less likely to be selection bias where one group was able to choose their “better” submissions more than the other, but more likely to be proficiency scores across both groups may have been somewhat inflated.

A final limitation related to data was the inability to calculate a “months to proficiency” for the overall use of core correctional practices or for individual core correctional practices. Because data was collected as a quality assurance measure, core correctional practices were not measured in a way that would allow for the determination of when an officer reached proficiency with core correctional practices. This limitation could be addressed with a change in research design, which will be covered in the following section.

While this study does have several limitations that affect the ability to generalize the results, these are limitations that could easily be remedied in future research on live coaching as a fidelity strategy to increase officer proficiency in the use of core correctional practices in community supervision settings. The next section will explore recommendations for future research in this area, including ways to build and improve upon the current study design.

Recommendations for Future Research

This was the first study to examine the use of live coaching as a fidelity measure used by RNR models of community supervision to increase officer proficiency with core correctional practices. While the results of the study support the use of live coaching as a technique that may be helpful in assisting officers with implementing and gaining higher levels of proficiency with core correctional practices, additional research is needed to conclude if this is a technique jurisdictions should be incorporating to increase fidelity to and proficiency with core correctional practices.

Primarily, future research on this topic should address the limitations in the previous section, with the most importance being placed on research design. A randomized controlled trial (RCT) design is the unanimous gold standard for assessing and assigning causality and would provide the most control over variables that could impact use of core correctional practices, including the use of live coaching (Handley et al., 2018). As discussed during the results section for research question 1, variables included in the regression analysis accounted for a total of 10.3% of the variability in overall mean CCP score, showing clearly that there are additional variables that should be included and/or controlled for that help to explain officer variability in core correctional practice proficiency scores.

However, RCT's are often difficult to accomplish in real-world settings like community supervision agencies (Handley et al., 2018). Therefore, an alternative research design that may be more feasible in a community supervision setting would be a quasi-experimental design (QED). Using this type of design would still allow for additional control over variables included in the analysis but could incorporate the use of matched comparison groups instead of random assignment to groups. If used in a community supervision setting to determine if live coaching

increases officer proficiency with core correctional practices, this would include a treatment group (officers receiving live coaching *only*) and a control group (officers receiving audio coaching *only*) that have been matched on as many factors as possible to increase the likelihood the groups of officers did not differ on factors outside of receiving live or audio coaching. Future research efforts in this area should attempt to match officers on as many demographics as possible to account for potential differences between groups. These factors could include those from the current study such as race, sex, and years of experience, but additional factors should be considered in future studies such as. Additional considerations could include prior training on core correctional practices, background in cognitive-behavioral treatment, type of education/degree, etc.

Both of these suggested research designs would allow for another improvement on the current study and would include the collection of primary data. Primary data collected for this research topic would also allow for more control over how variables are measured, what data is collected, and would allow for the specific examination of each core correctional practice individually and over time in a way this study was unable to because of the use of secondary data not collected for this specific purpose. More specifically, greater control of measures through either a RCT or QED would allow for the elimination of the selection bias limitation outlined in the previous section. This could be done in a number of ways including asking officers to submit (audio or live) contact sessions for all moderate- and -high risk offenders on their caseload, then randomly selecting which to code and/or use for the study. This could also be done by randomly selecting moderate- and high-risk offenders on officer caseloads and asking them to submit using these randomly chosen offenders. Both methods would work towards eliminating officer selection of which audio or live sessions are used for study.

A second recommendation would be to continue studying coaching on core correctional practices in general, but particularly what coaching on these practices looks like over time. This recommendation would include the possibility of a third type of research design that could continue to be used to study the use of core correctional practices over time: a longitudinal research design. Using longitudinal data can help in determining whether an intervention effect is short-lived or sustained over time (Handley et al., 2018). To date, there are a limited number of studies on coaching related to core correctional practices and only one study (outside of the current study) to examine coaching longitudinally. If jurisdictions are expected to incorporate evidence-based practices, such as the use of core correctional practices within RNR models of community supervision, and also expected to sustain them over time, practitioners need more information on how to do this effectively. Researchers interested in studying the use of core correctional practices longitudinally could easily build on a RCT or QED by extending the amount of observations collected on live versus audio coaching over an extended amount of time. Prior research and the current study both suggest that core correctional practice proficiency, especially with certain skills, could take years. Therefore, it is recommended that a longitudinal study compare live versus audio coaching for a period of at least two years, but ideally extend to a time period up to 10 years, which would be 3 years longer than the current study.

A final recommendation related to research design includes building on the proof of concept stage and following with the second and third stages of the ideal research and development continuum for crime policy outlined by Harrell (2006). The second stage includes the evaluation of the feasibility and generalizability of the intervention and specifically examines if an intervention can be implemented effectively across different sites. Multnomah County DCJ represented a large urban jurisdiction, so incorporating other smaller and midsize jurisdictions in

rural or suburban settings would be necessary to determine if the results also apply in varying supervision situations. Also, because RNR models of community supervision are similar to one another, the use of live coaching could be applied after training in another model (such as STICS or STARR) to determine if the results apply to other models. This could assist in generalizing results on the use of live coaching across multiple models and populations.

The third stage Harrell (2006) outlined is the policy analysis phase, which includes studying the potential costs, benefits, and requirements for widespread adoption across, in this instance, community correctional agencies. For live coaching, this would include specifically studying the costs of implementing live coaching versus other forms of coaching (or no coaching), the benefits of live coaching versus other forms of coaching (or no coaching), and what the practical requirements would be for community corrections agencies that vary in size and resources.

Overall, the current study has offered initial support for the use of live coaching as a fidelity strategy that could help community supervision jurisdictions increase officer proficiency with core correctional practices. Additionally, even though further research is needed to better understand this practice, the findings of this study have contributed to the literature on coaching as it relates to core correctional practices within community supervision settings and has offered several practical implications for researchers and practitioners in the field.

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APPENDIX A: EPICS Rating Form Version 1

OVERALL STRUCTURE OF THE SESSION				
	Very Satisfactory	Satisfactory	Needs Improvement	Not Applicable
CHECK-IN				
Enhances collaborative relationship/rapport with the client	2	1	0	NA
Assesses for crisis/acute needs	2	1	0	NA
Assesses for compliance with conditions	2	1	0	NA
Overall Rating	2	1	0	NA
REVIEW				
Reviews short and long term goals of the client	2	1	0	NA
Enhances learning through repetition and feedback	2	1	0	NA
Asks about community agency referrals	2	1	0	NA
Reviews homework from previous session	2	1	0	NA
Overall Rating	2	1	0	NA
INTERVENTION				
Demonstrates the ABC Model.	2	1	0	NA
Uses cognitive-behavioral concepts to recognize & explore antisocial thoughts	2	1	0	NA
Teaches new prosocial attitudes/thoughts	2	1	0	NA
Uses cognitive-behavioral concepts to recognize & explore risky situations	2	1	0	NA
Teaches new prosocial skills to manage risky situations (Skill:)	2	1	0	NA
Overall Rating	2	1	0	NA
HOMEWORK				
Graduated Rehearsal	2	1	0	NA
Helps the client to generalize learning to new situations	2	1	0	NA
Assigns appropriate homework	2	1	0	NA
Overall Rating	2	1	0	NA

BEHAVIORAL PRACTICES				
	Very Satisfactory	Satisfactory	Needs Improvement	Not Applicable
EFFECTIVE REINFORCEMENT				
Reinforces prosocial behavior or comments	2	1	0	NA
Explores short and long term benefits of continuing prosocial behavior	2	1	0	NA
Overall Rating	2	1	0	NA
EFFECTIVE DISAPPROVAL				
Disapproves of antisocial behavior or comments	2	1	0	NA
Explores short and long term benefits of continuing antisocial behavior	2	1	0	NA
Overall Rating	2	1	0	NA
EFFECTIVE USE OF AUTHORITY				
Focuses on behavior	2	1	0	NA
Keeps a calm voice	2	1	0	NA
Specifies choices and attendant consequences	2	1	0	NA
Overall Rating	2	1	0	NA

GENERAL RATINGS			
	YES	NO	N/A
Targets criminogenic need			
Stays focused on primary criminogenic need			
Spends more time on criminogenic than noncriminogenic needs			
Makes appropriate referrals to outside agencies			
Integrates relapse prevention techniques			
The session was of adequate length			
Communicates with the client in a respectful manner			
Uses open-ended questions			
Uses reflective statements to summarize the client			
Communicates information to the client in a clear and concise manner			
Elicits and gives appropriate feedback			

APPENDIX B: EPICS Rating Form Scoring Guide Version 1

RATING	DEFINITION
Very Satisfactory (2)	Officer demonstrated proficient use of the skill (consistent use and used all steps/components of the skill)
Satisfactory (1)	Officer used the skill, but missed <i>some</i> steps (i.e. some major steps or components of the skill were missed)
Needs Improvement (0)	Officer had the opportunity to use the skill, but did not. Officer used the skill, but missed <i>most</i> steps (i.e. most major steps or components of the skill were missed)
Not Applicable (NA)	There was no opportunity to use the skill. An alternative appropriate skill or technique was used
Yes/No	Items here are scored as either the officer met the expectation or did not throughout the majority of the session. There is a N/A option if the item does not apply to the session.
<i>*Rate each item based only on what is heard during the audiotape. Do not consider additional knowledge about the case.</i>	

ITEM	EXAMPLE INDICATORS
<i>CHECK-IN</i>	(each item below is not required; these are only examples)
Enhances collaborative relationship/rapport with client	<ul style="list-style-type: none"> • Does the officer provide feedback intended to build a relationship? • Does the officer ask about key areas of the client's life? • Does the officer interact in a respectful manner with the client? • Does the officer appear genuine in interactions with the client? • Does the officer listen to the client? • Does the officer give feedback in a useful and respectful manner?
Assesses for crisis/acute needs	<ul style="list-style-type: none"> • Does the officer ask the client how s/he is doing at the beginning of the session? • Does the officer inquire as to whether there have been any significant changes in the client's life since the last session? • Does the officer ask the client if there is anything bothering him/her? Anything on his/her mind that s/he would like to share? • Does the officer listen to the crisis?

	<ul style="list-style-type: none"> • Does the officer respond appropriately to the crisis?
Assesses for compliance with conditions	<ul style="list-style-type: none"> • Does the officer inquire about the client's compliance with major conditions of probation/parole? • Does the officer note any areas of concern that need to be addressed later in the session?
<i>If the officer identifies a crisis/acute need during the session; the remaining components may be N/A.</i>	
REVIEW	
Reviews short and long term goals of the client	<ul style="list-style-type: none"> • Does the officer work with the client to identify short and long term goals? • If establishing goals, does the officer work with the client to identify why the goals are important/What the pay-off is for the client? • If goals have already been established, does the officer check the client's progress in meeting the goals? • Does the officer offer feedback to the client about the progress (or lack of progress)? • Does the officer work with the client to identify any potential/actual barriers that may prevent the client from meeting the goals?
Enhances learning through repetition and feedback	<ul style="list-style-type: none"> • Does the officer review skills taught in previous lesson(s) with the client? • Does the officer provide additional practice opportunities of newly taught skills for the client (when needed)? • Does the officer reiterate and practice skills client learned in another session (if applicable)?
Asks about community agency referrals	<ul style="list-style-type: none"> • Does the officer inquire about progress if client is participating in a community based program? • Does the officer assess for any barriers that may prevent the client from participating in the referral program? • Does the officer inquire about what the client is learning in the community based program?
Reviews homework from previous session	<ul style="list-style-type: none"> • Does the officer ask the client for the homework that was assigned during the previous session? • Does the officer ask the client to report out on the homework assignment? • Does the officer practice the skill assigned for homework if the client identified areas of weakness with the skill?

	<ul style="list-style-type: none"> • Does the officer provide feedback regarding the homework? • Will be rated N/A if the client did not complete homework or no homework was assigned during the previous session.
<i>INTERVENTION</i>	
Demonstrates the ABC Model	<ul style="list-style-type: none"> • Does the officer work with the client to identify the client's: <ul style="list-style-type: none"> ○ Antecedents/Situations/Triggers ○ Beliefs/Thoughts ○ Consequences • Does the officer discuss with the client how thoughts are linked to situations based on core beliefs and values? • Does the officer help the client identify the connection between thoughts and feelings and thoughts and behavior?
Uses cognitive-behavioral concepts to recognize and explore antisocial thoughts	<ul style="list-style-type: none"> • Does the officer use the thinking report form to help the client identify and recognize antisocial thoughts? • Does the officer focus on thoughts that drive the behavior? • Does the officer help the client link the situation to the client's core belief system?
Teaches new prosocial attitudes/thoughts	<ul style="list-style-type: none"> • Does the officer work with the client to stop the antisocial thoughts? • Does the officer help the client identify new attitudes to replace negative attitudes? • Does the officer teach the client how to identify specific replacement thoughts for negative thoughts?
Uses cognitive-behavioral concepts to recognize and explore risk situations	<ul style="list-style-type: none"> • Does the officer help the client to recognize situations that are likely to lead to trouble for the client? • Does the officer use a cost benefit analysis to help the client see the pros and cons of the negative behavior? • Does the officer focus on an alternative situation/behavior that may lead to a more pro-social choice? • Does the officer explore the pros and cons of this alternative situation/behavior?
Teaches new prosocial skills to manage risk situations (Insert skill taught: _____)	<ul style="list-style-type: none"> • Does the officer discuss with the client a new way to handle a situation? • Does the officer walk through the steps of a new way to handle the situation with the client ?

