

# Motivational Interviewing...

An  
Introduction

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Criminal Justice Agency

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# 1

## SETTING THE CONTEXT



DAY 1 / AM  
1 HOUR



### Learning Objectives for the Training

- Revisit the Principles of Effective Intervention (Risk, Need, Responsivity, Professional Integrity)
- Focus on the Responsivity Principle
- Provide a brief introduction to Motivational Interviewing: Principles and Practices
- Demonstrate how to use MI in your day-to-day work with offenders through the introduction of a six-step model to build an effective case plan.
- Examine the styles and approaches that can influence change.
- Teach methods to assess motivation.
- Provide opportunities to practice using brief intervention strategies.
- Focus on enhancing treatment compliance



### Contents of this Section

- 1.1 Evidence-Based Practice
- 1.2 Workshop Goals and Objectives
- 1.3 Applying Motivational Interviewing: Principles and Practices

## 1.1 : Evidence-Based Practice

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### Introduction

What is now referred to as the "What Works" movement in juvenile justice and adult corrections had very humble beginnings! Ironically, many would trace the name of the movement to Robert Martinson's famous 1974 essay *What Works? – Questions and Answers About Prison Reform*. *After reviewing 230 studies of rehabilitation programs in criminal justice settings, Martinson and his colleagues actually concluded that "nothing works".* His often quoted conclusion was: "With few and isolated exceptions the rehabilitation efforts that have been reported so far had no appreciable effect on recidivism (Martinson, 1974, p. 25).

However, many commentators questioned the credibility of Martinson's conclusions. *In fact, between 40 and 60% of the 230 studies actually showed some indication of a recidivism reduction effect.* Yet Martinson appeared to question the validity of the studies showing positive effects while accepting, rather uncritically, the findings from studies that showed no rehabilitation effect.

In many respects, the What Works movement was established from critiques of the "nothing works" conclusion. Andrews, Gendreau, Palmer, and other researchers began to reinterpret the studies included in the 1974 review. They arrived at more optimistic assessments of the potential of rehabilitation. In fact they began to concentrate their efforts at determining "what works" to reduce offending under "what conditions". They identified patterns in a larger body of studies that helped establish a number of principles of effective interventions in corrections. These principles of effective interventions, which will be described in more detail in subsequent sections, are often used to summarize "what works".

*Overall, the evaluation research suggests that rehabilitation treatment strategies can be effective in reducing re-offending.* Researchers have also been able to conclude that judicial sanctions (including dismissal without warning, pre-adjudication measures, judicial dispositions such as probation, custody and parole) that are delivered without treatment services are generally ineffective as methods of reducing re-offending (Hoge, 2001).

Independently both Lipsey (1990) and Andrews (1990) discovered an 11% effect size favoring treatment. However, when they looked more closely at the programs they discovered that some were better than others. By grouping these programs according to the treatment approach used, they found that some programs produced effect sizes from 25-40%. The characteristics of these programs have been summarized by Andrews as the "principles of effective intervention".

**THE PRINCIPLES OF EFFECTIVE INTERVENTION**

- ✓ Risk Principle – “How Much”
- ✓ Need Principle- “What Targets”
- ✓ Responsivity Principle- “How”
- ✓ Principle of Program Integrity- “What Works”

Programs that adhere to the principles of effective intervention are more likely to have large effect sizes. They have a direct impact on recidivism.

The principles of Risk, Need, Responsivity, and Program Integrity have now become a unifying theme in modern correctional practice. National gatherings of innovators and leaders in probation in the United States frequently revolve around how these principles can be more effectively integrated within probation settings. The principles are so far reaching they touch every possible facet of the work of probation officers. Participants will find that almost all of the content of this course relates to the application of these four research-based principles.

**The Risk Principle:**

The risk principle states:

1. That delinquent, acting out, or criminal behavior can be predicted. Once again, consider the major factors discussed earlier.
2. That the intensity of services should be matched to the risk level of the offender. Higher-risk offenders require more intensive services and might include removal from the community. Low risk offenders require minimal or no intervention.

**The Need Principle:**

The need principle focuses on the appropriate targets for intervention. According to this principle it is critical to identify risk factors linked to criminal behavior . Some risk factors are static (i.e., age of first contact with the law, etc.). These are aspects of the offender's life that cannot be changed. Other risk factors are dynamic (e.g., antisocial attitudes, values, and behaviors). Andrews and Bonta (1994) commonly refer to these factors as criminogenic needs and suggest that they serve as the appropriate targets for intervention.

**Major Risk/Need Factors**

- Behavioral history
- Family dynamics
- Pro-criminal associates
- Personality and temperament
- Antisocial attitudes, values and beliefs
- Low levels of vocational success

**The Responsivity Principle:****General Considerations**

The responsivity principle refers to the delivery of effective treatment programs in a style and mode that is consistent with the ability and learning style of the offenders. Programs that rely on social learning and cognitive-behavioral approaches have been found to be the most effective in working with probationers and other offenders being served in the correctional system. In fact, if you review the results of the meta-analyses it becomes clear that programs do not work if they fail to follow the principles of effective intervention.

**Specific Considerations**

The responsivity principle refers to delivering services in a style and mode that is consistent with the ability and learning style of the offenders. This means that staff must have the style and skills to address specific offender issues.

**The Principle of Program and Professional Integrity**

The principle of program integrity suggests that all services (probation and treatment) should be monitored to ensure that they are effective. Research also suggests that programs showing the greatest promise hire and promote staff that are professional, experienced, and skilled. To ensure quality services, staff require agency support in the following areas:

- Policies and procedures that include ethical guidelines and standards of professional conduct
- Ongoing supervision and technical support
- Training to enhance knowledge, skills and commitment
- Adequate resources to sustain program integrity

## 1.2 : Workshop Goals and Objectives

The "What Works" literature provides correctional practitioners with a framework in which to deliver effective supervision and services to offenders. In this training we begin to focus more closely on "what" supervision should look like and "how" it should be delivered. Specifically we will focus on the Responsivity Principle.

*The RESPONSIVITY PRINCIPLE states that services should be delivered in a style and mode that is consistent with the ability, willingness and learning style of the probationers.*

### **Research tells us...**

- For many probationers who engage in crime – change occurs naturally. That is, they stop offending on their own- without any intervention... These probationers tend to be high in protective factors and to have fewer risk factors.
- For probationers receiving formal interventions (e.g., court-ordered detention, probation, diversion, treatment) the results are often mixed... some get worse...
- Generally, those that do better tend to be medium and high risk probationers who are exposed to effective treatment approaches (cognitive behavioral, family-based, emphasis on social learning theory)...
- Specifically, two primary factors contribute to successful outcome
  1. *Level of motivation. Probationers are more likely to make changes when they are ready, willing and able...*
  2. *Style and approach used by the probation officer or other correctional professional working with the case can have a direct influence on outcome.*

In the early 1990's two leading practitioners, Bill Miller and Stephen Rollnick began to systematically summarize the literature on client responsiveness to intervention. They discovered that effective practitioners use a directive approach that encourages client responsibility for change. Motivational Interviewing is an evidence-based approach that emerged from their work.

In this training we provide you with a brief glimpse of the major tenets of Motivational Interviewing. You will have the opportunity to explore this approach and to practice some of the brief intervention strategies that have been found to be effective in enhancing motivation.

For this we have relied heavily on materials, writings and resources developed by Miller and Rollnick (1991; 2002) and Prochaska, DiClemente and Norcross (1992). Please see the reference section for supplemental readings and resources.

### **Workshop Goals and Objectives**

- ↗ Focus on the Responsivity Principle and how we can apply this principle to enhance our work with offenders
- ↗ Provide a brief introduction to Motivational Interviewing: Principles and Practices
- ↗ Demonstrate how to use MI in your day-to-day work with offenders through the introduction of a six-step model to build an effective case plan.
- ↗ Examine the styles and approaches that can influence change.
- ↗ Teach methods to assess motivation.
- ↗ Provide opportunities to practice using brief intervention strategies.
- ↗ Focus on enhancing treatment compliance

## 1.3 : Motivational Interviewing: Principles and Practices

This training will focus on the application of Motivational Interviewing – Principles and Practices during the case management process. We believe that:

*Effective case management is a process... that requires the probation officer to work collaboratively with a probationer, in an effort to define individual needs and mutually agreed upon outcomes...*

To achieve this goal, we propose 6 distinct but overlapping steps:

### SIX STEPS TO BUILD AN EFFECTIVE CASE PLAN

STEP 1: CASE ANALYSIS	TASKS
<ul style="list-style-type: none"> <li>• Case Analysis</li> </ul>	<ul style="list-style-type: none"> <li>• Review case file.</li> <li>• Administer the risk/needs assessment.</li> <li>• Process case and map results.</li> </ul>
STEP 2: FEEDBACK	TASKS
<ul style="list-style-type: none"> <li>• Feedback</li> </ul>	<ul style="list-style-type: none"> <li>• Summarize major strengths.</li> <li>• Summarize major challenges.</li> <li>• Seek clarification</li> </ul>
STEP 3: PRIORITIZE	TASKS
<ul style="list-style-type: none"> <li>• Prioritize</li> </ul>	<ul style="list-style-type: none"> <li>• Provide options</li> <li>• Ensure that probationer identifies the primary target for intervention</li> </ul>
STEP 4: ASSESS MOTIVATION	TASKS
<ul style="list-style-type: none"> <li>• Assess motivation (Increase Importance)</li> </ul>	<ul style="list-style-type: none"> <li>• Assess readiness</li> <li>• Assess importance and confidence</li> <li>• Complete a decisional balance</li> </ul>
STEP 5: FOCUS	TASKS
<ul style="list-style-type: none"> <li>• Complete Case Plan (Build Confidence)</li> </ul>	<ul style="list-style-type: none"> <li>• Establish long-term goals</li> <li>• Establish short-term goals</li> <li>• Identify action steps, responsibilities, target dates</li> </ul>
STEP 6: REVIEW AND UPDATE	TASKS
<ul style="list-style-type: none"> <li>• Review Progress and Update Case Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Constantly update the case plan</li> <li>• Look for successes and reward "tiny" victories</li> <li>• Look for obstacles and barriers and revise case plan accordingly</li> </ul>

**EXERCISE****1.1****Working in Pairs**

Work with someone you don't know.