	<ul style="list-style-type: none"> • Does the officer pretend to be the client to show him/her how to handle the situation more effectively? • Does the officer give the client a chance to practice the new skill before leaving the session? • Does the officer provide feedback to the client about the new skill being used?
<i>HOMWORK</i>	
Graduated Rehearsal	<ul style="list-style-type: none"> • Once the client has tried the skill does the officer do any of the following: <ul style="list-style-type: none"> ○ Have the client practice it again, but in a more difficult situation? ○ Tell the client to practice the skill at home? ○ Give the client a specific task to complete regarding the new skill?
Helps the client to generalize learning to new situations	<ul style="list-style-type: none"> • Does the officer do any of the following to get the client to generalize this skill to other situations: <ul style="list-style-type: none"> ○ Discuss with the client how the skill can be used in other situations? ○ Point out situations in the client's past that this skill could have been helpful? ○ Ask the client if there are situations which this skill could be helpful?
Assigns appropriate homework	<ul style="list-style-type: none"> • Does the homework assignment cover any of the following: <ul style="list-style-type: none"> ○ Target a specific need that is connected to criminal behavior (i.e., peers, beliefs, substance abuse, employment, education, family, aggression). ○ The thought behavior link? ○ Weighing the pro/cons of a risky situation ○ Practicing a skill? ○ Teaching others the skill?
<i>EFFECTIVE REINFORCEMENT</i>	
Reinforces prosocial behavior or comments	<ul style="list-style-type: none"> • Does the officer do any of the following during the session: <ul style="list-style-type: none"> ○ Acknowledge when the client did something that was expected? ○ Acknowledge when the client did something well? ○ Made a positive comment about the client's progress and/or behavior?

	<ul style="list-style-type: none"> ○ Offer an additional reinforcement for behavior like a bus token, gift card, or any other tangible item? ● When the officer acknowledged positive behavior did the officer: <ul style="list-style-type: none"> ○ Immediately tell the client that s/he liked what the client did or said. ○ Tell the client why s/he liked the behavior (being specific) ○ Give more emphasis to the behavior being reinforced than the general support normally offered to the client.
Explores short and long term benefits of continuing prosocial behavior	<ul style="list-style-type: none"> ● Does the officer help the client tie future benefits to continuing the appropriate behavior? ● Does the officer reinforce the client when these benefits are identified? ● Does the officer provide an opportunity for the client to list the benefits and consequences of this new behavior?
EFFECTIVE DISAPPROVAL	
Disapproves of antisocial behavior or comments	<ul style="list-style-type: none"> ● Does the client make any comments that are supportive of criminal behavior? ● Does the client make any comments that are negative towards the system? ● If any of the above occurred, consider how was this handled by the officer: <ul style="list-style-type: none"> ○ Did the officer say anything to the client? ○ Did the officer tell the client that the comment/behavior was unacceptable? ○ Did the officer ignore the comment/behavior? ○ Did the officer agree with the comment behavior? ● If the officer addressed the comment/behavior did s/he follow these steps? <ul style="list-style-type: none"> ○ Immediately tell the client that you did not like the type of behavior or speech just exhibited by the client. ○ Explain why you did not like what the client said or did (provide specific reasons). ○ Discuss and identify pro-social alternatives that could be used in place of the unacceptable behavior.

Explores short and long term consequences of continuing antisocial behavior	Does the officer help the client tie future consequences to the inappropriate behavior?
<i>EFFECTIVE USE OF AUTHORITY</i>	
Focuses on behavior	<ul style="list-style-type: none"> • Does the client report breaking the rules of supervision? • Does the client report breaking the law? • If the officer needs to address inappropriate behavior or provide a sanction, does the officer : <ul style="list-style-type: none"> ○ Focus on the behavior and not the client? ○ Refrain from making negative comments about the client?
Keeps a calm voice	<ul style="list-style-type: none"> • Does the officer keep a calm voice while providing feedback to the client regarding the inappropriate behavior? • Does the officer keep a calm voice while specifying choices and consequences that will be given based on the current behavior?
Specifies choices and attendant consequences	<ul style="list-style-type: none"> • Does the officer specify the choices the client has? • Does the officer help the client identify the options for future behavior? • Does the officer specify the consequences for each of the choices previously identified?
<i>GENERAL RATINGS</i>	
Targets criminogenic need	<ul style="list-style-type: none"> • Does the officer target any of the following: <ul style="list-style-type: none"> ○ Antisocial attitudes, values, beliefs ○ Antisocial peers ○ Personality traits including aggression, risk taking, egocentric views, impulsivity, lack of remorse ○ Substance abuse ○ Education ○ Employment ○ Family (including current relationships) ○ Leisure activities
Stays focused on primary criminogenic need	<ul style="list-style-type: none"> • Does the officer focus on a criminogenic need(s) throughout the session? • If the client tries to change the subject or get off track does the officer bring the conversation back to address the criminogenic need of the client?
Spends more time on criminogenic than noncriminogenic need(s)	<ul style="list-style-type: none"> • Does the officer spend more time throughout the session targeting criminogenic needs than other needs?

<p>Makes appropriate referrals to outside agencies</p>	<ul style="list-style-type: none"> • If appropriate for the client, does the officer make referrals to community based providers? • Is the referral being made to address one of the criminogenic needs? <ul style="list-style-type: none"> ○ If not, is the referral intended to remove a barrier so the client can be successful (such as mental health issues, housing, transportation).
<p>Integrates relapse prevention techniques</p>	<ul style="list-style-type: none"> • If the client discusses situations that are high risk or high risk situations present themselves (e.g. hanging out with co-defendant, being around drugs etc) does the officer discuss ways the client can manage those situations? • Does the officer practice these techniques with the client?
<p>The session was of adequate length</p>	<ul style="list-style-type: none"> • Did the session cover the following (must have covered at least the first one): <ul style="list-style-type: none"> ○ At least 1 criminogenic need of the client ○ Settle any crises that arose for the client • Was the session long enough to either help the client to address the crisis or help the client to better manage the criminogenic need being targeted?
<p>Communicates with the client in a respectful manner</p>	<ul style="list-style-type: none"> • When the officer speaks to the client does s/he use any of the following: <ul style="list-style-type: none"> ○ Respectful tone of voice ○ Language that is respectful and not derogatory ○ Comments that support change • When the officer speaks to the client are any of the following negative interactions present? <ul style="list-style-type: none"> ○ Pattern of sarcasm ○ Pattern of hopelessness or inability of the client to change ○ Disrespectful comments/terms ○ Inappropriate remarks
<p>Uses open-ended questions</p>	<ul style="list-style-type: none"> • Does the officer use more open-ended questions than closed ended questions? • Does the officer ask questions that require more than one word or a head nod as an answer?
<p>Used reflective statements to summarize the client</p>	<ul style="list-style-type: none"> • Does the officer paraphrase or summarize what the client has said?

	<ul style="list-style-type: none"> • Does the officer summarize the content of the contact session?
Communicates information to the client in a clear and concise manner	<ul style="list-style-type: none"> • Is the officer clear with instructions, expectations, etc? • Does the officer explain items the client seems confused or uncertain about?
Elicits and gives appropriate feedback	<ul style="list-style-type: none"> • Does the officer ask questions of the client so the client can provide feedback about his/her thoughts, behavior, and consequences? • Does the dofficer provide feedback regarding thoughts, behavior, and consequences?

APPENDIX C: EPICS Rating Form Version 2



EPICS FEEDBACK FORM

Instructions: Please complete the form below for each EPICS session. Refer to the coding manual as you proceed and note specific strengths and areas for improvement. **When using the N/A response do not add that question into the calculations of the total scores for that section.**

METADATA			
Session date:		Staff's name:	
Review date:		Reviewer's name:	
Caseload number:		Client's name:	
Session length (mins):		Client SID#:	
Was the client homeless at the time of the session?			<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Was this a LIVE COACHING SESSION?			<input type="checkbox"/> Yes <input type="checkbox"/> No

RATINGS QUICK SUMMARY			
Coders, return to this summary table <u>after</u> completing the remainder of the form. Enter section scores into the appropriate boxes below.			
Section	Score	Summaries	Score
CHECK IN (C)		OVERALL SESSION SCORE = (Sum of all section scores)/6 *Overall score ranges from 0 to 4 *	
REVIEW (R)			
INTERVENTION (I)		Number of EPICS components with score \geq2.0 (C, R, I, H only) *This is only including Check in, Review, Intervention, and Homework*	
HOMEWORK (H)			
BEHAVIORAL PRACTICES		% of EPICS components with score \geq2.0 (C, R, I, H only) *This is only including Check in, Review, Intervention, and Homework*	
GLOBAL PRACTICES			
In bullet points list the top staff strengths based on the session:			
In bullet points list the most critical areas for staff improvement based on the session:			
Your next tape is due			
Please enter additional comments in the space below			

DEMONSTRATED SKILLS FOR QUARTERLIES <input type="checkbox"/> On
Quarterlies

GOALS	
Last Goal(s):	Current Goal(s):

Developed by the Research and Planning Unit based in part on materials provided by the University of Cincinnati Corrections Institute
Revised 8/10/2015

CHECK IN/ENGAGE					
Total Time Spent:	Missed Opportunity (0)	(1)	(2)	(3)	Most Proficient (4)
C1) Promoted a collaborative relationship/rapport with client <input type="checkbox"/> Ask about key areas of the client's life <input type="checkbox"/> Set the tone by being genuine <input type="checkbox"/> Set the tone by being collaborative <input type="checkbox"/> Set the tone by showing concern and empathy <input type="checkbox"/> Set the tone by engaging client	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C2) Assessed crisis/acute needs <input type="checkbox"/> Ask the client how they are doing at the beginning of the session <input type="checkbox"/> Ask a question(s) to assess for crisis/acute needs, significant changes, or anything bothering them <input type="checkbox"/> If an active need/crisis was identified, listen and respond with concern	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C3) Assessed for compliance with conditions <input type="checkbox"/> Inquire about the client's compliance with major conditions of supervision <input type="checkbox"/> Note any areas of concern that need to be addressed later in the session <input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CALCULATE AND WRITE IN TOTAL CHECK IN SCORE = (C1+C2+C3)/3					
COMMENTS					

REVIEW/FOCUS						
Time Stamp:	Total Time Spent:	Missed Opportunity (0)	(1)	(2)	(3)	Most Proficient (4)
R1) Set or reviewed short and long term goals <input type="checkbox"/> Work with the client to identify short and long term goals <input type="checkbox"/> If establishing goals, work with the client to identify why the goals are important <input type="checkbox"/> If goals have already been established, check the progress in meeting the goals <input type="checkbox"/> Offer feedback to the client about the progress (or lack of progress) <input type="checkbox"/> Work with the client to identify any potential/actual barriers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R2) Discussed community agency referrals <input type="checkbox"/> N/A <input type="checkbox"/> Inquire about progress if client is participating in a community based program <input type="checkbox"/> Assess for any barriers that may prevent the client from participating in the referral program <input type="checkbox"/> Inquire about what the client is <u>learning</u> in the community based program	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R3) Enhanced learning through repetition and feedback <input type="checkbox"/> N/A Does the staff do <u>any</u> the following? <input type="checkbox"/> Review interventions taught in previous sessions <input type="checkbox"/> Clarify concepts related to previous interventions <input type="checkbox"/> Reinforce understanding and comprehension	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R4) Reviewed homework from the previous session <input type="checkbox"/> N/A <input type="checkbox"/> Ask the client to report out on the homework assignment <input type="checkbox"/> Clarify terms and concepts the client was unclear about in the homework <input type="checkbox"/> Provide feedback regarding the homework	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CALCULATE AND WRITE IN TOTAL REVIEW SCORE = (R1+R2+R3+R4)/(4 - #N/A)						
COMMENTS						

INTERVENTION/EVOKE									
Find and review the intervention used in the session and delete unused interventions. Once you have reviewed the intervention, return to this Intervention/Evoke summary and provide a final score.									
Time Stamp:	Total Time Spent:	Intervention Focus:							
		Time Stamp:							
Potential areas of focus:					Missed Opportunity (0)	(1)	(2)	(3)	Most Proficient (4)
i1) Used an appropriate intervention					<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i2) Completed the steps of the intervention					<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i3) Used the intervention effectively					<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CALCULATE AND WRITE IN TOTAL INTERVENTION SCORE = (i1+i2+i3)/3					3				
COMMENTS									
Behavior Chain/ABC Model									
<input type="checkbox"/> Introduced the intervention									
<input type="checkbox"/> Discussed the importance or usefulness of the intervention									
<input type="checkbox"/> Explained the different components of the intervention <input type="checkbox"/> Situation <input type="checkbox"/> Thoughts <input type="checkbox"/> Feelings <input type="checkbox"/> Behavior <input type="checkbox"/> Consequences									
<input type="checkbox"/> Emphasized how the components are linked together									
<input type="checkbox"/> Worked with the client to apply the tool to a specific situation and identified the clients: <input type="checkbox"/> Situation <input type="checkbox"/> Thoughts <input type="checkbox"/> Feelings <input type="checkbox"/> Behavior <input type="checkbox"/> Consequences									
Restructuring of the Behavior Chain									
<input type="checkbox"/> Introduced cognitive restructuring									
<input type="checkbox"/> Taught the client how to identify specific pro-social replacement thoughts for negative thoughts									
<input type="checkbox"/> Worked with the client to apply restructuring to the specific situation and identified the clients: <input type="checkbox"/> Situation <input type="checkbox"/> Thoughts <input type="checkbox"/> Feelings <input type="checkbox"/> Behavior <input type="checkbox"/> Consequences									
<input type="checkbox"/> Summarized the results									
Cognitive Restructuring (Tapes and Counters or Thinking Report)									
<input type="checkbox"/> Introduced the intervention									
<input type="checkbox"/> Discussed the importance or usefulness of the intervention									
<input type="checkbox"/> Explained the different components of the intervention									
<input type="checkbox"/> Helped the client recognize risky, anti-social thoughts									
<input type="checkbox"/> Helped the client replace risky, anti-social thoughts with pro-social thoughts									
<input type="checkbox"/> Modeled new pro-social thoughts									
<input type="checkbox"/> Had the client role play/ practice the new restructured thoughts									
<input type="checkbox"/> Gave the client feedback about the role play/practice									
Cost Benefit Analysis									
<input type="checkbox"/> Introduced the intervention									
<input type="checkbox"/> Discussed the importance or usefulness of the intervention									
<input type="checkbox"/> Explained the different components of the intervention <input type="checkbox"/> (+) Consequences <input type="checkbox"/> (-) Consequences <input type="checkbox"/> Short term <input type="checkbox"/> Long term									
<input type="checkbox"/> Helped the client identify specific risky behavior									

- Helped the client brainstorm pros and cons of chosen risky behavior
- Helped the client identify pro- social alternative behavior
- Helped the client brainstorm pros and cons of the alternative behavior
- Helped the client summarize the results of the CBA

Skill Building or Problem Solving

List:

- Introduced the skill
- Discussed the importance or usefulness of the skill
- Explained the different steps of the skill
- Elicited client input on the skill steps
- Applied the skill to a specific situation of the client
- Modeled the skill
- Had the client role play/practice the skill with the specific situation
- Provided feedback to the client about the role play/skill practice

Carey Guide/Carey BIT

List Carey Guide/BIT intervention:

- Introduced the intervention
- Discussed the importance or usefulness of the intervention
- Walked through the steps/questions of the intervention (*Model*)
- Provided an opportunity for the client to walk through some of the questions before assigning it as homework (*Role Play*)
- Provided feedback to the client about the new skill being used
- Provided instructions in a clear manner

Other Intervention (Decisional Balance, T4C interventions, MIO/EPICS interventions, etc.)

List other intervention:

- Introduced the intervention
- Discussed the importance or usefulness of the intervention
- Explained the different components/steps
- Applied the different components/steps to a specific situation
- Modeled the intervention for the client
- Had the client practice use of the intervention
- Provided feedback to the client on use of the intervention (reinforcement or constructive feedback)

Graduated Rehearsal

List intervention:

- Practiced a previously taught intervention again but in a different situation

HOMEWORK/PLAN

Time Stamp:	Total Time Spent:				
Homework Assigned:	Missed Opportunity (0)	(1)	(2)	(3)	Most Proficient (4)
H1) Generalized the skill learned Does staff do <u>any</u> of the following?					
<input type="checkbox"/> Ask the client what other situations the intervention could be helpful	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Ask the client how the skill can be used in other situations					
<input type="checkbox"/> Ask the client situations in the past that this skill could have been helpful					

H2) Assigned appropriate homework						
<input type="checkbox"/> Assign homework targeting a specific criminogenic need		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Assign homework connected to the intervention taught						
<input type="checkbox"/> Give the client clear expectations how to complete the homework and when it is due						
<input type="checkbox"/> Identify or assign a specific situation						
CALCULATE AND WRITE IN TOTAL HOMEWORK SCORE = (H1+H2)/2						
COMMENTS						
.						

BEHAVIORAL PRACTICES SUMMARY					
Please find and review specific behavioral practices (ER, ED, EUA) from the next table. Using the manual for reference be sure to note strengths and weaknesses for each behavioral practice in the comments box. When you have reviewed each type of behavioral practice, return to this summary table and determine an overall behavioral practices score.					
Time Stamp:	Target:				
		Missed Opportunity (0)	(1)	(2)	(3)
					Most Proficient (4)
B1) Used appropriate behavioral practices		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B2) Completed the components of the behavioral practice		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B3) Used behavioral practices effectively		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CALCULATE AND WRITE IN TOTAL BEHAVIORAL PRACTICES SCORE = (B1+B2+B3)/3		0			
Effective Reinforcement <input type="checkbox"/> Missed opportunity					
<input type="checkbox"/> Reinforced the pro-social behavior or comment					
<input type="checkbox"/> Explained why they reinforced what was said or did (providing specific reasons)					
<input type="checkbox"/> Explored the short term and long term benefits of continuing pro-social behavior					
Potential opportunities for reinforcement:					
COMMENTS					
.					
Effective Disapproval <input type="checkbox"/> Missed opportunity					
<input type="checkbox"/> Disapproved of anti-social behavior or comment					
<input type="checkbox"/> Explained why they disapproved of what was said or did (providing specific reasons)					
<input type="checkbox"/> Explored the short term and long term consequences of continuing anti-social behavior					
<input type="checkbox"/> Discussed and identified prosocial alternatives that could be used in place of the unacceptable behavior					
Potential opportunities for disapproval:					
COMMENTS					
.					
Effective Use of Authority <input type="checkbox"/> Missed opportunity					
<input type="checkbox"/> Identified expected behavior					

<input type="checkbox"/> Indicated negative consequence(s) that will occur for not engaging in the expected behavior
<input type="checkbox"/> Indicated positive consequences if the choice is made to engage in expected behavior
<input type="checkbox"/> Encouraged and guided individual towards expected behavior
<input type="checkbox"/> Praised compliance if they choose expected behavior and, if not, reminded of consequence and imposed it <input type="checkbox"/> N/A
Potential opportunities for use of authority:
COMMENTS

GLOBAL PRACTICES					
Please identify criminogenic needs that were targeted during the EPICS session (select any that apply)					
<input type="checkbox"/> Pro-criminal attitude/orientation	<input type="checkbox"/> Family/Marital	<input type="checkbox"/> Leisure/Recreation			
<input type="checkbox"/> Companions	<input type="checkbox"/> Alcohol/Drug Problem	<input type="checkbox"/> Criminal History			
<input type="checkbox"/> Anti-social pattern	<input type="checkbox"/> Education/Employment	<input type="checkbox"/> Other			
	Missed Opportunity (0)	(1)	(2)	(3)	Most Proficient (4)
G1) Targeted criminogenic needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G2) Focused on primary criminogenic need	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G3) Spent more time on criminogenic needs than other needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G4) Made appropriate referrals to outside agencies <input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G5) Integrated relapse prevention techniques for offending behavior <input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G6) Completed session of adequate length	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G7) Communicated with client in a respectful manner	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G8) Communicated information to the client in a clear and concise manner	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G9) Elicited and gave appropriate feedback	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G10) Utilized role clarification <input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CALCULATE AND WRITE IN TOTAL INTERVENTION SCORE = (G1+G2+G3+G4+G5+G6+G7+G8+G9+G10)/(10 - #N/A)	4				
Please enter additional comments in the space below					

APPENDIX D: EPICS Rating Form Scoring Guide Version 2



Department of Community Justice

EPICS Feedback Form Coding Manual v3.0

INTRODUCTION

Use this manual as a guide for coding EPICS sessions. After introducing some general considerations about scoring the EPICS sessions, this manual is organized sequentially and corresponds to sections on the EPICS Feedback Form.

Ratings Scales: Beginning with the section *Check In*, all sections of the coding form include a set of statements rated on scales ranging from 1 (*least proficient*) to 4 (*most proficient*). The score of 0 (missed opportunity) will be given when staff had the opportunity to complete a component of the model and failed to do so. This manual includes checklists of indicators you might consider to complete each rating. Use the checklists to inform your ratings of items on each section of the coding form and to formulate comments about strengths and areas for improvement in each section.

Missed Opportunity (0)	Least Proficient (1)	(2)	(3)	Most Proficient (4)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Missed opportunity (0) will be scored when an opportunity to complete a component of the model is available but is not completed.

Least Proficient (1) will be scored when a **minimum** of the components of a skill or step of the model are completed.

(2) will be scored when **some** of the components of a skill or step of the model are completed.

(3) will be scored when **most** of the components of a skill or step of the model are completed.

Most Proficient (4) will be scored when **all** of the components of a skill or step of the model are completed.

Scoring: Session scores are calculated from the mean (i.e., averaged) rating in each section beginning with *Check In*. Specifically, all rated responses in a given section are summed, and then divided by the number of responses in that section. Mean scores should be rounded to no higher than the first decimal place. Final section scores should be consistent with the ratings scales in that they can range from 1.0 (*least proficient*) to 4.0 (*most proficient*). Missed Opportunities will also be coded as a 0. An overall EPICS session score is ultimately calculated as “the mean of means,” or the average score across all 6 sections of the response form beginning with *Check In*, and followed by *Review*, *Intervention*, *Homework*, *Behavioral Practices*, and *Global Practices*.

Comments: In addition to numerical scores, written comments about staffs strengths and weaknesses in each section and overall are critical for coaching purposes, as well as for evaluation, and provide clear targets for issues that staff must address.

Comments boxes are structured in that strength areas are listed first, needs improvement areas are listed second, and suggestions for how to improve are listed third.

- *Do not note the importance of a component if staff attempts/engages in the component. Only do this if the staff does not attempt/engage in the component (i.e. if staff does not have a goals discussion; if staff does an intervention, there is no need to note that it is important for staff to do an intervention every session, as staff did engage in the intervention, so knows it is important).*

How to phrase strength sentences:

- *You effectively....*
- *You appropriately....*
- *It was great that*
- *You did a great/excellent/good job....*
- *You did _____ very skillfully/proficiently by (provide specific example)....*
- *You demonstrated an excellent grasp of _____ by (provide specific example)....*
- *You did very well using...*
- *A thorough _____ was conducted*

How to phrase needs improvement and suggestion areas:

- *It is beneficial for you to _____ because (provide specific reason)...*
- *It is important for you to _____ because (provide specific reason)....*
- *_____ could be strengthened by (suggestion)...*
- *You may find it useful to ...*
- *In the future/In future sessions, it is beneficial to _____ because (provide specific reason)....*
- *In the future, it is important to _____ because (provide specific reason)...*
- *You missed the opportunity to...*
- *For the _____ section/component, it is important to _____ because (provide specific reason)....*

Phrases to Avoid:

- *Staff fail to...*
- *Staff should have....*
- *Staff totally/entirely/completely skipped ... (any adverbs that add undue emphasis should not be used)*
- *Staff needs to....*
- *Staff did not do this at all*
-

Transition words:

- *Additionally/In addition...*
- *Also...*
- *Moreover...*
- *Furthermore/Further...*
- *Or none at all as long as it flows*
- *Try to refrain from starting the sentence with the same exact word (or string of words).*

Time Stamps: Each section corresponding to the four main EPICS components (i.e., Check In, Review, Intervention, and Homework) includes space to record the approximate time in which staff began that component of the session and the total time spent in the component. Please be diligent about recording these time stamps as they are used to estimate the average amount of

time spent in each session, and are further critical for finding audio sections that coaches and staff might wish to review together.

Additional Information: Many sections require additional information beyond scoring and comments including, for example, behavior change plans identified in OMS or DOC, focus and type of interventions employed, and homework assigned. Please be diligent about completing all items on the scoring form as everything is eventually used either for coaching or evaluation.

N/A

If you N/A a component you will need to eliminate that component from the scoring of that section. For example, in the review section if you N/A R4 (homework review) the total scoring/average would eliminate R4 from the equation and it would be $(R1+R2+R3)/3$ for the overall total. Essentially, by using N/A we are eliminating that component from being scored and not counting it against staff

METADATA

Items in this section record information about the session, reviewer, staff (e.g., PPOs), and client. Information requested in this table should be self-explanatory. Refer to OMS and/or DOC for information about staff and clients.

METADATA			
Session date:		Staff's name:	
Review date:		Reviewer's name:	
Caseload number:		Client's name:	
Session length (mins):		Client SID#:	
Was the client homeless at the time of the session?		<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> N/A
Was this a LIVE COACHING SESSION?		<input type="checkbox"/> Yes	<input type="checkbox"/> No

RATINGS QUICK SUMMARY

This section of the form appears on the first page because it is meant to be a quick and focused review of each session for staff-self-monitoring and coaching purposes. It includes a round-up of all the section scores on the form, a final score and completion percentage, the most critical strengths, weaknesses, the due date of their next submission, and additional comments. As specified earlier, calculate the overall EPICS session score as the mean of all section means. The EPICS completion percentage assumes: a) that a complete EPICS session successfully covers all four EPICS components (i.e., Check In, Review, Intervention, and Homework); and b) that any component is considered complete if the section score was above 2.0 (i.e., the midpoint of the

scale). The ratings quick summary is completed after the rest of the rating form is scored and completed.

Please see the “Scoring” section for clarification on the scoring process.

RATINGS QUICK SUMMARY			
Coders, return to this summary table <u>after</u> completing the remainder of the form. Enter section scores into the appropriate boxes below.			
Section	Score	Summaries	Score
CHECK IN (C)		OVERALL SESSION SCORE = (Sum of all section scores)/6 *Overall score ranges from 0 to 4*	
REVIEW (R)			
INTERVENTION (I)		Number of EPICS components with score ≥ 2.0 (C, R, I, H only) *This is only including Check in, Review, Intervention, and Homework*	
HOMEWORK (H)			
BEHAVIORAL PRACTICES		% of EPICS components with score ≥ 2.0 (C, R, I, H only) *This is only including Check in, Review, Intervention, and Homework*	
GLOBAL PRACTICES			
In bullet points list the top staff strengths based on the session:			
In bullet points list the most critical areas for staff improvement based on the session:			
Your next tape is due _____			
Please enter additional comments in the space below			

CASE MANAGEMENT/OMS PRACTICES

Congruency in case management and documentation are assessed in this section and this information is pulled from both DOC and OMS. We want to know if officers are using risk assessment results to build their case plans and whether they are utilizing intervention consistent with the identified criminogenic need. We are assessing if officers are “building a road map” of interventions and whether they are completing the required work in OMS. By policy officers have 60 days from case assignment to complete the risk assessment, checklist and case plan. If a tape submitted is a new case within the first 60 days N/A those components.