*Speaker:* You will be responsible for interviewing your partner to discover something personal and one goal for the workshop.

*Listener:* Respond to the interviewer.

*Reverse roles when directed by the trainer.*

# 2



## . THE “SPIRIT” AND PRINCIPLES OF MOTIVATIONAL INTERVIEWING

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DAY 1 AM  
2 HOURS



### Learning Objectives

- Provide a brief introduction to the Principles of Motivational Interviewing
- Explore the nature and dynamics of change to increase understanding of the ways in which we can enhance motivation with resistant clients
- Define “ambivalence”- resistance
- Define “motivation”- importance, confidence, readiness



### Contents of this Section

- 2.1 Understanding Change...
- 2.2 The Spirit of Motivational Interviewing
- 2.3 Understanding Change... “Ambivalence and Resistance”
- 2.4 What is Motivation?

## 2.1 :Understanding Change...

Change is often compared to a long and difficult journey... one filled with self-discovery and unseen and difficult challenges...for many of us change is a process...we do not necessarily succeed the first time we try...

### AN AUTOBIOGRAPHY IN FIVE CHAPTERS

#### CHAPTER 1

I walk down the street.  
There is a deep hole in the sidewalk.  
I fall in.  
I am lost ... I am helpless.  
It isn't my fault.  
It takes forever to find a way out.

#### CHAPTER 2

I walk down the same street.  
There is a deep hole in the sidewalk.  
I pretend I don't see it.  
I fall in again.  
I can't believe I am in the same place.  
But it isn't my fault.  
It still takes a long time to get out.

#### CHAPTER 3

I walk down the same street.  
There is a deep hole in the sidewalk.  
I see it there.  
I fall in ... it's a habit ... but my eyes are open.  
I know where I am.  
It is my fault.  
I get out immediately.

#### CHAPTER 4

I walk down the same street.  
There is a deep hole in the sidewalk.  
I walk around it.

#### CHAPTER 5

I walk down a different street.

-Anonymous

Allen Klein (1989). *The healing power of humour*. (Los Angeles: Archer)

## Myths and Facts About Change

### MYTH #1: Anyone can change if they really want to because...

- It's easy.
- All you really need is willpower, resolve and strength of character.

#### FACT:

- Change is difficult for most people, most of the time.
- MOTIVATION, is fundamental to change rather than a personality trait or characteristic.

### MYTH #2: Change is not possible...

- Nothing works. I know because I've tried everything.
- People don't change.

#### FACT:

- People do make changes, all of the time, many without the assistance of health professionals or programs. Research suggests that people who are successful are MOTIVATED.

### MYTH #3: Punishment is the only way to motivate change

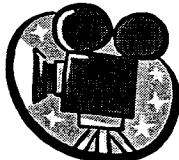
- If we make people feel bad enough, they will change.
- People need to really suffer before they will change.

#### FACT:

- There is no empirical evidence to support the use of programs that rely on excessive confrontation or that attempt to shame an individual to make lifestyle changes.
- Shame, humiliation and character assassination are not the primary catalysts for change. Rather the individual has to value change intrinsically.

## 2.2 :The Spirit of Motivational Interviewing

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**EXERCISE****2.1 -What's That Style?****Video Presentation (NIC - Role Plays)**

Listen closely to both vignettes. Which do you feel is most effective?

**Large Group Discussion**

Research suggests that how we work with probationers – the style and approach we use – has a significant impact on how well they respond to supervision.

<b>AN EFFECTIVE STYLE IS NOT:</b>	<b>AN EFFECTIVE STYLE IS:</b>
"Confrontational"-	
Blaming	1. Empathic
Hostile	2. Genuine
Demanding	3. Honest
Commanding	4. Supportive
"Wishy-Washy"	5. Trustworthy
Non-Direct	6. Solution-Focused/Hopeful
Non-Specific	7. Fair
Unclear	8. Consistent
"Touchy-Feely"	9. Contingency-Based
Sympathetic	10. Interested
Parenting	11. Non- Argumentative
Friend	12. Non-Judgmental

## What is Motivational Interviewing?

*"People are generally persuaded by reasons which they themselves have discovered, than by those which have come through the minds of others."*

Pascal- 17<sup>th</sup> Century Philosopher

Motivational Interviewing was developed by Miller and Rollnick (1991; 2002) and is defined as a "person-centered, directive method for enhancing intrinsic motivation to change by exploring and resolving ambivalence" p. 25.

### The Spirit of MI:

There is an overall spirit or guiding set of perspectives that underlie Motivational Interviewing.

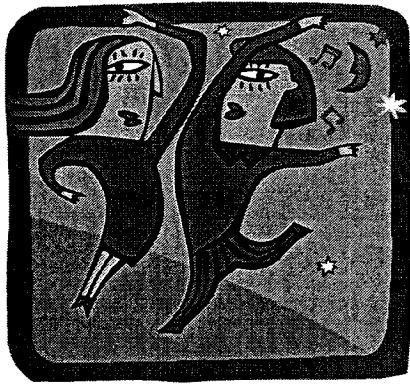
MI is not a technique, but more a style, a facilitative way of being with people.

It is a style that is concerned with avoiding resistance, resolving ambivalence and inducing change.

Rollnick (1999) provided the metaphor of the delicate dance....

*"The practitioner will require all the skill and deftness of a dancer leading a partner through a sequence of movements, simultaneously leading and being led, keenly alert to subtle threats to the synchrony of the partnership, p.75".*

*MI should feel like a smooth dance rather than an altercation.*



## Four Principles of Motivational Interviewing

### Express Empathy<sup>1</sup>

- Acceptance facilitates change.
- Skillful reflective listening is fundamental.
- Seek to understand the probationer's perspective without judging, criticizing or blaming.
- Ambivalence is normal.

### Develop Discrepancy

- The probationer rather than the probation officer should present the arguments for change.
- Change is motivated by a perceived discrepancy between present behavior and important goals or values.

### Roll with Resistance

- Avoid arguing for change.
- Resistance behavior should not be directly opposed.
- New perspectives are invited but not imposed.
- The probationer is the primary resource in finding answers and solutions.
- Resistance behavior is a signal to respond differently.

### Support Self-Efficacy

- Belief in the possibility of change is an important motivator.
- The probationer is responsible for choosing and carrying out personal change.
- The probation officer's own belief in the person's ability to change becomes a self-fulfilling prophecy.

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<sup>1</sup> Empathy does not mean that you love, like, approve of, agree with or sympathize with another person. It does mean that you try to understand what the other person is telling you by seeing the situation through their eyes (Thompson and Jenkins, 1993).

## Obstacles to Using Motivational Strategies

**EXERCISE****2.2 • What Can I Do to Persuade You?****Working in Pairs**

Work with someone you do not know.

**Listener:** Talk about the "event" that you do not wish to attend.

**Speaker:** Use any persuasion technique that you can to encourage the listener to change.

### 1. The "RIGHTING REFLEX"

A characteristic that appears to be particularly strong among those who work with other people is the need to fix things or set things right... this is called the RIGHTING REFLEX.

When we try to fix things we are assuming the burden of responsibility for change and run the risk of shutting down communication with the probationer who may or may not be ready to accept our advice.

### 2. The "BIG HAMMER"

A second obstacle is the need by many probation officers to impose the court order versus encouraging the probationer to take responsibility for the court order. The underlying belief is- "this probationer has committed an offense and therefore must comply with what I tell him or her." Fortunately, many do- but what about the probationer who is not engaged- who is resistant? Ask yourself- is there something you can do to increase the probationer's concern about the problem without using the big hammer? How do you make the problem more important to the probationer?

## 2.3 :Understanding Change... “Ambivalence and Resistance”

**EXERCISE****2.3 •Reacting to Change****Working Alone:**

You have just been informed, by management that beginning next month all staff will be required to wear a uniform to work. Uniforms will be provided by your agency. You are required to attend a fitting for the uniform on Monday. The uniform will consist of a purple jumpsuit with a different style used to accommodate changes in weather (e.g., long sleeves in the winter, short sleeves in the summer, etc.).

What is your gut level reaction to this news?

Rate where you are on this continuum from "0" indicating you are strongly opposed to change to "100" which indicates you are ready and willing to accept the change.



My rating is: \_\_\_\_\_

## **EXERCISE**

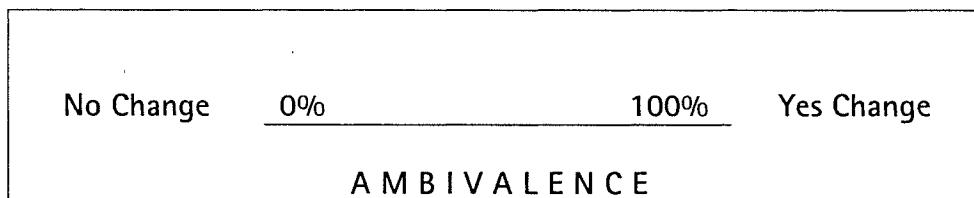
## 2.4 • Exploring Ambivalence

## **Working in Small Groups:**

*Refer back to the previous example and explore the negatives (minuses) and positives (pluses) of management's decision to bring in uniforms for staff. Be as creative as possible in generating your responses.*

- What do you think now?
  - Are your views the same about change?