CASE MANAGEMENT PRACTICES/OMS				
Please select criminogenic needs identified in assessment and targeted in behavior change plans	Needs Identified in Assessment		Needs Targeted in Behavior Change Plans	
	First Plan	Second Plan	First Plan	Second Plan
Procriminal attitude/orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Companions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Antisocial pattern	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Education/Employment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Family/Marital	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Alcohol/Drug problem	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leisure/Recreation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Criminal History	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other criminogenic need	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No	N/A
Risk assessment is current	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LS/CMI checklist is current	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BCP's are entered into OMS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Road Map of interventions in the BCP's	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Intervention and homework from the session entered in BCP's	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Intervention used targets the criminogenic needs of the client	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Action Plan completed in OMS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Action Plan focused on behavior change	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Homework assigned is entered into the action plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EPICS chrono completed <input type="checkbox"/> EPICS Keyword used in chrono	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Please enter additional comments in the space below				

DEMONSTRATED SKILLS FOR QUARTERLIES AND GOAL

There is a text box titled “Demonstrated Skills for Quarterlies” where we will copy and paste the staff’s quarterly submission box from the “Skills for Quarterlies/Submissions” Google spreadsheet. If staff are already on quarterlies check the on quarterlies box. There is no need to copy and paste the staff’s quarterly submission box.

DEMONSTRATED SKILLS FOR QUARTERLIES		<input type="checkbox"/> On Quarterlies
Behavior Chain with Restructuring		
Cost Benefit Analysis with Pro-Social Alternative		
Problem Solving		

Skill Card	
BP: Effective Reinforcement	
BP: Effective Disapproval	
BP: Effective Use of Authority	

The goal box provides a space for the previous goal and identified goal.

GOALS	
Last Goal(s):	Current Goal(s):

SCORING SECTIONS

Please note that coding rules and coding guidelines are in blue text and are italicized.

CHECK IN

The Check In component provides an opportunity for staff to determine if the client has any immediate crisis or acute needs, and to discuss ongoing compliance issues. It provides a starting point to build or reinforce rapport with the client, and helps to identify areas that might be incorporated into subsequent discussions about behavior change and/or intervention.

CHECK IN/ENGAGE					
Total Time Spent:	Missed Opportunity (0)	(1)	(2)	(3)	Most Proficient (4)
C1) Promoted a collaborative relationship/rapport with client	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C2) Assessed crisis/acute needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C3) Assessed for compliance with conditions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CALCULATE AND WRITE IN TOTAL CHECK IN SCORE = $(C1+C2+C3)/3$	_____				
COMMENTS					

**Please note there are three components to score and you will need to add the score from each component together and divide the total score by three. $(C1+C2+C3)/3$ **

C1) Promoted a collaborative relationship/rapport with the client

Did staff do the following?

- Ask about key areas of the client's life
- Set the tone by being genuine
- Set the tone by being collaborative
- Set the tone by showing concern and empathy
- Set the tone by engaging client

Never N/A this component of the check-in section

C2) Assessed for crisis/acute needs

Did staff do the following?

- Ask the client how they are doing at the beginning of the session
- Ask a question(s) to assess for crisis/acute needs, significant changes, or anything bothering them
- If an active need/crisis was identified, listen and respond with concern N/A

Never N/A this component of the check-in section

If the officer identifies a crisis/acute need during the session; the remaining components may be N/A

C3) Assessed for compliance with conditions

Did staff do the following?

- Inquire about the client's compliance with major conditions/expectations of supervision
- Note any areas of concern that need to be addressed later in the session N/A

Never N/A the first two components of the check-in section. Each time staff has a contact session with an offender, you want the staff to build a relationship or continue to build a relationship and assess for crises or acute needs.

If there IS a crisis the staff has to address, they can address the crisis (which may or may not include the EPICS model) and they may not have the opportunity to get to compliance issues, which can be N/A'd in this circumstance.

If there IS NOT a crisis, assessed for compliance issues should be scored for the session.

The point of check-in is to gauge how the client is doing with regard to specific client need areas, in general (life changes, anything bothering the client), and ask as well as reiterate several conditions/expectations of supervision. This should be a collaborative conversation in which staff asks open-ended questions and uses a respectful and genuine tone in order to elicit information about how things are going in the client's life. This part of the session is the foundation for the rest of the session.

- Several open-ended questions should be asked in order to assess for crises/acute needs
- Several (at least 2-3, generally) expectations of supervision should be discussed

REVIEW

The Review EPICS component helps to narrow a focus for the session. It also targets the application of skills staff discussed with clients in previous meetings and troubleshoots continued problems using them. The more often the client practices and is successful with the skill, the more likely it is that they will continue that behavior.

REVIEW/FOCUS						
Time Stamp:	Total Time Spent:	Missed Opportunity (0)	(1)	(2)	(3)	Most Proficient (4)
R1) Set or reviewed short and long term goals		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R2) Discussed community agency referrals <input type="checkbox"/> N/A		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R3) Enhanced learning through repetition and feedback <input type="checkbox"/> N/A		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R4) Reviewed homework from the previous session <input type="checkbox"/> N/A		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CALCULATE AND WRITE IN TOTAL REVIEW SCORE = (R1+R2+R3+R4)/(4 - #N/A)		_____				
COMMENTS						

**Please note there are four components to score and three of them can potentially be N/A'd. You will need to add together ONLY the applicable components and divide the total number by the number of applicable components. (R1+R2+R3+R4)/(4 - #N/A) **

R1) Set or reviewed short and long term goals of the client

Did staff do the following?

If setting goals:

- Work with the client to identify short and long term goals
- If establishing goals, work with the client to identify why the goals are important/What the pay-off is for the client

If reviewing goals already established:

- If goals have already been established, check the client's progress in meeting the goals
- Offer feedback to the client about the progress (or lack of progress)
- Work with the client to identify any potential/actual barriers that may prevent the client from meeting the goals

Setting and reviewing goals is only N/A'd in a time of crisis. Otherwise, this item is expected and scored every time.

- *Point of this component—client should leave session knowing what his/her short- and long-term goals are, what steps to take to successfully achieve these goals, and know the difference between short- and long-term goals.*

If the intervention involves goal setting score the section related to setting goals.

R2) Discussed community agency referrals

Did staff do the following?

- Inquire about progress if client is participating in a community based program
- Assess for any barriers that may prevent the client from participating in the referral program
- Inquire about what the client is learning in the community based program

If you get the indication that the offender is in treatment or counseling, the staff should ask about what they are learning and encourage their participation (discussed community agency referral); otherwise N/A this if there is no indication.

- *Staff needs to ask about how things are going with regard to community agency referral, have a discussion/ask about what client is learning and build on the skills taught. Point here is to reinforce/encourage client's participation and continuance in engaging in referral. It is also important to make connection between what they are learning and how it applies to other areas of their lives. There should also be inquiry as to any barriers to participation (i.e. travel, financial, daycare, whether they like the group/people and/or counselor, just for some examples.*

R3) Enhanced learning through repetition and feedback

Did staff do the following?

- Review interventions taught in previous sessions
- Clarify concepts related to previous interventions
- Reinforce understanding and comprehension

Does the officer take the opportunity to reinforce skills previously taught? This can be the skill assigned for homework, if no homework to review a previously taught skill or a skill previously taught in addition to the skill assigned as homework.

R4) Reviewed homework from the previous session

Did staff do the following?

- Ask the client to report out on the homework assignment
- Clarify terms and concepts the client was unclear about in the homework
- Provide feedback regarding the homework

This will be rated N/A if the client did not complete homework or no homework was assigned during the previous session.

If you hear an indication that the staff taught an intervention and assigned homework, score the last two items under review. If you hear no indication that the staff taught an intervention or assigned homework previously, mark these as N/A. You do not want to score this as applicable if the previous session was a crisis, a risk assessment, etc.

- *Reviewing previous intervention: staff must do more than briefly mention the intervention—here, staff needs to reinforce client’s understanding by either asking client to reiterate what the tool was and then providing feedback and summarization, or staff should summarize the tool and note it’s importance (i.e. the behavior chain helped us look at our risky thoughts and feelings that influence our behavior/action, thus, resulting in positive and negative consequences—our risky thoughts and feelings are what drive behavior, so by identifying these for change, we can change behavior).*
- *Reviewed previous homework assignment: staff must ask client to go through the homework assignment (report out on it) and provide some feedback, as well as clarification (if necessary)*
- *If staff assigned homework but client DID NOT bring it/do it, mark the first indicator and score it—we do not want to “ding” staff for something the client forgot to do.*

INTERVENTION

The intervention component of the EPICS session continues to focus on areas of need, targets problematic thinking, and teaches the client relevant skills to address problems. The intervention(s) should be focused mainly on primary criminogenic needs.

INTERVENTION/EVOKE						
Find and review the intervention used in the session and delete unused interventions. Once you have reviewed the intervention, return to this Intervention/Evoke summary and provide a final score.						
Time Stamp:	Total Time Spent:	Intervention Focus:				
		Time Stamp:				
Potential areas of focus:		Missed Opportunity (0)	(1)	(2)	(3)	Most Proficient (4)
i1) Used an appropriate intervention		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i2) completed the steps of the intervention		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i3) Used the intervention effectively		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CALCULATE AND WRITE IN TOTAL INTERVENTION SCORE = (i1+i2+i3)/3		_____				
COMMENTS						

** Please note there are three components to score and you will need to add the score from each component together and divide the total score by three. $(i1+i2+i3)/3$ **

INTERVENTION FOCUS: Identify the focus of the session and change target. This should be a specific behavior and not just a criminogenic need area. The focus should be something you could intervene on to increase or decrease. Some examples include: problem solving, identifying feelings, setting goals, drug use, getting into fights etc. Please identify the time when the focus was established in the “Time Stamp” box. Please provide potential areas of focus or more appropriate areas to focus in the “Potential areas of focus” box.

A checklist of conditions for each item on the scoring sheet appears below, but coders/coaches should also be familiar with the purpose and requirements of each type of intervention, as shown on subsequent pages.

The three criteria you will score for the intervention section are:

- 1) Used an appropriate intervention?
- 2) Completed the steps of the intervention?
- 3) Used the intervention effectively?

EPICS Intervention Considerations

Keep two things in mind when approaching the intervention portion of the EPICS model:

1. What is the most appropriate intervention to use during this contact session?

2. What is the best way to use the intervention to match comprehension level of the offender?

After you've chosen which intervention is most appropriate, use the below information to determine how to match the intervention to the clients comprehension level:

1. If the client has never been taught the skill before, didn't understand the skill from a previous session, has forgotten about the skill or how to use it, or it has been a long time since reviewing or using the skill:
 - a. **Teach** the intervention using all of the steps
 - i. **Teach, Apply, Summarize**
2. If the client has used the skill before, you have reviewed it several times, and they could likely answer questions about the skill if prompted:
 - a. **Review** the skill by eliciting the information instead of directly teaching
 - b. This should take less time before getting to applying the skill to the situation as they already have some level of understanding of the skill
 - i. **Review, Apply, Summarize**
3. If the client understand the skill or has mastered it:
 - a. **Apply** the skill to the offender situation and summarize
 - i. **Apply, Summarize**

Behavior Chain/ABC model

Did staff do the following?

- Introduce the intervention
- Discuss the importance or usefulness of the intervention
- Explain the different components of the intervention:
 - Situation
 - Thoughts
 - Feelings
 - Action
 - Consequences
- Emphasize how the components are linked together – how thoughts influence behavior, and how behavior is tied to consequences
- Work with the client to apply the tool to a specific situation and identify the clients:
 - Situation
 - Thoughts
 - Feelings
 - Action
 - Consequences

Restructuring of Behavior Chain

Did staff do the following?

- Introduce cognitive restructuring / tapes and counters

- Teach the client how to identify specific pro-social replacement thoughts for negative thoughts
- Work with the client to apply restructuring to the specific situation and identify the clients new:
 - Thoughts
 - Feelings
 - Action
 - Consequences
- Summarize the results

Cognitive Restructuring

Uses cognitive-behavioral concepts to recognize and explore antisocial thoughts and Teaches new pro-social attitudes/thoughts. This includes the **Tapes and Counters**, or the **Thinking Report** interventions.

Did staff do the following?

- Introduce the intervention
- Discuss the importance or usefulness of the intervention
- Explain the different components of the intervention
- Help the client recognize risky, anti-social thoughts
- Help the client replace risky, anti-social thoughts with pro-social thoughts
- Model** new pro-social thoughts
- Have the client **role play/ practice** the new restructured thoughts
- Give the client feedback about the role play/practice

Cost Benefit Analysis

Uses cognitive-behavioral concepts to recognize and explore risk situations

Did staff do the following?

- Introduce the intervention
- Discuss the importance or usefulness of the intervention
- Explain the different components of the intervention
 - (+) Consequences
 - (-) Consequences
 - Short term
 - Long term
- Help the client identify specific risky behavior
- Help the client brainstorm pros and cons of chosen risky behavior
- Help the client identify pro-social alternative behavior
- Help the client brainstorm pros and cons of the alternative behavior
- Help the client summarize the results of the CBA

Skill building or Problem Solving

Teaches new pro-social skills to manage risk situations

Did staff do the following?