*Rate where you are on this continuum from "0" indicating you are strongly opposed to change to "100" which indicates you are ready and willing to accept the change.*



My rating is: \_\_\_\_\_

**Ambivalence ...**

*Change is about ambivalence... When making a change, it is not simply a matter of making a "yes" or "no" decision because there are always pros and cons to change. Sometimes the pros outweigh the cons and we begin to move in the right direction. Sometimes the cons outweigh the pros and we get stuck or shift back.*

*If we understand and accept that ambivalence is a NORMAL part of change then we are better prepared to assist others to make changes in their lives...*

*"It's not so much that we are afraid of change or so in love with old ways, but it is that place in between that we fear... It's like being between trapezes...It's Linus when his blanket is in the dryer. He has nothing to hold on to!" ---Marilyn Ferguson.*

**EXERCISE****2.5 •Dealing with Ambivalence – How NOT to do it...****Working in Triads:**

Speaker: Talk about something you feel two ways about. Think of something that elicits a strong emotional reaction from you.

Example: *"I want to stay with my current job, however, there is no room for advancement".*

Lobbyist: Take one side of the argument and argue strongly for that position.

Example: *"I feel strongly that you should stay with your current job... security is important - not advancement..."*

Observer: Observe what happens as the lobbyist argues one side and record all observations. What are your impressions of how the speaker is feeling, how s/he is reacting, and the position that the speaker takes?

## Dealing with Ambivalence

*Ambivalence is like a "balloon filled with water". When you press on one side the other side expands.*

*It is the same when you "tell someone" that they **SHOULD** change or argue only one side of the ambivalence. When you argue in favor of one position, the probationer will often take the other position.*

*By exploring ambivalence, both you and the probationer will have a better understanding of the pros and cons for change. You will know the reasons for change (*incentives*) and the obstacles (*disincentives*) for change.*

Your behavior (i.e., as a probation officer) strongly influences resistance, which in turn is an excellent predictor of outcome.

- *How* you interact with the probationer impacts on the change process.
- What you model impacts on the change process.
- What you say and *do impacts on the change process.*

You can influence change if you understand the importance of "ambivalence" and are willing to explore it. Rather than labeling the probationer as resistant- begin to view "resistant behaviors" as a signal to try something different.

Resistance was a term coined to describe a set of behaviors. Because resistance describes behavior and is not an "underlying character pathology" – we can help to change those behaviors.

**EXERCISE****2.6 •Understanding Change... “Resistance Behavior” - What does it look?**

Compile a list of verbal and non-verbal indicators that signal the probationer is “resisting” change.

***Resistance Revisited* (De Shazer, 1999)**

"A funny thing happens to concepts over time. No matter how useful any concept may be at the start, eventually they all seem to become reified. Instead of remaining explanatory metaphors, they become facts. That is, rather than saying, "it is as if the client is resisting change," once reified, people begin to say things like "the client is resisting" and eventually they begin to say that "resistance exists and must be sought out" [p. 228].

Resistance behavior is like a signal to alert you that the probationer is no longer with you... When you notice the probationer is resisting change – then you have a clear signal that what you are doing is NOT working and that you should try something different...

*"If you always do what you've always done, you'll always get what you've always got."* --Paul Batalden

## 2.4 :What is Motivation?

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*Change is the constant, the signal for rebirth, the egg of the phoenix.*

-Christina Baldwin, One to One (1997).

**EXERCISE**

### 2.7 •Identifying Wants

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**Individual Activity:**

Take a few minutes and reflect on your personal and professional life. Brainstorm a list of wants--- things that you would like to change; have more of; have less of; things that you want right now or things you will want as you get older.

1. Brainstorm at least 5 wants and write down each want on a separate post-it note.
2. Ask yourself what you will have to do differently to get what you want. Write down a behavior beside each want that will help you move closer to that want.

**EXERCISE**

### 2.8 •Prioritizing Wants

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**Individual Activity:**

Now that you have a list of "wants", organize the post-it-notes in a column. Prioritize your "wants" by putting the TOP WANT at the top, and then the next second, etc.

How did you make the decision regarding the TOP WANT?

According to Miller and Rollnick (2002) *motivation* has three critical components: readiness, willingness and ability.

**Readiness: A matter of priorities**

- Motivation is often a matter of priorities.

*Reflect for a moment on the probationer who continually tells you that she would like to move back home. She realizes that she will have to follow her parent's rules such as going to school, staying clear of her old friends, and coming home on time. She is willing to do most of this but recently she has become involved with one of the guys that she is forbidden to see. She can't believe he is interested in her and feels very fortunate that he cares.*

**Importance: The value we attach to change**

- The extent to which the individual values change will have a direct impact on his or her willingness to address a problem or concern.
- Willingness or importance increase when there is a "discrepancy between what is happening at present and what one wants or values for the future...p. 10)".

*Reflect for a moment on the probationer who informs you that he plans to resume using alcohol and drugs as soon as he completes probation. All of the charges faced by this probationer were related to drug use. What is your challenge as a probation officer?*

**Confidence: Belief in the Ability to Change**

- Research consistently shows that people who believe they can change (high confidence- self-efficacy) are more likely to succeed.
- For these individuals change is important. However, how to achieve change can be an obstacle unless confidence in their plan increases.

*Reflect for a moment on Jane. Jane has average academic ability but is reluctant to go back to community college because she does not feel she can pass some of the compulsory courses.*

High levels of motivation suggest that the individual is READY (prioritizes change), feels that change is IMPORTANT, and has CONFIDENCE that she is able to succeed.

**What is Motivation?**

1. Motivation is characterized by AMBIVALENCE and RESISTANCE...it is a state... it is fluid, dynamic, and can change from a commitment directed toward some course of action to a return to old behaviors.
2. Motivation is NOT a trait... it is not a defining personality characteristic.
3. Motivation is complex- and to be successful the individual must believe that the change is important, have confidence he or she can be successful and be ready to work on the change in the immediate future.

*Motivation- importance, confidence, readiness are intrinsic... they are unique to the individual. HOWEVER, we as practitioners can influence others to change by exploring importance and building confidence...*

# 3

## : ASSESSING MOTIVATION

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**DAY 1/PM  
1 HOUR**



### **Learning Objectives**

- Increase understanding of the importance of assessment
- Explore various methods to assess motivation



### **Contents of this Section**

- 3.1 Assessing Motivation: The Transtheoretical Model of Change
- 3.2 Assessing Importance and Confidence

**3.1****: Assessing Motivation: The Transtheoretical Model of Change**

How important is it to assess readiness for change in our probationers? Miller and Rollnick (2001) suggest that assessment is integral to the application of stage-matched intervention. By constantly exploring and assessing motivation the practitioner can apply interventions in an intentional way to elicit self-change talk and behavioral change.

**Methods to Assess Motivation:****The Transtheoretical Model of Change (James Prochaska and colleagues)**

- *Change is predictable.*
- *Change is a process that moves through well-defined stages.*

Pre-Contemplation

Contemplation

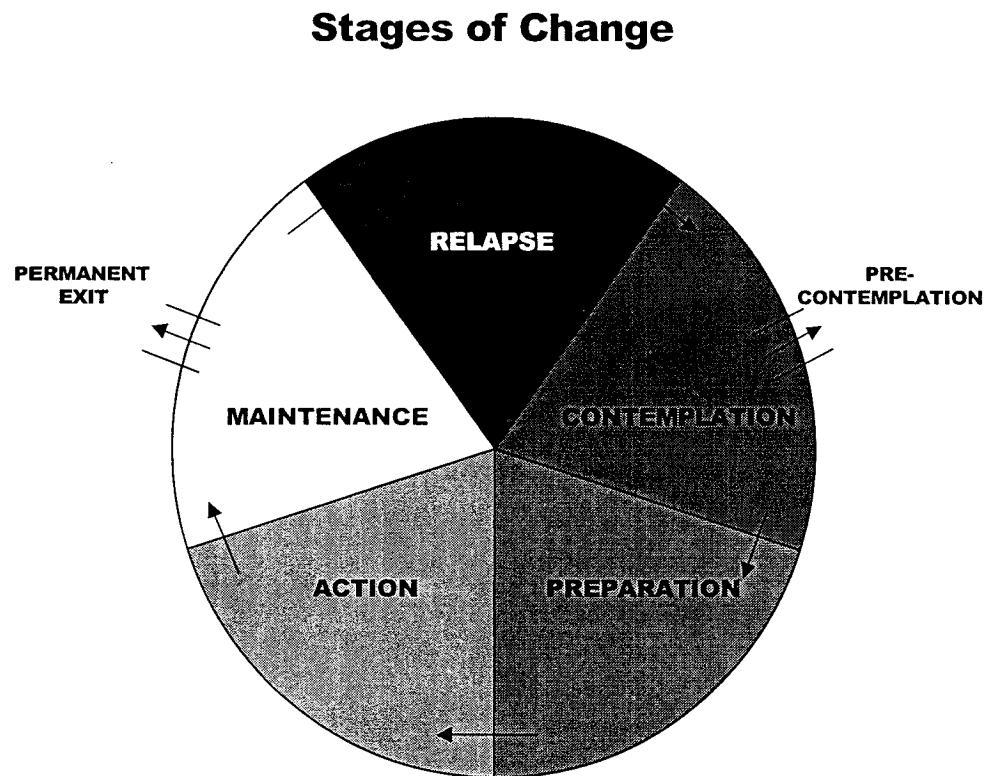
Preparation

Action

Maintenance

Relapse

- *People enter the system at different stages of readiness.*
- *People need to go through each stage. They cannot skip stages.*
- *Each stage does not inevitably lead to the next.*
- *It is possible to become stuck at one stage.*
- *Relapse is a normal part of the change process.*
- *You can help to influence movement from one stage to the next by applying strategies that are effective at each stage...*



Prochaska and DiClemente's "six stages of change". Taken from: Miller and Rollnick (1991), "Motivational Interviewing", Guilford Press.

## Stages of Change: What to Listen and Look For...

### PHASE I

STAGE	THOUGHTS	FEELINGS	BEHAVIORS
<b>PRE-CONTEMPLATION:</b> <i>Not willing to make a change...</i>	"There is no point, I've tried and can't", "I don't see any problem", "So I ---, big deal" "everyone does the same thing". "I'm just not willing to change." "I don't see the need for change."	Indifferent, sometimes surprised when told about their behavior, complacent, defensive, antagonistic	Not considering any change, doesn't recognize any problem, persists in behavior even if suffering negative consequences
<b>CONTemplation:</b> <i>Uncertain about change.</i> <i>Ambivalent ...</i>	"Maybe there is a problem, <i>but</i> it's not all my fault", "I guess I should do something <i>because</i> if I don't ...", "Sometimes it's bad, <i>but</i> I can handle it." "I'll try <i>but</i> I'm not sure I can do it."	Irresolute, wavering, hesitant, double-minded, half-hearted, undecided, unsettled, un-certain	Fluctuate, may retract their commitment, debate the issue, compromise

**PHASE II**

STAGE	THOUGHTS	FEELINGS	BEHAVIORS
<b>PREPARATION:</b> <i>Ready to make a change sometime soon. Committed.</i>	"I can't keep on this way", "Something's got to change", "It's time", "I'll try" "What should I do?"	Resolved, committed, determined, willing, compliant, decided, sincere, earnest	Takes control\ responsibility, openly talks about how bad things really are, seeks advice\ information, may have already made some small changes
<b>ACTION</b> <i>Doing something different...</i>	"Why didn't I do this before?", "This is hard, but things are finally getting better", "This is working", "others are noticing improvement"	Enthusiastic, reflective, attentive, active, energetic, excited, intense, healthy, wholesome, invigorated, optimistic	Doing something different. Engaged in treatment, learning and practicing skills, trying out new ways, accepting advice.
<b>MAINTENANCE</b> <i>Hanging on to change....</i>	"I worked hard for this <i>I don't want to let it go</i> ", "I have to <i>keep working</i> at this", "It was a bit harder than I thought, but I know what I <i>need to do</i> " "If I do that I'll be right back where I started" " <i>Don't give up now</i> "	Accomplished, capable, steadfast, confident, assertive, proud, in control, persistent, courageous, undaunted, steady, solid	Avoid old habits, recognize successes, watch for trouble, learn more about skills, repeated practice, build support, learn to apply skills in more and various situations.

**STAGES OF CHANGE: WHAT TO LISTEN AND LOOK FOR...**

<b>RELAPSE</b> <i>Return to old behavior...</i>	"This is too hard", "I can't keep doing this", "I've got it beat, I don't have to do all that stuff", "I can take some chances"	Guilty, tired, helpless, defeated	Falls back into old habits, stops using skills, avoids support group, half hearted attempts. Excuses and justifications return.
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**EXERCISE****3.1 • Can you Determine the Stage?****Individual Activity:**

Below, you will find a series of statements made by probationers. Identify the "stage of change". Use the following as your Key: Pre-Contemplation = "PC"; Contemplation = "C"; Preparation "PR"; Action = "A"; Maintenance = "M".

STAGES OF CHANGE		
1	I really don't need a program to help me manage anger. I only get angry when people try to push me around and I can control my temper if I want to!	
2	For the last six months I've been doing better. My wife has noticed that I listen more. She's happy and I'm happy. This was the right thing for me.	
3	I really don't want to end up back in detention, but I'm not sure that talking to some counselor is going to help me.	
4	I'm working on controlling my anger. I know I'm going to need as much help as possible.	
5	When I ended up on probation the last time, I swore I would never get into trouble again. I guess it's time to start making some changes in my life or I'll be back.	
6	I have been using the stuff that I learned in group so that I don't get so angry and uptight. I haven't blown-up for over a month. Think I'll keep this up.	
7	People are always on my case to do something with my life. But, I know what I have to do to stay out of here. I can take care of myself- I just have to stay clear of my old friends.	
8	If everyone would just stay off my back – everything would be fine.	
9	Everyone I know smokes a little pot once in a while. It's not a big deal.	
10	I've finished the anger program and now I'm going into a substance program. I've learned a lot and like the people I've met. I think I'm doing well.	
11	I'm getting out of here in three weeks and have enrolled in a GED program.	
12	The only people I know who don't drink at parties are the kind of people who would never get invited anyway. Just because I made one stupid mistake doesn't mean I've got a problem.	
13	My probation officer is telling me that he wants me to participate in drug and alcohol counseling. I'm worried about going but I want things to be different.	
14	No one got hurt- so what's the big deal.	
15	Almost everyone I know – does something that is illegal. That's life.	

**EXERCISE****3.2 • Where Am I Now?****Working Alone**

- We have just discovered that...
- Are you willing to change this behavior?
- Which group are you in?
  1. Not willing to make a change
  2. Unsure about making a change
  3. Ready to make a change sometime soon
  4. Doing something different

## 3.2 :Assessing Motivation: Importance and Confidence

Earlier we defined motivation as readiness (ready) importance (willing) and confidence (able). In section 3.1 you used the Stages of Change to assess readiness. You can also assess motivation using scaling techniques like those demonstrated below.

## **EXERCISE**

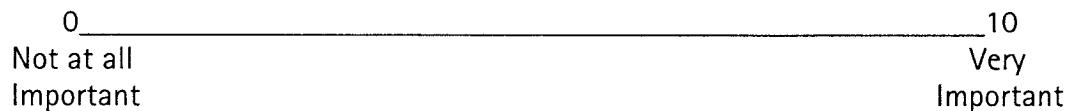
### **3.3 Assessing Importance and Confidence**

## **Working Alone**

## **Assessing Importance**

Review the want that you prioritized earlier and ask yourself the following:

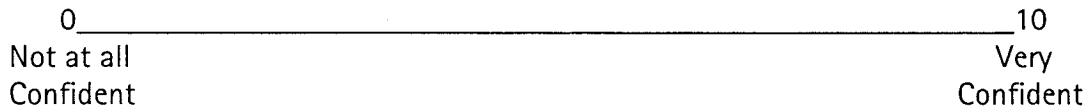
How do you feel at the moment about [the "change"]? How important is it to you personally to [make the changes necessary to achieve the "want"]? If 0 was "not at all important" and 10 was "very important" what number would you give yourself?



***Would your rating change if the trainer picked the priority target?***

## **Assessing Confidence:**

If you decided right now to - [change], how confident do you feel about succeeding with this? If 0 stands for "not at all confident" and 10 stands for "very confident" what number would you give yourself?



*Motivation is DYNAMIC and therefore it is critical to constantly assess readiness, importance, and confidence. Remember- resistance is a signal to you to try something different. As a first step, assess motivation.*

**4****STAGE MATCHED MOTIVATIONAL STRATEGIES****DAY 1 PM**  
**2.5 HOURS****Learning Objectives**

- Introduce stage-matched strategies
- Focus on intentional- motivational interviewing
- Introduce the micro-skills
- Explore and practice brief interventions strategies

**Contents of this Section**

- 4.1 Stage Matched Strategies
- 4.2 The Decisional Balance Exercise

## 4.1 :Stage Matched Strategies

After you have assessed motivation you can proceed to use the following template to apply stage-matched interventions.

<b>PHASE I</b>	
<b>PRE-CONTEMPLATION</b>	<ul style="list-style-type: none"> <li>▪ Raise doubt</li> <li>▪ Increase the probationer's perceptions of risks and problems with current behavior</li> </ul>
<b>CONTEMPLATION</b>	<ul style="list-style-type: none"> <li>▪ "Tip" the balance...evoke reasons to change, risks of not changing.</li> <li>▪ Why change...what will happen if you don't?</li> </ul>

You will know when the probationer is entering Phase II when they recognize they have a problem and when they express concern about the problem. Your goal in Phase II is to increase commitment, confidence.

<b>PHASE II</b>	
<b>PREPARATION</b>	<ul style="list-style-type: none"> <li>▪ Help the probationer to determine the best course of action to take in seeking change</li> <li>▪ Increase the chances of success by focusing on what the probationer believes is possible</li> </ul>
<b>ACTION</b>	<ul style="list-style-type: none"> <li>▪ Help the probationer take steps toward change</li> <li>▪ Work on barriers and obstacles to change</li> </ul>
<b>MAINTENANCE</b>	<ul style="list-style-type: none"> <li>▪ Help the probationer to identify and use strategies to prevent relapse</li> </ul>

**Phase I Strategies: The Basics and Essentials**

*When intervening with probationers in the pre-contemplation and contemplation stages, our goal is to move towards commitment to change.*

**Essentials:**

- I. Open-ended questions
- II. Affirmations
- III. Reflective listening
- IV. Summarizing

The first letter of the four-micro skills correspond to the acronym OARS...

- V. Elicit self-motivational statements:

**I OPEN- ENDED QUESTIONS**

One method of building motivation is to use a style of questioning that is quiet and curious. Ask questions that cannot easily be answered with a brief reply, and that encourage offenders to do most of the talking.

*Your role is to encourage the offender to express concern about the problem and to recognize and explore the problem.*

**Open vs. Closed**

- Open questions generally begin with:
  - ✓ What
  - ✓ How
  - ✓ Tell me about ...
- Questions To AVOID... WHY?

**EXERCISE****41 • Solve the Riddle- 20 Questions****Large Group Activity**

You have "20" questions to solve the riddle.

**EXERCISE****4.2 • Asking Questions****Small Group Activity**

*Review the following information for LEWIS SMITH.*

Age: 39

Criminal History: DUI x 2/Assault and Battery

Family: Married with 2 children

Work: Full time construction for 2 years

Substance Use: Daily drinker with a history of cocaine use

*Part I: Working in pairs play the following roles:*

Lewis Smith: Use the information above to play the role of Lewis Smith. Respond to questions in a natural way.

Interviewer: Use closed questions to elicit information with respect this offender's motivation to change.