- Introduce the skill
- Discuss the importance or usefulness of the skill
- Explain the different steps of the skill
- Elicit client input on the skill steps
- Apply the skill to a specific situation of the client
- Model** the skill steps (play the client and walk through the steps of the skill) with the specific situation
- Have the client **role play/** practice the skill with the specific situation
- Provide feedback to the client about the role play/skill practice

Carey Guides/Carey BITS

Did staff do the following?

- Introduce the intervention
- Discuss the importance or usefulness of the intervention
- Walk through the steps/questions of the intervention (**Model**)
- Provide an opportunity for the client to walk through some of the questions before assigning it as homework (**Role Play**)
- Provided feedback to the client on use of the intervention

Other Intervention

Did staff do the following?

- Introduce the intervention
- Discuss the importance or usefulness of the intervention
- Explain the different components/steps
- Apply the different components/steps to a specific situation
- Model** the intervention for the client
- Have the client **practice** use of the intervention
- Provide feedback to the client on use of the intervention

Graduated Rehearsal

Did staff do the following?

- Practice a recently learned intervention again but in a different or more difficult situation

Always score out the intervention that the staff attempts and N/A all other interventions as it is only expected/recommended that they use one intervention per session.

If the staff does not use an intervention, determine from the information in the session which intervention would have been most appropriate and score it as a Missed Opportunity.

- *Provide feedback as to how the identified intervention could be used within the session (briefly), noting the importance of utilizing an intervention in every session in order to provide client with tools to make effective behavioral changes.*

Graduated rehearsal should be scored if a staff member conducts an intervention and then conducts an additional practice of that intervention within the contact session.

HOMEWORK

Homework should be assigned to provide clients with a chance to practice skills learned during every EPICS session. Staff should be clear and specific with the homework assignment.

HOMEWORK/PLAN					
Time Stamp:	Total Time Spent:				
Homework Assigned:	Missed Opportunity (0)	(1)	(2)	(3)	Most Proficient (4)
H1) Generalized the skill learned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
H2) Assigned appropriate homework	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CALCULATE AND WRITE IN TOTAL HOMEWORK SCORE = (H1+H2)/2	_____				
COMMENTS					

**** Please note there are two components to score and you will need to add the score from each component together and divide the total score by two. (H1+H2)/2****

H1) **Generalized the skill learned**

Did staff do any of the following?

- Ask the client what other situations the intervention could be helpful with
- Ask the client how the skill can be used in other situations
- Ask the client situations in the past that this skill could have been helpful with

H2) Assigned appropriate homework

Did staff do the following?

- Assign homework targeting a specific criminogenic need connected to criminal behavior (i.e., peers, beliefs, pattern, substance abuse, employment, education, family, etc.)
- Assign homework connected to an intervention taught
- Give the client clear expectations about how to complete the homework and when it is due
- Encourage the client to use the skill on a risky situation outside of the session
- Identify or assign a specific situation

If the staff uses an intervention, both items are scored under homework.

There should be a separate discussion regarding other situations and/or past situations in which the client could use the tool/intervention—this should entail several different situations and ideally, elicited from the client.

BEHAVIORAL PRACTICES

Behavioral practices, including effective use of authority, effective reinforcement, and effective disapproval, are key to causing and maintaining changes in clients attitudes/behavior (esp. the extent that they internalize or adopt a desired change), but are also key to building supportive relationships.

BEHAVIORAL PRACTICES SUMMARY					
Please find and review specific behavioral practices (ER, ED, EUA) from the next table. Using the manual for reference be sure to note strengths and weaknesses for each behavioral practice in the comments box. When you have reviewed each type of behavioral practice, return to this summary table and determine an overall behavioral practices score.					
Time Stamp:	Target:				
		Missed Opportunit y (0)	(1)	(2)	(3) Most Proficient (4)
	B1) Used appropriate behavioral practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	B2) Completed the components of the behavioral practice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	B3) Used behavioral practices effectively	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CALCULATE AND WRITE IN TOTAL BEHAVIORAL PRACTICES SCORE = (B1+B2+B3)/3		_____			

** Please note there are three components to score and you will need to add the score from each component together and divide the total score by three. $(B1+B2+B3)/3$ **

The three criteria you will score for the behavioral practices section are:

- 1) Used appropriate behavioral practices
- 2) Completed the components of the behavioral practices
- 3) Used behavioral practices effectively

In each of the behavioral practices scoring sections there is a place to provide feedback on potential opportunities to use the practices.

Effective Reinforcement

*Note A. Reinforcers are best used during or immediately following a behavior. Continuous reinforcement is useful when first strengthening behavior, but reinforcement should become more intermittent in order to maintain behavior. Reinforcers should be consistent, but not expected. Reinforcers should be contingent on the client performing the desired behavior and the client needs to be aware that the reinforce is a consequence of performing that behavior.

*Note B. EPICS interventions focus on “positive reinforcement,” or adding some stimuli (e.g., praise) to promote a given behavior. Psychologically, reinforcement can also be “negative reinforcement” by removing some undesirable stimuli (e.g., a sanction or condition) following engagement in more appropriate behavior.

Effective Reinforcement	<input type="checkbox"/>
Missed opportunity	
<input type="checkbox"/> Reinforced the pro-social behavior or comment	
<input type="checkbox"/> Explained why they reinforced what was said or did (providing specific reasons)	
<input type="checkbox"/> Explored the short term and long term benefits of continuing pro-social behavior	
Potential opportunities for reinforcement:	
COMMENTS	

ER1) Reinforced pro-social behavior or comments

When the officer acknowledged pro-social behavior or comments, did they?

- Tell the client they liked the pro-social behavior or comment exhibited
- Give more emphasis to the thing being reinforced than the reinforcement normally offered

- Offer an additional reinforcement for behavior like a bus token, gift card, or any other tangible item? N/A

ER2) Explained why they reinforced what was said or did (providing specific reasons)

When the officer acknowledged pro-social behavior or comments, did they?

- Provide specific reasons why they liked what the client did or said

ER3) Explored short and long term benefits of continuing pro-social behavior

When the staff acknowledged pro-social behavior or comments, did they?

- Elicit from the client the short and long term benefits of continuing the pro-social behavior

When scoring Effective Reinforcement and the staff member completes steps one and two, score B1 (Used Appropriate Behavior Practices) accordingly and score B2 (Completed the Components of the Behavioral Practice) as well as B3 (Used Behavioral Practices Effectively) as a two.

Additionally, when identifying the score related to step three (explored the short and long term benefits of continuing the pro-social behavior) a score of three will be used when the officer tells the client the benefits rather than electing this from the client which would be given a score of four.

Effective Disapproval

Disapproval is an important component of demonstrating and maintaining authority, but also an important strategy for reducing undesirable thoughts, attitudes, and behaviors of clients. Disapproval is not scolding, but the use of well-placed comments and actions designed to extinguish bad habits combined with opportunities to replace them with good habits.

*Note A. Disapproval and consequences are best used immediately following a target behavior. Disapproval and consequences do not need to increase in severity if they are applied consistently.

*Note B. Disapproval and other undesirable consequences (e.g., sanctions) can be thought of as “punishment,” which can be positive or negative according to operant learning theories. “Positive punishment” adds some undesirable stimuli in order to reduce or extinguish a behavior, while “negative punishment” removes some desirable stimuli (e.g., a previously granted privilege). In either case, it is extremely important to keep in mind that punishment can backfire and reinforce undesirable behaviors. Removing privileges or prior rewards, for instance, might also remove client’s motivations to succeed or cause them to fall back on old habits that seem more rewarding despite their risk. In such a case, we might actually be promoting an undesirable behavior, or another maladaptive behavior might emerge.

Effective Disapproval	<input type="checkbox"/>
Missed opportunity	
<input type="checkbox"/> Disapproved of anti-social behavior or comment	
<input type="checkbox"/> Explained why they disapproved of what was said or did (providing specific reasons)	
<input type="checkbox"/> Explored the short term and long term consequences of continuing anti-social behavior	
<input type="checkbox"/> Discussed and identified prosocial alternatives that could be used in place of the unacceptable behavior	
Potential opportunities for disapproval:	
COMMENTS	

ED1) Disapproved of antisocial behavior or comments

When the staff acknowledged anti-social behavior or comments, did they?

- Tell the client they did not like the behavior or comment exhibited

If the officer applied a punisher, did s/he follow these steps?

- Administer the consequence immediately after the undesired behavior was demonstrated
- Make the client aware of the specific behavior that resulted in the consequence being administered
- Ensure the violation matches the consequence
- Administer a punishment that s/he can actually enforce
- Refrain from reinforcement following the delivery of the consequence

ED2) Explained why they disapproved of what was said or did (provide specific reasons)

- Provide specific reasons why they disapproved of what the client did or said

ED3) Explored short and long term consequences of continuing antisocial behavior

When the officer acknowledged anti-social behavior or comments, did they?

- Elicit from the client the short and long term consequences of continuing the anti-social behavior

ED4) Discussed and identified prosocial alternatives that could be used in place of the unacceptable behavior

- Identify and discuss pro-social alternatives that could be used in place of the anti-social behavior

When scoring Effective Disapproval and the staff member completes steps one and two, score B1 (Used Appropriate Behavior Practices) accordingly and score B2 (Completed the Components of the Behavioral Practice) as well as B3 (Used Behavioral Practices Effectively) as a two.

Additionally, when identifying the score related to step three (explored the short and long term consequences of continuing the pro-social behavior) a score of three will be used when the officer tells the client the consequences rather than electing this from the client which would be given a score of four. In order to receive a four the staff member will need to discuss and identify pro-social alternatives that could be used in place of the unacceptable behavior as well.

Effective Use of Authority

When appropriate, staff should explain the rules, clarify roles, and set boundaries. Staff should work with the client to explore the pros and cons of a given behavior. Staff should emphasize the client’s goals and the impact their choices might have on those goals. Staff should avoid the use of ultimatums and reinforce the idea that clients maintain a choice in how they think or behave

Effective Use of Authority		<input type="checkbox"/>
Missed opportunity		
<input type="checkbox"/>	Identified expected behavior	
<input type="checkbox"/>	Indicated negative consequence(s) that will occur for not engaging in the expected behavior	
<input type="checkbox"/>	Indicated positive consequences if the choice is made to engage in expected behavior	
<input type="checkbox"/>	Encouraged and guided individual towards expected behavior	
<input type="checkbox"/>	Praised compliance if they choose expected behavior and, if not, reminded of consequence and imposed it	
N/A <input type="checkbox"/>		
Potential opportunities for use of authority:		
COMMENTS		

EUA1) Identified expected behavior

If the staff needs to address inappropriate behavior or provide a sanction, do they?

- Focus on the behavior and not the client
- Identify the behavior they want to see

EUA2) Indicated negative consequence(s) that will occur for not engaging in the expected behavior

Did staff do the following?

- Keep a calm voice while providing feedback to the client regarding the inappropriate behavior
- Keep a calm voice while specifying negative consequences that will be given based on the current behavior

EUA3) Indicated positive consequences if the choice is made to engage in expected behavior

Did staff do the following?

- Identify the positive consequences that can result from engaging in the expected behavior

EUA4) Encouraged and guided individual towards expected behavior

Did staff do the following?

- Offer a message of support

EUA5) Praised compliance if they choose expected behavior and, if not, reminded of consequence and imposed it

Did staff do any of the following?

- Use praise to reinforce the use of the expected behavior
- Remind client of stated consequence
- Impose the stated consequence

For All behavioral practices, all components must be completed. Most importantly for Effective Reinforcement, there MUST be a discussion of short- and long-term benefits of continuing prosocial behavior and for Effective Disapproval, there MUST be a discussion of short- and long-

term consequences of continuing antisocial behavior AND discussion/identification of prosocial alternative behaviors.

This MUST BE a SEPARATE discussion, not intertwined with goals discussion or an intervention.

- *Effective disapproval should never be used during an intervention/surrounding the thoughts/feelings of the client during an intervention as this may cause resistance on client's part to be open and honest with staff*

Score reinforcement, disapproval, and use of authority if the staff has the opportunity to use the skills during the session.

- *Make sure you are listening for these as well. It is ideal for staff to effectively reinforce at least one thing during a single session.*

Common Examples

- *Effective Reinforcement: grade improvement, getting a job, getting to the session on time, doing homework, remaining clean/sober, handling a situation well where before the client might have handled it differently (i.e. having a conversation with someone rather than getting into a physical altercation).*
- *Effective Disapproval: truancy/skipping school, using substances, violation of supervision/law enforcement contact, curfew violation, antisocial comments (i.e. excessive swearing), missing appointments, skipping treatment/community service, not bringing in homework*
- *Effective Use of Authority: generally any violation of supervision in which staff is letting client know what his/her choices are, and what will happen if client decides to continue to engage in antisocial behavior or if client chooses to change behavior (generally, the "last straw" for staff prior to violation of supervision or some other more serious consequence).*

If they have the opportunity, but do not use the skill, mark the skill as a Missed Opportunity and point out specifically where the opportunity was missed in the comments section.