*Part II: Continue in the small roles. Interviewer should now ask open-questions.*

**EXERCISE****4.3 • Questions**

<b>OPEN</b>	<b>CLOSED</b>	<b>IS IT AN OPEN OR CLOSED QUESTION?</b>
		1. What do you like about marijuana?
		2. Where did you grow up?
		3. What do you want to do about your drinking: Quit, cut down, or stay the same?
		4. Are you willing to join the group?
		5. What brings you here today?
		6. Do you want to stay in this relationship?
		7. Have you ever thought about walking as a simple form of relaxation?
		8. Is it important to have meaning in your life?
		9. In the past, how have you overcome other obstacles in your life?
		10. Are you willing to try this for a week?
		11. In what ways is your anger a problem for you?
		12. Do you care about your family?
		13. What are the most important reasons why you want to manage your emotions?
		14. What do you want to set as your quit date?
		15. Is this an open question?

## II. AFFIRMATIONS

Another method that can be used to elicit offender motivation is to provide statements that support, encourage, reinforce and acknowledge appropriate attempts made by the offender.

- Though the easiest, this strategy is often the most neglected.
- When working with offenders, it is critical to be clear about what you are affirming. Think of what it is that you approve of and very clearly and concisely tell the offender.

Correctional Practitioner: "*I can appreciate how difficult it must be to answer all of these questions and I am really impressed with how open you have been.*"

*"We think we listen, but rarely do we listen with real understanding, true empathy. Yet listening, of this very special kind, is one of the most potent forces for change that I know."*

*Carl Rogers*

### III. REFLECTIVE LISTENING

#### EXERCISE

#### 4.4 • Listening to the Message

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##### Working in Triads

**Speaker:** Select a topic that you would like to talk about from the list below or choose your own topic:

- Things that people do that bother you most
- Important qualities in a friend
- The US response to terrorism
- Attitude toward the war on drugs

You will be given approximately 1 minute to talk about the topic of your choice. Talk to the interviewer and continue to talk until you are told to stop.

**Interviewer:** Listen closely to what the speaker says. After the speaker is asked to stop talking you will be given 15 seconds to summarize what they have said.

**Observer:** Closely monitor the discussion so that you can provide feedback to the speaker and interviewer. Let the discussion continue for one minute and then ask the pair to stop. Ask the interviewer to repeat what the speaker has just said using the same words and inflections as much as possible. Conduct the following discussion:

1. Ask the speaker if the interviewer's repetition was accurate and if not, in what way it was inaccurate: Different words? Different meanings? Different inflection of voice?
2. Ask the interviewer if he or she agrees with the feedback. If not, where is the disagreement?
3. Offer feedback to both the speaker and interviewer.

Reflective listening is one of the most powerful strategies to demonstrate to the offender that you are concerned and interested in what they are telling you. It is an essential tool used to build empathy and rapport. It is used to defuse defensiveness and to enhance motivation.

Reflective listening involves making statements designed to show that you understand the meaning of what the person is saying. By using reflective statements, as opposed to questions, you encourage the offender to continue talking and expressing his or her view and feelings. Reflective listening is the foundation on which other skills are built. These statements can also be used as a safe fall back while building rapport, particularly when you feel stuck.

While there are numerous listening tips – overall, good listeners have the following characteristics. They:

- Assume the burden of communication.
- Keep an open mind during the communication.
- Attend to the non-verbal and verbal messages communicated by the offender.

### **Thinking Reflectively**

There is a way of thinking that accompanies good reflective listening. It includes interest in what the person has to say and respect for the person's inner wisdom. This does not imply that you have to agree with what the person is saying. Rather, it is critical to attempt to understand the "GIST," the real meaning, of what the person is communicating.

A key element of reflective listening is hypothesis testing. Remember, what you think a person means may NOT be what they really mean.

A good reflective response tests a hypothesis, it asks, in a way:

- *"Is this what you mean?"*
- *Reflective statements often start with the following...*
- *"So you feel..."*
- *"It sounds like you..."*
- *"You're wondering if..."*

## Types of Reflective Statements

There are many different types of reflective statements. They move from simple to deeper forms.

### Repetition

This is the simplest form of reflection. Simply repeat a word or part of what was said. Do not add anything new.

### Rephrase

Stay close to what the person is saying by taking some part of what the person says and substituting this with a synonym or slight rephrase in your vocabulary. Here you are adding to and building on what was said. For example:

Offender: *"I really hate my job. Everyone is always on my case to do this and get that done..."*

Correctional Practitioner: *"You feel like everyone is demanding a lot from you..."*

If you are correct, they will continue to talk and explore; if you are incorrect, they will say "no" and then it is up to you to start to clarify.

### Paraphrase

This is a major statement in which you are inferring or drawing together the meaning in what they are saying and reflecting it back to the offender in different words. You are adding something to it. The goal of paraphrasing is to get the offender to explore and clarify issues.

Offender: *"I really hate my job. Everyone is always on my case to do this and get that done..."*

Correctional Practitioner: *"Sounds like the pressure is too much for you right now."*

### Reflection of Feeling

This is the deepest form of reflection. It is a paraphrase that emphasizes the emotional dimension of the message.

Offender: *"I really hate my job. Everyone is always on my case to do this and get that done..."*

Correctional Practitioner: *"Sounds like you are really frustrated right now."*

**EXERCISE****4.5 • Reflective Listening**

For each of the sample statements below generate a rephrase and a paraphrase.

**Case Example #1:**

Jim is 25 years of age and was recently charged with assault following an altercation with a neighbor. The neighbor accused Jim of letting his dog run loose on his property. The dog destroyed part of the neighbor's garden while digging for a bone. When confronted by the neighbor, Jim became abusive and threatening. The verbal abuse escalated to physical violence. The neighbor ended up in the hospital with a broken nose and collar-bone. This is Jim's first contact with a probation officer.

*"My neighbor started the whole fight. He actually accused me of deliberately training my dog to dig up his garden. I can't control everything my dog does... but then he threatened to poison my dog and that was it."*

**Rephrase:**

**Paraphrase:**

**Case Example #2:**

Sarah is 33 years of age and has three small children. She has recently been charged with shoplifting and possession of stolen property. She has had no previous contact with the criminal justice system however, openly admitted that this was not the first time that she has shoplifted.

*"I know that it's not right to steal and I really don't want to get into trouble again but it's really hard not too when other families have all this great stuff for their kids - and my kids have nothing."*

**Rephrase:**

**Paraphrase:**

**Case Example #3:**

Nelia is 26 years of age and has several convictions including possession of narcotics, two assaults and failure to comply with probation. She has been in a drug and alcohol program for the last three months and is extremely frustrated because she was recently informed she is expected to complete an anger management program as a condition of her probation order.

*"I can't believe this. They tell me I have to go through this stupid alcohol and drug program. So I stick it out for three months and now they want me to do something else. It's not fair-they promised me if I did the drug and alcohol counseling then I would not have to report so often".*

**Rephrase:**

**Paraphrase:**

**EXERCISE****4.6 • Practice with Reflections****Small Group Activity**

*Recall the information for LEWIS SMITH presented earlier.*

Age: 39

Criminal History: DUI x 2/Assault and Battery

Family: Married with 2 children

Work: Full time construction for 2 years

Substance Use: Daily drinker with a history of cocaine use

*Working in pairs play the following roles:*

Lewis Smith: Use the information above to play the role of Lewis Smith. Respond to questions in a natural way.

Interviewer: Use primarily reflections to elicit information with respect this offender's motivation to change.

#### IV. SUMMARIZE

Summarizing is a special application of reflective listening which link together discussed material, demonstrate careful listening and prepare the offender to move on.

A *Transitional Summary* usually has three parts: (1) the pros, (2) the cons, and (3) an invitation to continue ... "what else?". These summaries can be especially helpful in expressing a offender's ambivalence around an issue. It is one way to allow the person to examine the positives and negatives *simultaneously*, acknowledging both are present. The following linking phrases can be useful.

*"On the one hand ..."*

*"On the other hand ..."*

*"At the same time ..."*

1. A major summary is the one that comes at the end of a meeting or a significant content unit and may be more formal. For example, use this strategy during the risk/need assessment after each category is reviewed.

It may begin with a statement indicating that the correctional practitioner is attempting to summarize (though not always necessary).

*For example:*

*"Let me see if I understand what you've told me so far ..."*

*"Okay, here's what I've heard so far. Listen and tell me if I've missed anything important ..."*

2. Special attention should be given to include all of the offender's statements that suggest recognition that there is a problem, express concern about the problem, reasons for change, and optimism about change (which will be termed "change talk").

*For example:*

*"So far, you've mentioned to me that work is really frustrating for you and that people are always pushing you to do things. You also said that one of the reasons people get on your case is because you can't do the overtime that they would like you to do. Is that right?"*

3. If an offender has expressed ambivalence, it is useful to capture both sides of the ambivalence in the summary statement. (This is also referred to as a Double-sided Reflection).

*For example:*

*"So it sounds like on the one hand you would really like to get people off your back at work. You seem really interested in keeping the job because it pays well. On the other hand, to do this you would have to be willing to work overtime and that takes you away from your family and would mean spending less time with your friends.*

4. It is legitimate, particularly in a transitional summary, to include information that is available from sources other than the offender (e.g., from courts, family, etc.).
5. Don't ramble on – make your summary concise.
6. End with an invitation for the offender to respond, such as;

*"How did I do?"*

*"What have I missed?"*

*"So if that is a fair summary, what other points are there to consider?"*

*"Is there anything there you want to correct or add to?"*

## V: METHODS AND TECHNIQUES TO ELICIT SELF-MOTIVATIONAL STATEMENTS...

### ⦿ Evocative Questions

This is a very direct approach using open-ended questions to explore the probationer's own perceptions about concerns.

Miller and Rollnick (2002) provide the following examples of evocative questions that fall into four general categories:

#### **DISADVANTAGES OF THE STATUS QUO**

What worries you about your current situation?  
What makes you think that you need to do something about your [problem]?  
What difficulties or hassles have you had in relation to your [problem]?  
What is there about your [behavior] that you or other people might see as reasons for concern?  
In what ways does this concern you?  
How has this stopped you from doing what you want to do in life?  
What do you think will happen if you don't change anything?