When coding behavioral practices use the following rules:

- *If the staff member chrono's that they have used a behavioral practice score all three components of the scoring section as appropriate.*
- *If the staff member uses the full behavioral practice but does not chrono the use score all three components of the scoring section as appropriate.*
- *If there is an opportunity to use a behavioral practice and the staff member responds only telling the client they liked (verbal praise) or disproved of the behavior and not using the three steps of the behavioral practice score this as a missed opportunity (score of 0) and provide examples of potential opportunities in the box below the steps. Staff members will need to be given feedback they should find something to use Effective Reinforcement on every office visit if they are not using any other behavioral practice.*

- *Effective Reinforcement:*
 - *When scoring Effective Reinforcement and the staff member completes steps one and two, score B1 (Used Appropriate Behavior Practices) accordingly and score B2 (Completed the Components of the Behavioral Practice) as well as B3 (Used Behavioral Practices Effectively) as a two.*
 - *Additionally, when identifying the score related to step three (explored the short and long term benefits of continuing the pro-social behavior) a score of three will be used when the officer tells the client the benefits rather than electing this from the client which would be given a score of four.*
- *Effective Disapproval*
 - *When scoring Effective Disapproval and the staff member completes steps one and two, score B1 (Used Appropriate Behavior Practices) accordingly and score B2 (Completed the Components of the Behavioral Practice) as well as B3 (Used Behavioral Practices Effectively) as a two.*
 - *Additionally, when identifying the score related to step three (explored the short and long term consequences of continuing the unacceptable behavior) a score of three will be used when the officer tells the client the consequences rather than electing this from the client which would be given a score of four. In order to receive a four the staff member will need to discuss and identify pro-social alternatives that could be used in place of the unacceptable behavior as well.*

GLOBAL PRACTICES

Global practice is shorthand for the various skills and abilities staff should have to best succeed with their clients. They include requirements like being sure to focus on primary criminogenic needs, but also being sure to treat and communicate with clients respectfully and following the tenets of motivational interviewing (e.g., using active listening and using more open-ended vs. closed-ended questions).

**Note. Be sure to record any (and all) criminogenic needs that were targeted during the EPICS session. Also note whether staff made any referrals to outside agencies during the session and/or integrated relapse prevention techniques.*

Score these items taking the entire session into account.

GLOBAL PRACTICES

Please identify criminogenic needs that were targeted during the EPICS session (select any that apply)

- | | | |
|--|---|---|
| <input type="checkbox"/> Pro-criminal attitude/orientation | <input type="checkbox"/> Family/Marital | <input type="checkbox"/> Leisure/Recreation |
| <input type="checkbox"/> Companions | <input type="checkbox"/> Alcohol/Drug Problem | <input type="checkbox"/> Criminal History |
| <input type="checkbox"/> Anti-social pattern | <input type="checkbox"/> Education/Employment | <input type="checkbox"/> Other _____ |

	Missed Opportunity (0)	(1)	(2)	(3)	Most Proficient (4)
G1) Targeted criminogenic needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G2) Focused on primary criminogenic need	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G3) Spent more time on criminogenic needs than other needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G4) Made appropriate referrals to outside agencies <input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G5) Integrated relapse prevention techniques for offending behavior <input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G6) Completed session of adequate length	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G7) Communicated with client in a respectful manner	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G8) Communicated information to the client in a clear and concise manner	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G9) Elicited and gave appropriate feedback	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G10) Utilized role clarification <input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CALCULATE AND WRITE IN TOTAL INTERVENTION SCORE = (G1+G2+G3+G4+G5+G6+G7+G8+G9+G10)/(10 - #N/A)					

Please enter additional comments in the space below

Please note there are ten components to score and three of them can potentially be N/A'd. You will need to add together ONLY the applicable components and divide the total number by the number of applicable components. $(G1+G2+G3+G4+G5+G6+G7+G8+G9+G10)/(10 - \#N/A)$

G1) Targeted criminogenic need

Did Staff target any of the following?

- | | |
|---|---|
| <input type="checkbox"/> Antisocial attitudes, values, beliefs | <input type="checkbox"/> Antisocial peers |
| <input type="checkbox"/> Personality traits including aggression, risk taking, egocentric views, impulsivity, lack of remorse | |
| <input type="checkbox"/> Substance abuse | <input type="checkbox"/> Education/Employment |
| <input type="checkbox"/> Family (including current relationships) | <input type="checkbox"/> Leisure activities |

Score this item based on the targeting of a criminogenic need (if any during the entire session). Session must have discussion of a criminogenic need area in order to get scored.. If staff does not do an intervention, but does discuss a criminogenic need, this can be scored.

G2) Focused on primary criminogenic need

- Main focus of session was a criminogenic need
- Used an intervention focused on a criminogenic need area
- When the client tries to change the subject or get off track the officer brought the conversation back to address the criminogenic need of the client N/A

There MUST be an intervention to get scored. The point here is client should leave session with strategies to help client in criminogenic need area. Main content of the session should be on a criminogenic need area—if it is only a minority/minor part of the session, it is not the main focus.

G3) Time spent in session

- Spend more time throughout the session on criminogenic needs than other needs

G4) Made appropriate referrals to outside agencies

- If appropriate for the client, the officer make referrals to community based providers
- The referral is being made to address one of the criminogenic needs
- If not, the referral intended to remove a barrier so the client can be successful (such as mental health issues, housing, transportation).

If no referral made then N/A this component. If the chrono indicates a community agency referral but you did not hear it in the tape still score this section.

G5) Integrated relapse prevention techniques for any offending behavior

- If the client discusses situations that are high risk or high risk situations present themselves (e.g. hanging out with co-defendant, being around drugs etc) the officer discusses ways the client can manage those situations
- Practices these techniques with the client

If no high risk situations are presented then N/A this component.

G6) Completed session of adequate length

- The session was long enough to either help the client address a crisis or help the client to better manage the criminogenic need being targeted
- Remained focused and deliberate while completing the EPICS model

- Delivered session in a reasonable time frame

G7) Communicated with the client in a respectful manner

When the officer speaks to the client do they do any of the following?

- Use a respectful tone of voice and appears genuine in change
- Encourage clients behavior
- Use language that is respectful and not derogatory
- Use verbal praise throughout session

When the officer speaks to the client are any of the following negative interactions present?

- Pattern of sarcasm
- Pattern of hopelessness or inability of the client to change
- Disrespectful comments/terms
- inappropriate remarks

G8) Communicated information to the client in a clear and concise manner

- Clear with instructions, expectations, etc.
- Explains items the client seems confused or uncertain about
- Redirects client if they got off track

G9) Elicited and gave appropriate feedback

- Asks questions of the client so the client can provide feedback about his/her thoughts, behavior, and consequences?
- Provides feedback regarding thoughts, behavior, and consequences?
- Encourages client to speak most of the time


G10) Utilized role clarification N/A

- Help the client understand the purpose of community supervision
- Discuss the surveillance role of staff
- Discuss the helper role of staff
- Discuss staff expectations of the client while on supervision
- Explore the client's expectation of staff
- Discuss negotiable and non-negotiable areas of supervision
- Move between the surveillance role and helping role throughout the session

APPENDIX E: New Coder Training Material

EPICS Coder Training


Session 1



1

Goals for Session 1

- Review the principles of effective intervention
- Review and learn the EPICS Model
- Review and practice the Cost-Benefit Analysis as an intervention to target and build motivation



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Principles of Effective Intervention

3

Principles of Effective Intervention

THREE MAIN PRINCIPLES — The RNR Framework

RISK	NEED	RESPONSIVITY
WHO	WHAT	HOW
Deliver more intense intervention to higher risk offenders	Target criminogenic needs to reduce risk for recidivism	Use CBT approaches Match mode/style of service to offender

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Principles of Effective Intervention

RISK PRINCIPLE

- Assess and identify moderate and high risk offenders.
- Target moderate and high risk offenders for more intensive treatment, services, and supervision.
- Including lower risk offenders in higher-end programs may increase their risk and failure rates


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Principles of Effective Intervention

NEED PRINCIPLE

- Identify and target criminogenic needs:
 - Attitudes, values, beliefs
 - Peer associations
 - Personality
- Education/employment
- Family
- Substance abuse
- Leisure/recreation


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Principles of Effective Intervention

RESPONSIVITY PRINCIPLE

- Specific responsivity
 - Remove barriers to treatment
 - Match style and mode of service delivery to key participant characteristics
 - Be responsive to temperament, learning style, motivation, gender and culture


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Principles of Effective Intervention

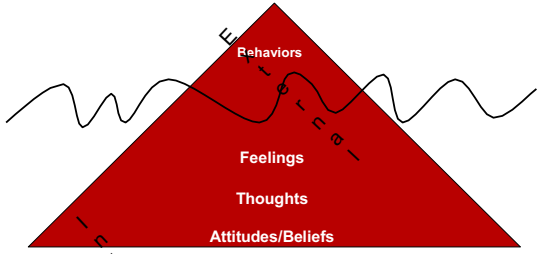
RESPONSIVITY PRINCIPLE


- General responsivity
 - Cognitive behavioral interventions have been shown to be most effective when trying to change offender behavior

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Cognitive Behavioral Model




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Principles of Effective Intervention


ADHERENCE TO PRINCIPLES OF EFFECTIVE INTERVENTION

- How does the EPICS model encourage adherence to principles of risk, need, and responsivity?
 - Focuses effort on moderate to high risk offenders
 - Provides a format to target criminogenic needs in a one-on-one context
 - Encourages identification of specific responsivity factors
 - Uses cognitive and behavioral strategies to change offender behavior

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EPICS Model


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EPICS Model

PURPOSE

- This model strives to more fully utilize staff as agents of change and ensure offenders receive a consistent message throughout the continuum of correctional services
- The EPICS model is not intended to replace more intense cognitive-behavioral treatments that address specific criminogenic needs


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EPICS Model

BENEFITS

- Applies the RNR framework to community supervision
- Trains staff on core correctional practices
- Trains staff to intervene proactively where the offender is deficient in making decisions
- Includes measures of fidelity and coaching sessions


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EPICS Model

SESSION OVERVIEW

- Each contact session should be structured in the following way:
 1. Check-in
 2. Review
 3. Intervention
 4. Homework


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EPICS Model

CHECK-IN

- Check-in is an opportunity to:
 - Promote a collaborative relationship with offender
 - Assess for crises/acute needs
 - Assess for compliance with conditions


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EPICS Model

REVIEW

- Review is an opportunity to:
 - Enhance learning by reviewing previous interventions
 - Review previous homework assignment
 - Discuss community agency referrals
 - Set or review goals with the offender


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EPICS Model

INTERVENTION

- Intervention is an opportunity to:
 - Target criminogenic needs using structured cognitive-behavioral techniques:
 - Behavior Chain
 - Cognitive Restructuring
 - Cost-Benefit Analysis
 - Skill Building
 - Problem Solving
 - Graduated Practice
 - Target specific responsibility issues


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EPICS Model

HOMEWORK

- Homework is an opportunity to:
 - Generalize learning to new situations
 - Assign appropriate homework
 - Assign homework directly related to the intervention
 - Give offender clear expectations
 - Encourage offender to use interventions on risky situations


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EPICS Model

VIDEO DEMONSTRATION

- Watch the following demonstration of the EPICS model in a community supervision setting.
- Watch for the following components:
 - Check-in
 - Review
 - Intervention
 - Homework

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Cost-Benefit Analysis


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Motivational Techniques

EPICS COMPONENT	INTERACTION GUIDELINES (COMPONENTS 1-4)	INTERVENTIONS (COMPONENT 3)
1. CHECK-IN		Cost-Benefit Analysis
2. REVIEW		
3. INTERVENTION		
4. HOMEWORK		

*Don't use during Intervention Component


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Cost-Benefit Analysis

PURPOSE

- Weighs both short-term and long-term costs and benefits of antisocial target behavior and an alternative prosocial behavior
- Helps build motivation towards changing problem behaviors


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Cost-Benefit Analysis

COMPONENTS

- Recognizes positive consequences for antisocial behaviors
 - money, status, power, lack of responsibilities, etc.
- Recognizes negative consequences for antisocial behaviors
 - negative impact on relationships, school/work, life goals, etc.
- Recognizes positive consequences for prosocial behaviors
 - long-term positive impact on relationships and goals
- Recognizes negative consequences for prosocial behaviors
 - sacrificing things up short-term (time, money)


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Cost-Benefit Analysis

STEPS OF COST-BENEFIT ANALYSIS

1. Introduce the tool
2. Discuss the importance of usefulness of the cost-benefit analysis
3. Explain the different components of the tool
 - Short and long term
 - Positives and negatives
1. Apply the cost-benefit analysis to a specific behavior the offender is unmotivated to change


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Cost-Benefit Analysis

STEPS OF COST-BENEFIT ANALYSIS

5. Help the offender to brainstorm consequences of the problem behavior
6. Summarize results with the offender
7. Identify an alternative prosocial behavior with the offender and help to brainstorm consequences of the alternative behavior
8. Compare the two behaviors


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Cost-Benefit Analysis

COST-BENEFIT ANALYSIS TIPS FOR SUCCESS

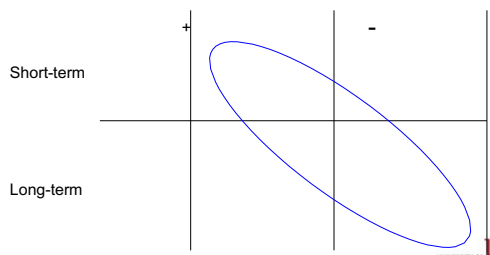
- Offenders should come up with costs and benefits associated with their antisocial behavior
- To elicit—ask offenders:
 - What do you get out of...?
 - What do you like about...?
 - What problems has...caused you?
 - Do you tie any problems in your life to ...?
- We may need to assist them in recognizing long-term benefits of prosocial behavior


26 

26

Cost-Benefit Analysis

Behavior: **ANTISOCIAL**

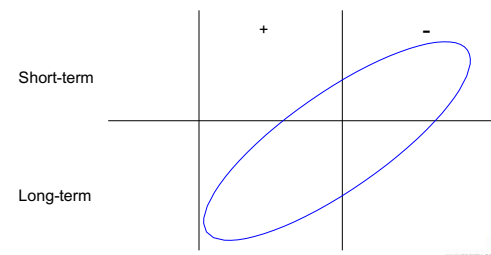



27 

27

Cost-Benefit Analysis

Behavior: **ALTERNATIVE PROSOCIAL**




28 

28

Cost-Benefit Analysis

SKILL DEMONSTRATION

- Please watch the following demonstration of the cost-benefit analysis
- Watch for the components of the cost-benefit analysis during the demonstration


29 

29

Cost-Benefit Analysis

PRACTICE ACTIVITY

- Refer to page **WB-28** in the Participant Workbook and complete exercise **8.1**

30 


30

Assignment

- Review the RNR information, EPICS Model components, and Cost-Benefit Analysis
- Come to session 2 with any questions or concerns about the skills reviewed today

EPICS Coder Training


Session 2



1

Goals for Session 2

- Review and practice Effective Reinforcement
- Review and practice Effective Disapproval
- Review and practice Effective Use of Authority



2


Effective Reinforcement



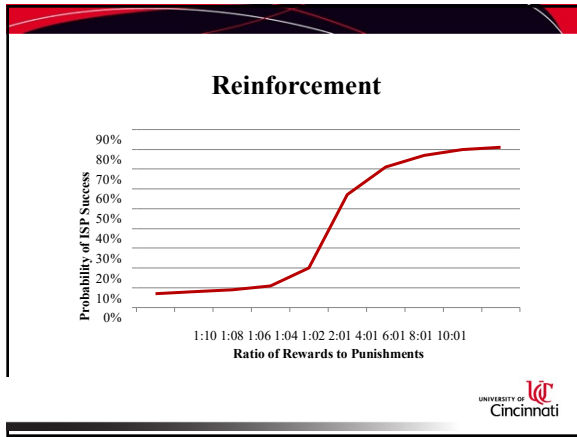
3

Reinforcement

EPICS COMPONENT	INTERACTION GUIDELINES (COMPONENTS 1-4)	INTERVENTIONS (COMPONENT 3)
1. CHECK-IN	Effective Reinforcement	
2. REVIEW		
3. INTERVENTION		
4. HOMEWORK		




4



5

Reinforcement

Goal: Accelerate Prosocial Behavior		
Positive Reinforcement	ADD a positive stimulus	Accelerate desired behavior
Negative Reinforcement	TAKE AWAY a negative stimulus	Accelerate desired behavior



6

Reinforcement

Tangible	Token
Food Books Clothes	Awards Certificates Raffle Tickets
Activities	Social Praise
Watching TV Listening to music Sports games	Specific praise Indirect praise Advocating

7

7

- ### Reinforcement
- #### SELECTING AND ADMINISTERING REINFORCERS
- Identify the interests of the offender, but also consider using universal reinforcers
 - Allow the offender to select from a variety of reinforcers
 - Must be administered during or immediately following behavior
 - Must be contingent on performing desired behavior
 - Should be administered consistently, then intermittently
 - Use SOCIAL REINFORCERS
- 8

8

- ### Reinforcement
- #### SOCIAL REINFORCEMENT
- Social reinforcers include praise, acknowledgement, attention, approval, etc.
 - There are several advantages associated with the use of social reinforcers:
 - ease of administration
 - limitless supply
 - availability for immediate use
 - natural reinforcers
 - Within our control
 - FREE!
- 9

9

- ### Reinforcement
- #### STEPS OF EFFECTIVE SOCIAL REINFORCEMENT
1. Immediately tell the offender that you like the type of behavior or speech just exhibited
 2. Explain why you like what the offender said or did (providing specific reasons)
 3. Encourage the offender to think about why the behavior being reinforced is desirable and what kinds of short- and long-term benefits will result from continued use of the behavior
- 10

10

- ### Reinforcement
- #### EFFECTIVE SOCIAL REINFORCEMENT TIPS FOR SUCCESS
- Give greater emphasis to the reinforcement above support normally provided to the offender
 - Use a variety of social reinforcers
 - Pair your social reinforcement with other reinforcers when appropriate
- 11

11

Reinforcement

TEMPLATE

I really liked how you _____ because _____.

Right now, how do you think this behavior has or will help you? What are some of the long term benefits for you?

I'm going to issue you a _____ for this behavior.

12

12

Reinforcement

SKILL DEMONSTRATION

- Please watch the following demonstration of effective social reinforcement
- Watch for the steps to effective social reinforcement during the demonstration


13 

13

Reinforcement

PRACTICE ACTIVITY

- Refer to page **WB-23** in the Participant Workbook and complete exercise **6.2**

14 

14

Effective Disapproval


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Effective Disapproval

EPICS COMPONENT	INTERACTION GUIDELINES (COMPONENTS 1-4)	INTERVENTIONS (COMPONENT 3)
1. CHECK-IN	Effective Reinforcement	
2. REVIEW	Effective Disapproval*	
3. INTERVENTION		
4. HOMEWORK		


*Don't use during Intervention Component

16 

16

Effective Disapproval


Goal: Decelerate Antisocial Behavior		
Positive Punishment	ADD a negative stimulus	Decelerate undesired behavior
Negative Punishment	TAKE AWAY a positive stimulus	Decelerate undesired behavior

17 

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Effective Disapproval

Appropriate Punishers	Inappropriate Punishers
Loss of privileges Curfew/extended curfew Community service Electronic monitoring House arrest Violation Jail sentence Increased drug testing	Treatment Homework related to skills Extra meetings with staff Essays


18 

18

Effective Disapproval

ADMINISTERING PUNISHERS

- Must occur immediately after the target behavior
- Must be administered each time the target behavior occurs
- Ensure offender is aware that the target behavior resulted in the punisher
- Reinforcement should not closely follow the delivery of the punisher
- Precede the punisher with a warning cue when you have the opportunity


19 

19

Effective Disapproval

STEPS OF EFFECTIVE DISAPPROVAL

1. Immediately tell the offender that you did not like the type of behavior or speech just exhibited
2. Explain why you did not like what the offender said or did (provide specific reasons)
3. Encourage the offender to think about why the behavior is undesirable and what kinds of short- and long-term consequences will result from continued use of the behavior
4. Discuss and identify prosocial alternatives that could be used in place of the unacceptable behavior


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Effective Disapproval

EFFECTIVE DISAPPROVAL TIPS FOR SUCCESS

- Give the effective disapproval greater emphasis
- Pair the effective disapproval with an appropriate sanction when necessary
- Often, because effective disapproval targets a behavior for change, it can act as a transition into the intervention component

21 

21


Effective Disapproval

TEMPLATE

It was not appropriate that you _____ because _____.

Right now, how do you think this behavior has or could hurt you? How might continuing the behavior cause problems for you down the road?

Let's discuss what you could have done instead, and how it might have looked.


22 

22

Effective Disapproval

SKILL DEMONSTRATION

- Please watch the following demonstration of effective disapproval
- Watch for the steps of effective disapproval during the demonstration


23 

23

Effective Disapproval


PRACTICE ACTIVITY

- Refer to page **WB-25** in the Participant Workbook and complete exercise 7.1

24 

24

Effective Use of Authority




25

Use of Authority

EFFECTIVE USE OF AUTHORITY

- Research suggests that when rules/sanctions are explained to a offender in a careful, non-confrontational, and honest manner, positive behavioral outcomes are more likely to occur than if they are explained in a dominating and hostile manner
- Requires staff to emphasize their surveillance role while also adhering to their helper role




26

Use of Authority

EFFECTIVE USE OF AUTHORITY

- Effective use of authority should be brief and should not be the focus of the session
- The goal of this practice is to ensure that there is no ambiguity regarding what is required of the offender while on supervision
 - Negative consequences for non-compliance are outlined
 - Positive consequences for compliance and prosocial behavior are outlined




27

Use of Authority

STEPS OF EFFECTIVE USE OF AUTHORITY

1. Identify the expected behavior
2. Indicate negative consequence(s) that will occur if offender chooses not to meet expected behavior
3. Indicate positive consequences if offender chooses to engage in expected behavior
4. Encourage and guide offender towards expected behavior
5. If they choose expected behavior praise compliance; if they do not meet expected behavior, remind of consequence and impose it




28

Use of Authority

EFFECTIVE USE OF AUTHORITY TIPS FOR SUCCESS

- Focus message on behavior and not the offender
- Be direct and specific concerning demands
- Use a normal voice. Do not yell!
- Be able to follow through with consequences outlined




29

Use of Authority

SKILL DEMONSTRATION

- Please watch the following demonstration of effective use of authority
- Watch for the steps to effective use of authority during the demonstration



30

Use of Authority

PRACTICE ACTIVITY

- Refer to page **WB-27** in the Participant Workbook and complete exercise 7.2

31


Assignment

- Review the skills of Effective Reinforcement, Disapproval, and Use of Authority
- Come to session 3 with any questions or concerns about the skills reviewed today

32

EPICS Coder Training


Session 3



1

Goals for Session 3

- Review, learn, and practice the Behavior Chain with Cognitive Restructuring
- Review, learn, and practice Structured Skill Building
- Review, learn, and practice Problem Solving



2


Behavior Chain and Cognitive Restructuring

3

Cognitive Restructuring

EPICS COMPONENT	INTERACTION GUIDELINES (COMPONENTS 1-4)	INTERVENTIONS (COMPONENT 3)
1. CHECK-IN	Effective Reinforcement	Cost-Benefit Analysis
2. REVIEW	Effective Disapproval*	Behavior Chain
3. INTERVENTION	Effective Use of Authority*	Cognitive Restructuring
4. HOMEWORK		

*Don't use during Intervention Component



4

5

5

Behavior Chain

PURPOSE

- Helps offenders learn the thought-behavior link
- Helps offenders identify their antisocial thinking in risky situations


6

6

Behavior Chain

SITUATION

- Situations are the people, places, and things that can lead to trouble
- Situations can also be referred to as:
 - Triggers
 - Invitations
 - Activating Events
 - Antecedents


7 

7

Behavior Chain

THOUGHTS

- There are different ways to interpret situations
- Thoughts are what we tell ourselves (self-talk) in response to situations
- Thoughts are present-tense and usually reflect core values and beliefs
- Thoughts *drive* feelings and behaviors


8 

8

Behavior Chain

FEELINGS

- Feelings are the emotions that are influenced by thoughts
- Feelings, in turn, also influence our behaviors


9 

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Behavior Chain

ACTION

- Behaviors are influenced by thoughts and feelings
- We *choose* a behavior based on thoughts and feelings


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Behavior Chain

CONSEQUENCES

- Behaviors can result in both positive and negative consequences
- Reinforcements increase the likelihood a behavior will occur again
- Punishments decrease the likelihood a behavior will occur again


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Behavior Chain

BEHAVIOR CHAIN TIPS FOR SUCCESS

- Explain model and components before moving through an example
- Establish the thought/behavior link
- Clearly differentiate between the situation and action

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Behavior Chain

EXAMPLE

Situation: One of Tim's old friends approaches him and asks him to get high

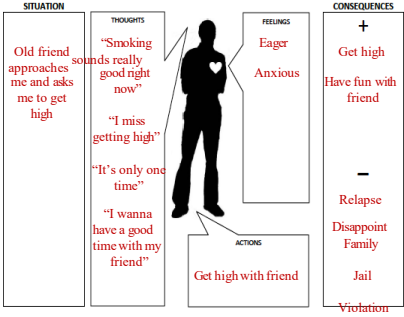
Thoughts: What is Tim most likely thinking?

Action: Based on this thinking, what is Tim most likely to do?

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BEHAVIOR CHAIN




SITUATION
Old friend approaches me and asks me to get high

THOUGHTS
"Smoking sounds really good right now"
"I miss getting high"
"It's only one time"
"I wanna have a good time with my friend"

FEELINGS
Eager
Anxious

ACTIONS
Get high with friend

CONSEQUENCES
+
Get high
Have fun with friend
-
Relapse
Disappoint Family
Jail
Violation


14 

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Behavior Chain

SKILL DEMONSTRATION

- Please watch the following demonstration of how to teach the behavior chain
- Watch for the components of the behavior chain during the demonstration


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Behavior Chain

PRACTICE ACTIVITY

- Refer to page WB-30 in the Participant Workbook and complete exercise 9.1


16 

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Behavior Chain

POTENTIAL PROBLEMS

- The action is not a behavior the client has control over
- The situation and action are the same
- The situation is not specific
- Thoughts do not reflect client's actual self-talk in the situation
- Thoughts are confused with feelings (vice versa)
- Feelings reflect how the offender felt after the action


17 


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Cognitive Restructuring

GOAL: Change behavior

TO CHANGE




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Cognitive Restructuring

IDENTIFY ANTISOCIAL THINKING (TAPES)

- Antisocial thoughts say it is acceptable to engage in criminal or some other antisocial behavior
- In order to change behavior, offenders must be able to recognize antisocial thoughts that lead them to negative behaviors
- Examples of antisocial thinking:
 - "He disrespected me so I should teach him a lesson"
 - "Marijuana is natural and should be legal"
 - "If I only drink one time it won't be a big deal"
 - "I probably won't get caught"
 - "I'm always going to be a criminal and that won't change"


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Cognitive Restructuring

REPLACE WITH PROSOCIAL THINKING (COUNTERS)


- Once we help offenders identify antisocial thinking that leads to criminal or other problematic behavior, we need to help offenders develop prosocial counters
- Counters are alternative thoughts that replace antisocial thinking and are more likely to lead to positive/prosocial behavior
- Counters need to be present-tense, prosocial, and REALISTIC

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Cognitive Restructuring

TAPES	COUNTERS
"He's disrespecting me so I should teach him a lesson"	"I'm just gonna let it go and not get to me"
"It's not a big deal because marijuana is natural and should be legal"	"I know it's illegal and I'm probably going to get tested"
"I'll stop after this one drink"	"I probably won't be able to stop and I don't want to get out of control"
"I'm not going to get caught"	"There's a real chance I could get caught and go back to jail"
"Selling drugs is the best way for me to make money for my family"	"I'm not going to be any help to my family from prison"

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Cognitive Restructuring

EXAMPL

Situation: One of Tim's old friends approaches him and asks him to get high


Thoughts: What can Tim say to himself to refuse his friend?