#### **ADVANTAGES OF CHANGE**

How would you like for things to be different?  
What would be the good things about changing?  
What would you like your life to be like 5 years from now?  
If you could make this change immediately, by magic, how might things be better for you?  
What are the main reasons you see for making a change?  
What would be the advantages (pluses) of making a change?

#### **OPTIMISM ABOUT CHANGE**

What makes you think that if you decide to make a change, you could do it?  
What encourages you that you can change if you want to?  
What do you think would work for you, if you decided to change?  
When else in your life have you made a significant change like this? How did you do it?  
How confident are you that you can make this change?  
What personal strengths do you have that will help you succeed?  
Who could offer you helpful support in making this change?

**INTENTION TO CHANGE**

What are you thinking about your involvement with the courts?  
I can see that you're feeling stuck at the moment. What's going to have to change?  
What do you think you might do?  
How important is this to you? How much do you want this?  
What would you be willing to try?  
So what do you intend to do?

**EXERCISE****4.7 • Evocative Questions****Small Group Activity**

*Recall the information for LEWIS SMITH presented earlier.*

Age: 39

Criminal History: DUI x 2/Assault and Battery

Family: Married with 2 children

Work: Full time construction for 2 years

Substance Use: Daily drinker with a history of cocaine use

NOTE: You are meeting with Lewis because he is missing his treatment group and believes he does not have a problem with alcohol.

*Working in pairs play the following roles:*

Lewis Smith: Use the information above to play the role of Lewis Smith. Respond to questions in a natural way.

Probation Officer: Try the various evocative questions that are presented above. Is he able to identify any benefits of attending the program? Has he expressed any concerns about using alcohol? Do you think he has shifted from pre-contemplation to contemplation?

### ⌚ Elaboration

Once a motivational topic has been raised it is helpful to ask the probationer to elaborate on the problem... This will reinforce the theme and elicit further self-motivational statements. The best way to do this is to ask for examples and clarification as to why and how much and in what way each is a concern. A useful tool is the *Typical Day Technique*.

### ⌚ Scaling Questions

Earlier we introduced you to the scaling method to assess importance and confidence. On a scale of 1 – 10, with 10 being very important and 1 being not so important how do you feel about change?

### ⌚ Using Extremes

Asking the probationer to explore the worse case scenario – asking the probationer to describe/imagine the worst consequences.

### ⌚ Looking Back

Asking the probationer to remember times before the problem emerged, and to compare these with the present situation.

### ⌚ Looking Forward

Similar to "Looking Back", this strategy encourages the probationer to project into a hypothetical future. It helps the probationer to envision what the future (e.g., 1- 5 years from now) would look like if no change is made and if a change is made. It also helps the probationer to explore his or her "hopes" for the future.

### ⌚ Looking for Exceptions

This strategy is designed to assist the probationer to explore existing strengths. Ask him or her to recall a time when things were different – when the [behavior or problem] wasn't there and to tell you (1) what was different and (2) what he or she was doing differently. Ensure that the probationer identifies at least some things that he or she did to make the situation different.

### ⌚ Exploring Goals

This is a powerful tool for evoking self-motivational statements and change. With this approach you ask the probationer to tell you what things are most important in his or her life, what values or goals does this person hold most dear. The purpose of this exploration is to discover ways in which the problem behavior is inconsistent with or undermines important values and goals for the probationer. In other words you are looking for discrepancies in what the person values and what the person actually does.

This tool is about exploration and is designed to assist the probationer to increase recognition of the problem.

### ⌚ Decisional Balance

A helpful way to encourage probationers to discuss the positive and negative aspects of their present behavior is the decisional balance. They may be asked to discuss what they like about continuing the [problem behavior] and to list what they don't like about it.

This has the advantage of getting the probationer talking and feeling comfortable as well as clarifying both sides of ambivalence. A brief intervention strategy for this is the "Good Things and Not So Good Things" and Balance Sheet exercises.

DECIDING NOT TO CHANGE BENEFITS (+)		DECIDING TO CHANGE COSTS (-)	
BENEFITS (+)	COSTS (-)	COSTS (-)	BENEFITS (+)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## 4.2 :The Decisional Balance Exercise

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**EXERCISE****4.8 •Complete the Decisional Balance**

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**Work in pairs with someone you do NOT know:**

- **Speaker:** Refer back to the WANT you prioritized earlier. Note the behavior you will have to change to achieve that want and write it on top of the decisional balance. The interviewer will help you to complete the decisional balance.
- **Interviewer:** Assist your partner to complete the decisional balance using as many of the essential skills reviewed previously. Remember to elicit the information from your partner. Do NOT tell them what you believe to be the pros and cons.
- After completing the decisional balance provide a summary the major costs and benefits (disincentives and incentives) for change.
- Assess level of importance and confidence.

*Reverse roles when the decisional balance has been completed.*

## **Decisional Balance**

Name: \_\_\_\_\_

Date: \_\_\_\_\_

**Target Area:** \_\_\_\_\_

### Decisional Balance

<b>STAY THE SAME</b>	<p>1. Benefits of current BEHAVIOR.  <i>"What do you like about _____?"</i>  <i>"And what else?"</i></p>	<p>2. Concerns about BEHAVIOR.  <i>"What, if anything, concerns you about the _____ (problem)?"</i> "Does anyone else have any concerns about _____?"</p>
<b>CHANGE</b>	<p>3. Concerns about CHANGE.  <i>"Do you have any concerns if you were to _____?"</i> "What effects would _____ have on you?" "What questions do you have if you were to _____?"</p>	<p>4. Benefits of CHANGING.  <i>"How do you think the _____ (problem) would improve if you were to _____?"</i>  <i>"In what way would you benefit from _____?"</i></p>

# 5

## APPLYING MOTIVATIONAL INTERVIEWING: EFFECTIVE CASE WORK

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DAY TWO AM  
3 HOURS

DAY TWO PM  
2 HOURS



### Learning Objective

- Explore the 6-Step Model to Build a Case Plan



### Contents of this Section

- 5.1 Developing an Effective Case Plan
- 5.2 Step 1: Case Analysis (1.5 hours)
- 5.3 Step 2: Feedback (1 hour)
- 5.4 Step 3: Prioritize
- 5.5 Step 4: Assess Motivation
- 5.6 Step 5: Focusing
- 5.7 Step 6: Review and Update

## 5.1 :Developing an Effective Case Plan

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In this segment we will begin to apply the principles and practices of Motivational Interviewing when working to build a Case Plan. Recall that the "spirit" of MI requires collaboration. This means that the practitioner should work intentionally to elicit self-change talk and to give the offender responsibility for change.

### **6-Steps to Develop and Implement an Effective Case Plan:**

#### **STEP 1: Conduct a Case Analysis**

1. Review file information.
2. Conduct a risk/needs assessment.
3. Complete the case analysis worksheet.

#### **STEP 2: Feedback (review the highlights of the Case Analysis with the probationer)**

1. Begin by placing the wheel in front of the probationer.
2. Focus on strengths by moving from one domain to the next.
3. Focus on the Priority Dynamic Risk Factors-
  - Review Top "3" Risk Factor Domains.
  - Clearly specify the "challenges" identified during the assessment.

#### **STEP 3: Prioritize (Specify a Problem Behavior)**

- Review the priority targets and ask the probationer to identify the domain or target that concerns him or her most.
- Clearly define the problem behavior by reviewing the results of the risk/need assessment or conducting a situational analysis.

#### **STEP 4: Assess and Explore Motivation**

- Assess Importance, Confidence, Readiness
- Complete a decisional balance

**STEP 5: Focus**

- List each of the long-term case work goals
- Identify the incentives and barriers to completing each goal
- Establish objectives and actions steps

**STEP 6: Review and Update**

- Constantly update the case plan
- Look for successes and reinforce "tiny" victories
- Look for obstacles and barriers- rewrite goals and action steps

## 5.2 : Step 1: Case Analysis

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In this segment we will focus on one task that should be completed as part of the assessment phase. Most officers integrate large volumes of information automatically. The Case Analysis Worksheet is a tool that was designed to break down this process into small steps in order to demonstrate the complexity of this task.

**EXERCISE****5.1 • Review the John Smith Case**

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**Working Alone:**

- Review the case notes and assessment results for John Smith in Appendix A.
- Highlight the major risk factors, protective factors and any comments that provide insight to the offender's motivation toward change...

**EXERCISE****5.2 • The Case Analysis Worksheet**

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**Demonstration:**

- Observe as the trainer models how to complete the case analysis worksheet.

## Case Analysis Worksheet

The Case Analysis Worksheet is a tool that you can use to summarize information from the case file and assessment results.

### How Do You Use The Tool?

**Step 1:** Consider information gathered for each of the identified domains. Transfer information from the file and any assessment results to rate the level of risk across each domain.

Define each of the domains that are rated as medium to high risk. Ask yourself- "What is it about this factor that contributes to risk?" For example, if the offender has a history of employment problems then specify why and/or what will have to change (e.g., develop job search skills, develop job retention skills, vocational assessment needed, etc.).

Identify protective factors or strengths across each domain. Ask yourself- "What strengths/protective factors might serve to mediate or influence the risk factors? Rate the factors as Low, Medium or High. A rating of high would indicate strong potential for mediating risk.

**Step 2:** Offense Cycle: Try to look across the various offenses or problem behaviors and consider if there is a pattern. We would be concerned about violent and aggressive behavior with someone who was in fights at school and continues to have physical encounters leading to charges of assault. At this stage, try to determine the primary offense and/or motivation for the offense. If there is no clear pattern then simple record the current offense in the space provided.

**Step 3:** Pick the top "3" priority targets. Ask yourself which of the risk factors are more likely to contribute to criminal justice involvement. Briefly describe the identified risk factors.

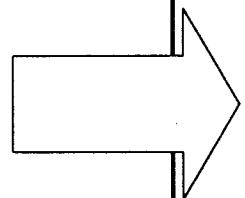
**Step 4:** When possible, assess readiness for change across each domain that is rated as medium to high-risk.

**Step 5:** Identify possible incentives for change for each of the moderate to high-risk categories. Ask yourself- "What potential benefits might the offender perceive in making a change?

<b>MAJOR TARGETS OF INTERVENTION: Rating Guidelines</b>			
	No immediate need for Improvement	Some need for improvement	Considerable need for improvement
Employment Employment has been stable and has played an important role in the offender's life.	Neither employment, under-emp., sporadic emp., or chronic un-employment has interfered with the offender's daily functioning.	Any of the aforementioned has caused minor adjustment difficulties for the offender in the community.	Employment situation has caused serious adjustment problems for the offender in the community.
Marital/Family There is evidence of a very positive relationship and considerable support of parent.	There is evidence of a satisfying and caring relationship within a marriage and/or family has resulted in no current difficulties for the offender in the community.	There is evidence of uncaring, hostility, arguments, fighting or indifference in the marital family relationships and has some impact on the offender's behavior in the community.	There is evidence of abuse and severe dysfunction that could impact on the offender's behavior and the safety of others.
Associates There is evidence of the offender having a positive personal associations and considerable support.	There is evidence that the offender has had mostly non-criminal and/or positive associates.	The offender has had a lack of positive associates and/or some companions in conflict with the law.	The absence of positive associates and/or presence of negative companions has interfered consistently with the offender's performance in the community.
Substance Use There is no evidence that the offender is dependent on alcohol and/or drugs.	The extent, nature and pattern of alcohol and/or drug consumption by the offender while in the comm. have no influence on his/her adjustment (e.g., abstinence, social drinking).	Alcohol and/or drug consumption has caused moderate adjustment problems for the offender in the community.	Substance abuse has caused serious adjustment problems for the offender in the community.
Community Functioning Financial, Use of Free Time and Housing.  The offender has been effectively managing living situation (i.e., accommodation, health, finance, comm. leisure, support).	Knowledge and application of the necessary skills for daily living has not been causing difficulties.	Any of the aforementioned has been causing situational or minor difficulties in the community.	The offender's community functioning has been causing difficulties.
Personal/Emotional No evidence of cognitive deficits or mental health problems.	None of the offender's characteristics or patterns (i.e., self-concept, cognition, behavior, mental ability, and/or mental health) has been interfering with daily functioning in the comm.	Characteristics or patterns of personal/emotional orientation have caused minor interference with the offender's daily functioning in the community.	Any of the aforementioned has seriously interfered with the offender's daily functioning in the community.
Attitude There is evidence of a very positive attitude and considerable involvement in pro-social activities (e.g., work, school, family, treatment and supervision).	The offender's attitudes towards justice, society, property violence and lifestyle have not been interfering with daily functioning in the community.	The offender's attitudes have caused minor interference with daily functioning in the community.	Any of the aforementioned has seriously interfered with the offender's daily functioning in the community.
<i>Overall Needs Rating</i>	<i>Low</i>	<i>Medium</i>	<i>High</i>

### Case Analysis Worksheet

Domain	1. Rating		2. Offense Cycle
	Risk L, M, H	Protective L, M, H	
Employment			
Family Marital			
Associates			
Substance Use		X	
Community Functioning- Financial			
Community Functioning- Use of Free Time			
Community Functioning- Housing			
Emotional/Personal			
Attitudes			



<b>3. Pick the Top "3" Priority Targets</b> <small>Looking across the offense cycle and risk ratings identify "3" targets that you feel are most closely and immediately linked to risk for re-offending.</small>		<b>4. Motivation</b> <small>Specify readiness for change for the "3 Priority Targets".</small>	<b>5. Incentives</b> <small>List any rewards, benefits, carrots expressed by the offender that might serve as an incentive for change. List below:</small>
<b>1</b>	<input type="checkbox"/> Not willing <input type="checkbox"/> Unsure <input type="checkbox"/> Willing <input type="checkbox"/> Making Changes		
<b>Problem Description:</b>			
<b>2</b>	<input type="checkbox"/> Not willing <input type="checkbox"/> Unsure <input type="checkbox"/> Willing <input type="checkbox"/> Making Changes		
<b>Problem Description:</b>			
<b>3</b>	<input type="checkbox"/> Not willing <input type="checkbox"/> Unsure <input type="checkbox"/> Willing <input type="checkbox"/> Making Changes		
<b>Problem Description:</b>			

**EXERCISE****5.3 • Completing the Case Analysis Worksheet**

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**Working in Small Groups:**

- Process the assigned case in your small groups by completing the Case Analysis Worksheet.
- Choose one individual to record the information and to present it to the large group.

## 5.3 :STEP 2: Feedback

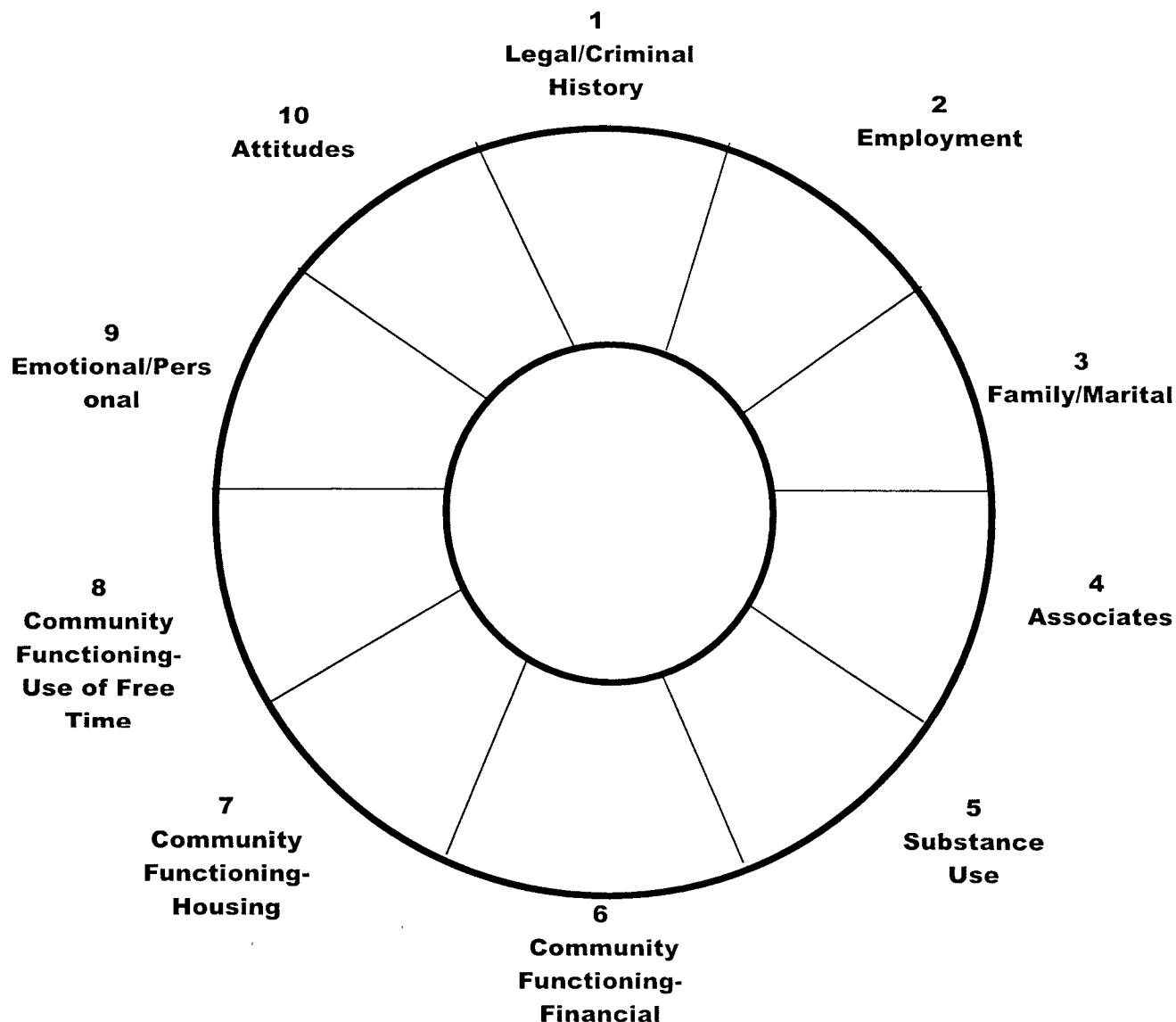
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Feedback should flow naturally from the Case Analysis and requires a summary statement of the major strengths and challenges faced by the offender.

### **How do you use the Feedback Wheel?**

*The Feedback Wheel is a visual tool that you can use to present feedback to the probationer.*

1. Use the Feedback Wheel (attached) to summarize information and provide feedback to the probationer. You can draw this information from the Case Analysis Worksheet.
2. Identify strengths by focusing on protective factors (e.g., positive role models, family/marital relationships, employment skills, talents, interests, etc.).
3. Identify the challenges or priority risk factors in relation to the offenses committed and describe them to the probationer.
4. Summarize the incentives (rewards, carrots, benefits).

**FEEDBACK WHEEL**

**EXERCISE****5.4 • Preparing to Give Feedback****Demonstration:**

Observe the demonstration provided by the trainer. What motivational strategies were used?

**EXERCISE****5.5 • Preparing to Give Feedback****Working in Small Groups with Assigned Case:**

- Take a few minutes to review the case materials and case analysis worksheet for your assigned case.

**Preparing to Give Feedback:**

1. Review the major strengths by focusing on the protective factors. Also summarize any incentives mentioned previously by the probationer.
  
2. Review the major challenges faced by the probationer. Focus on the priority risk areas/priority targets.

**EXERCISE****5.6 · Debrief Feedback**

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**Large Group Discussion**

Be prepared to present the feedback script you prepared to the large group.