Action: Based on this new thinking, what action is Tim likely to choose?


22 

22

BEHAVIOR CHAIN




SITUATION	THOUGHTS	FEELINGS	CONSEQUENCES
Old friend approaches me and asks me to get high	"Smoking sounds really good right now" "I miss getting high" "It's only one time" "I wanna have a good time with my friend"	Eager Anxious	+ Get high Have fun with friend - Relapse Disappoint Family Jail Violation
			ACTIONS Get high with friend


23 

23

BEHAVIOR CHAIN



SITUATION	THOUGHTS	FEELINGS	CONSEQUENCES
Old friend approaches me and asks me to get high	"I'm going to get caught if I smoke" "I don't want to lose everything I've worked so hard for" "It's really not worth it"	Confident Resolute	+ Stay sober No problem with supervision - Feel proud/gain confidence Old friend gets mad Don't get relief from getting high
			ACTIONS Tell friend no and go home


24 

24

Cognitive Restructuring

SKILL DEMONSTRATION

- Please watch the following demonstration of the behavior chain with cognitive restructuring
- Watch for cognitive restructuring techniques during the demonstration


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Cognitive Restructuring


PRACTICE ACTIVITY

- Refer to page **WB-35** in the Participant Workbook and complete exercise **9.3**

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Structured Skill Building


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Structured Skill Building

EPICS COMPONENT	INTERACTION GUIDELINES (COMPONENTS 1-4)	INTERVENTIONS (COMPONENT 3)
1. CHECK-IN	Role Clarification	Cost-Benefit Analysis
2. REVIEW	Active Listening	Behavior Chain
3. INTERVENTION	Giving Feedback	Cognitive Restructuring
4. HOMEWORK	Effective Reinforcement Effective Disapproval* Effective Use of Authority*	Structured Skill Building

*Don't use during Intervention Component


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Structured Skill Building

DISCUSSION QUESTION

- Think about a skill in which you have become proficient
 - How did you learn this skill?


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Structured Skill Building

ANTI-CRIMINAL MODELING

- Offenders learn from the regular interactions with staff
 - Attitudes
 - Cognitive Patterns
 - Behaviors
 - Coping Skills
- Offenders are highly observant of staff


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Structured Skill Building

TYPES OF MODELS

- Unplanned model:
 - Random behaviors that a person encounters in his or her environment
- Planned model:
 - Prearranged for teaching purposes (structured skill building)


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Structured Skill Building

PURPOSE

- Used when problem behavior is likely being caused by a skill deficit
- Teaches prosocial behavioral responses to high risk situations


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Structured Skill Building

SKILL BREAKDOWN

- There are many *skills* to engaging in prosocial behavior
 - All skills involve steps
 - Skill development involves breaking down the steps for offenders
 - Steps are often not thought about—"subconscious"
 - Some steps involve thinking, while others involve action
 - Indicate thinking steps by pointing to the head


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Structured Skill Building

STEPS OF STRUCTURED SKILL BUILDING

1. Introduce the skill
2. Obtain offender buy-in
3. Teach the skill following the concrete steps
4. Model the skill
5. Role play the skill
6. Provide feedback to the offender


34 

34

Structured Skill Building

STEP 1

- Introduce the skill to the offender
 - What is the skill called?
 - How is it relevant to the offender?


35 

35

Structured Skill Building

STEP 2

- Obtain offender buy-in
 - Why would you need to use this skill?
 - What happens if you don't know how to use this skill?
 - Have there been situations in the past where they could have benefited from using the skill?


36 

36

Structured Skill Building

STEP 3

- Teach the skill following the concrete steps
 - This involves explaining each step to the offender and often determining whether the step is happening inside the offender's head (thinking) or is something they do (action)
 - Discuss how each step applies to the offender using a specific situation (use offender's language)


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Structured Skill Building

STEP 4

- Model the skill for the offender
 - Demonstrate the skill using the concrete steps just as you would want the offender to use the skill in a real-life situation


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Structured Skill Building

STEP 5

- Role play the skill
 - This involves having the offender practicing the skill with you using the concrete steps


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Structured Skill Building

STEP 6

- Provide feedback to the offender
 - Begin by reinforcing offender for practicing
 - Focus on what they did well
 - Where could they improve when using the skill?


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Structured Skill Building

STRUCTURED SKILL BUILDING TIPS FOR SUCCESS

- Target a criminogenic need when using structured skillbuilding
- Apply the skill being taught to a *specific risky situation*
- Differentiate clearly between thinking and actions steps
- Model *exactly* how you want the offender to use the skill- always act as a realistic, prosocial model during skillbuilding


41 

41

Structured Skill Building

SKILL DEMONSTRATION

- Please listen to the following demonstration of structured skill building
- Watch for the steps to structured skill building during the demonstration


42 

42

Structured Skill Building


PRACTICE ACTIVITY

- Refer to page WB-38 in the Participant Workbook and complete exercise 10.1

43 

43

Problem Solving


44 

44

Problem Solving

EPICS COMPONENT	INTERACTION GUIDELINES (COMPONENTS 1-4)	INTERVENTIONS (COMPONENT 3)
1. CHECK-IN	Role Clarification	Cost-Benefit Analysis
2. REVIEW	Active Listening	Behavior Chain
3. INTERVENTION	Giving Feedback	Cognitive Restructuring
4. HOMEWORK	Effective Reinforcement	Structured Skill Building
	Effective Disapproval*	Problem Solving
	Effective Use of Authority*	

*Don't use during Intervention Component


45 

45

Problem Solving

PURPOSE

- Teach offenders to be independent problemsolvers
- Teach offenders to use problem solving with "time-to-think" problems first, so they are able to apply the skill later to "in-your-face" problems


46 

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Problem Solving Skills

STEPS OF PROBLEM SOLVING

- 1. Stop and Think and Identify the Problem:**
How do you know you have a problem? Discuss some signs or cues that might alert the offender that he is facing a problem
- 2. Clarify Goals:**
Determine what exactly the offender wants to happen in the situation and what is best for him and everyone involved
- 3. Generate Alternative Solutions:**
Brainstorm possible solutions to the problem. It is important that all ideas be accepted without judgment


47 

47

Problem Solving Skills

STEPS OF PROBLEM SOLVING

- 4. Evaluate:**
Review all the alternatives generated in step 3 and discuss the short-term and long-term consequences of the situation
- 5. Implement the plan:**
Develop concrete action steps in this stage and role play the plan. The offender will then use this plan in between sessions
- 6. Evaluate the plan:**
Once the offender has tried the plan, he will need to determine whether or not it is "working." Discuss some ways to evaluate and modify the plan

48 

48

Problem Solving

PROBLEM SOLVING TIPS FOR SUCCESS

- Although difficult, remember to allow offenders to brainstorm as many alternative solutions in step 2 as possible- let them brainstorm without judgment
- Remember to explain/teach the 3 steps of problem solving to the offender as you would with skill building. The offenders need to be able to use the steps on their own the next time they have a problem
- It's very important to not try to solve the offender's problem yourself- we want them to be independent problem solvers

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Problem Solving

SKILL DEMONSTRATION

- Please watch the following demonstration of problemsolving
- Watch for the three steps of problem solving during the demonstration

50

Problem Solving

PRACTICE ACTIVITY

- Refer to page **WB-39** in the Participant Workbook and complete exercise **11.1**

51

Assignment

- Review the Behavior Chain, Cog Restructuring, Skill Building, and Problem Solving
- Come to the EPICS Rating Form training with any questions or concerns about the skills reviewed today

52


EPICS OFFICER RATING FORM



1

TRAINING OUTLINE

1. Introduction to EPICS Officer Rating Form
2. Practice coding and summary writing (clips)
3. Practice coding and summary writing (full)
4. New coding protocol
5. Certification test




2

EPICS OFFICER RATING FORM

Scoring

- Satisfactory (S)
 - Officer captured the major components of this skill/concept
- Needs Improvement (I)
 - Officer attempted the skill/concept, but missed components or needs improvement
- Missed Opportunity (M)
 - Officer had the opportunity to use this skill, but did not
- Not Applicable (N)
 - There was no opportunity to use this skill




3

EPICS OFFICER RATING FORM

Scoring


- Indicators (Check boxes)
 - Boxes are checked if, at minimum, officer attempts the indicator
 - "He did it, but he didn't do it well."
- Items (Bolder and quality score)
 - Quality, not quantity
 - Focus on how well the officer used each of the indicators checked
 - Number of indicators checked does not determine the quality score



4

EPICS OFFICER RATING FORM

- **Scoring**
 - Summaries
 - Strengths
 - Needs improvement areas
 - Suggestions for improvement
 - Not just a reiteration of indicators from the form- elaborate with examples and be specific




5

EPICS OFFICER RATING FORM

Check-In

- Promoted a collaborative relationship with client
- Assessed for crisis/acute needs
- Assessed for compliance with conditions



6

EPICS OFFICER RATING FORM

Review

- Set or reviewed goals with the client
- Discussed community agency referrals
- Enhanced learning by reviewing previous intervention
- Reviewed previous homework assignment

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7

EPICS OFFICER RATING FORM

Intervention

- ABC Model/Behavior Chain
- Cognitive Restructuring
- Cost-Benefit Analysis
- Social Skills
- Graduated Rehearsal
- Other

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8

EPICS OFFICER RATING FORM

Homework

- Generalized to new situations
- Assigned appropriate homework

9

EPICS OFFICER RATING FORM

Behavioral Practices

- Effective Reinforcement
- Effective Disapproval
- Effective Use of Authority

10

EPICS OFFICER RATING FORM

General Ratings

- PO was an anti-criminal model
- Used reflective listening statements
- Communication was clear and concise
- Engaged the client throughout the session
- Length of session
- Outside referrals

11

EPICS OFFICER RATING FORM

Criminogenic Needs

- Was a criminogenic need targeted
- Focused on a criminogenic need area
- Which criminogenic needs were targeted
- Which non-criminogenic needs were targeted

12

APPENDIX F: Multnomah County DCJ Keys to EPICS Implementation Document

Keys to EPICS Implementation

4/1/14

I: Form an Implementation Team: should be a diagonal slice of staff in the department. Empower this team to make decisions and allow them to make mistakes and course corrections.

II. Provide direct communication from the top of the agency down on the expectation of officers to focus on acquiring this skill. The acquisition of this skill should be the officer's top priority for the first 12 months of this effort. Communicate to staff if they commit to this the Department will seek to support them in their efforts. (You will probably need to re-up this commitment at the 12-month mark)

III. Address workload. Learning these skills and implementing EPICS takes more time at the front end. This increase in workload impacts your officer's and first line Managers.

IV. The Implementation Team should plan to schedule boosters to follow and reinforce the UCCI trainings. The Booster should be repetition on what UCCI is teaching. This is critical to build agency muscle and will serve to develop the Coaches

V. Invest in EPICS Coaches. They need to commit to learn these skills and the extra development time to push ahead of those they will coach. Tasks to help develop Coaches include: Working collaboratively with UCCI during the training process; planning and leading boosters; coding tapes as a coaching team and providing feedback to staff.

VI. As you complete the formal training process with UCCI, your agency's commitment to acquiring this skill set and the influence of your Implementation Team are crucial.

VII. Coaches are the key to the Implementation Team. You need Coaches who can stay on top of listening to tapes and providing relevant feedback in a timely manner.

There are various ways to use Coaches. You can use a Manager or all Managers to code tapes and provide feedback. If you use one Manager, you create an expert which is valuable for your boosters and ongoing training. You can also train peers or Lead PO's to serve as Coaches. This model develops expertise and credibility within the line ranks. The workload for Coaches is a significant issue. Do not expect a first line Manager to be able to listen to 10 tapes per month and provide feedback without adjustment of workload. This is one of those tasks which will get attention when it is new and novel but will be pushed to the bottom of the list 6 to 9 months down the line without a commitment to sustain the Coach.

VIII. Amend Audits and Performance Evaluations to ensure EPICS and Motivational Interviewing are part of what you measure and provide feedback on for staff.

IX. Invest in Train the Trainer within your organization and in collaboration with community corrections partners in your state. This will help you build continuity and ensure the integration of this case management model becomes part of your culture in the future.

X. Work to create ways to measure staff's acquisition of skills and outcome measures which represent your Department's goals in reducing recidivism. This can be done with a County's own Research and Evaluation Unit or seek to partner with a state University specializing in Criminal Justice.

Additional Considerations:

- A) Offender Surveys
- B) Submission of tapes measured quarterly or annually
- C) State-wide performance measures on recidivism, retention, abscond rates and reduction of criminogenic needs
- D) Develop your own EPICS Coders: Access your local University's Criminal Justice Program