## 5.4 :STEP 3: Prioritize

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*This is perhaps the most simple of all motivational strategies and yet it is one that many probation officers and other correctional practitioners fail to use. The technique requires that you ask probationers where they would like to begin... Let the probationer set the agenda – it works!*

- Encourage self-change talk and strengthen the commitment to change by asking the probationer to decide which of the priority targets concerns him or her most.
- Ask the question: "What do you feel is the greatest area of concern for you right now?" "Which of the [priority targets] do you think we should focus on?"
- Ensure that you and the probationer are clear about the priority target. Begin by describing the priority target in behavioral terms so that it is something that is changeable.
- TIP: If you are having difficulty specifying the priority target as a problem behavior then focus on the most recent incidents where the probationer has experienced problems and conduct a situational analysis:
  - When does the problem behavior occur?
  - Where does the problem behavior occur?
  - What does the problem look like? (If we were to watch a videotape of the problem what would we see, hear, etc.?)
  - With whom does the problem occur?
  - What happens as a result of the problem? Consequences (pros and cons) for probationers and others.

**EXERCISE****5.7 • Prioritize****Working Alone:**

Reflect on your assigned case. What priority target do you think the probationer will choose?

## 5.5 :STEP 4: Assess Motivation

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*At this stage we will be assessing motivation and building commitment. Before leaving this stage you and the probationer should have a good understanding of the reason why change is important and the barriers that might interfere with success.*

### If Importance Is Low:

#### Explore Importance

We assume that you and the probationer have agreed on the target behavior and that he or she has expressed an interest in making a change. The primary goal at this time is to strengthen commitment and to clearly specify the behavioral outcomes.

This may appear relatively easy but do not assume because the probationer has agreed to work on a behavior that he or she values making the change. Let's review some of the strategies for increasing importance.

#### Strategies to Increase Importance

1. Do little more (used for extremely low levels of importance)
2. Scaling and evocative questions
3. Explore concerns about the problem (evocative questions)
4. Hypothetical look over the fence (let's imagine for a moment that you did make the change...)
5. Examine the pros and cons (Complete the decisional balance)

#### Sample Questions to Increase Importance

*"What would have to happen for it to become much more important for you to change?"*

*"What would have to happen before you seriously considered changing?"*

*"Why have you given yourself such a high score on importance?"*

*"What would need to happen for your importance score to move up from x to y?"*

*"What stops you from moving up from x to y?"*

*"If you were to change what would it be like?"*

*"What are some good things about [current behavior]? What are some of the worst things?"*

*"What are the things you like about [current behavior]? What are some of the things you dislike?"*

(Rollnick, Mason & Butler, 1999)

**If Confidence Is Low:****Strategies to Increase Confidence**

If the importance rating is high but the confidence rating is low.

1. Do little more
2. Scaling questions ("Why so high?"; "How can you go higher?")
3. Brainstorm solutions
4. Looking for exceptions (past efforts-successes and failures)
5. Reassess confidence

(Rollnick, Mason, and Butler, 1999)

**⌚ Questions To Increase Confidence**

- *"What would make you more confident about making these changes?"*
- *"Why have you given yourself such a high score on confidence?"*
- *"How could you move up higher, so that your score goes from x to y?"*
- *"How can I help you to succeed?"*
- *"Is there anything that you have found helpful in previous attempts to change?"*
- *"What have you learned from the way things went wrong the last time that you tried?"*
- *"If you were to decide to change what might your options be? Are there any ways you know about that have worked for other people?"*
- *"What are some of the practical things that you would need to do to achieve this goal? Do any of them sound achievable?"*
- *"Is there anything you can think of that would help you feel more confident?"*

(Rollnick, Mason & Butler, 1999)

**EXERCISE****5.8 • Assess Motivation**

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**Working in Small Groups:**

Reflect on your assigned case and assume the following roles:

**Offender:** Play the role of the offender for the assigned case.

**Correctional Practitioner(s):** Take turns working with the offender to complete the decisional balance exercise.

**Recorder:** Write down all responses to fill out the decisional balance worksheet.

### Decisional Balance

<b>STAY THE SAME</b>	<p>1. Benefits of current BEHAVIOR.  <i>"What do you like about _____?"</i>  <i>"And what else?"</i></p>	<p>2. Concerns about BEHAVIOR.  <i>"What, if anything, concerns you about the _____ (problem)?"</i> "Does anyone else have any concerns about _____?"</p>
<b>CHANGE</b>	<p>3. Concerns about CHANGE.  <i>"Do you have any concerns if you were to _____?"</i> "What effects would _____ have on you?" "What questions do you have if you were to _____?"</p>	<p>4. Benefits of CHANGING.  <i>"How do you think the _____ (problem) would improve if you were to _____?"</i>  <i>"In what way would you benefit from _____?"</i></p>

## 5.6 :STEP 5 - Focusing

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### The TOP “8” Most Commonly Identified Goals

An audit of probation files – in a State that will remain unnamed... revealed 8 goals that were most commonly identified... What is the problem with these goals?

1. Do Better
2. Stop Doing Crime
3. Stop Drinking and Doing Drugs
4. Get a Job/ Go to School
5. Get a Better Attitude
6. Follow the Rules
7. Comply with the Court Order
8. Stop Spending Time with Old Friends

## Developing a Case Plan

During this step the case plan worksheet is completed with the probationer.

- Start by listing the long-term goals and focus on one. The long-term goals should be linked to the priority targets and stated as a positive outcome. For example, a long-term goal might be to get along with teachers or employers. TIP: Protective factors are the positive outcomes that we hope to achieve when the probationer is no longer experiencing a problem. By focusing on the priority target during Step 2 you can easily identify the long-term goal. Ask the probationer - if the behavior is no longer a risk factor what will it look like?
- The short-term goal should be SMART (small, measurable, attainable, realistic, and timely). TIP: One shortcut to identifying the short-term goal is to very closely examine the problem behavior and determining the greatest barrier to successfully dealing with the problem. Ask the probationer- what would have to be different to overcome the problem?
- To increase confidence it is important to break objectives into small tasks or action steps. Work with the probationer to brainstorm tasks or actions steps that should be completed between meetings. TIP: Brainstorm or list everything that will have to be done in order to successfully achieve the goal and then mutually agree on what should be done first.
- Try to establish the contingencies (incentives and consequences) for completing each task.
- Indicate who will be responsible for completing each task.

Establish a target date for each task that is achievable.

### What is a SMART Goal?

Characteristics:

- Small,
- Measurable,
- Attainable,
- Realistic,
- Timely.

When developing a goal you should be able to respond to some of the following questions:

Who, what, where, why, when, how...

Once a goal is developed consider all of the tasks or steps that would be necessary to achieve the goal. Tasks should be achievable in the short-term.

### **Developing a Personal Goal (Sample)**

Pat has a difficult time saying "no" to family members who continually call for assistance or expect company. Over the last year she has had little time to spend with friends as one or more family members is always in crisis. She has also become increasingly irritable and resentful. More recently, she has had a number of sleepless nights and is unable to stop thinking about how family members use her and place unrealistic demands on her time.

**State the problem:** (What do you or they want to do differently? Clarify the problem. TIP: Present the problem in the form of a how to... statement).

- ✓ My wants are: to have more free time, to say no when people call me and I really don't want to do something, to feel less guilty when saying no, to stop feeling so angry toward my family, to enjoy their company more...
- ✓ My priority is to: learn to say NO when asked to do something I don't want to do.
- ✓ Others want: me to be available at all times, want to be soothed, comforted, taken care of, listened too.

*How to: Say "NO" to family when they ask me to do things I don't want to do.*

**Long Term Goal** (must be achievable within the time frame of program involvement): What will be different in your life if you change your behavior? How will you know that things are better?

*Have more free time and feel less uptight and more relaxed with my family.*

**Short Term/SMART Goal** (must be achievable within thirty days): What will be different over the next few days, weeks if you make the change? What will you be doing or saying differently as a result of the change? Who will be responsible for change? Where will the change occur?

*During the next month I will spend 2 out of the 4 Sunday afternoons and evenings with my friends and/or alone.*

**Action Steps:** Brainstorm a list of action steps that will have to be achieved to meet the short-term goal.

1. *Call friend to make plans for Sunday afternoon.*
2. *Rehearse how to tell family that I will not be available on Sunday afternoon or evenings.*
3. *Tell them.*
4. *Persist in saying "NO" despite objections.*
5. *Rehearse productive self-talk that will alleviate guilt.*

**EXERCISE****5.9 • Developing a Personal Goal****Individual Exercise**

- Reflect on a behavior that you want to change or that you are already working on.
- Identify a problem area or concern and write a personal goal.
- Ensure that you use the SMART criteria to write your goal.

**State the problem:** What do you or they want to do differently? Clarify the problem. TIP: Present the problem in the form of a how to... statement.



**Long Term Goal (must be achievable within the time frame of program involvement):** What will be different in your life if you change your behavior? How will you know that things are better?



**Short Term/SMART Goal (must be achievable within thirty days):** What will be different over the next few days, weeks if you make the change? What will you be doing or saying differently as a result of the change? What is the greatest obstacle or barrier to change?



**Action Steps:** Brainstorm a list of action steps that will have to be achieved to meet the short-term goal.



**EXERCISE****5.10 • Developing a Case Plan****Small Group Discussion:**

Working in your small groups complete the Case Plan Worksheet for the priority target identified in Step 3.

Be prepared to present your results to the large group.

## 5.7 :STEP 6 – Review and Update

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*"The best way to monitor progress is to use the Case Plan as your guide. The Case Plan gives Probation Officers a template to ensure that an emphasis is placed on reducing criminogenic targets and that probationers adhere to the court order."*

During the development of the initial case plan the probation officer should work collaboratively with the probationer to set priorities and develop goals and objectives. On a regular basis you should review the progress with the probationer and decide whether:

- New goals or action steps should be chosen to continue to move toward the achievement of initial goals and continue to build momentum.
- Re-evaluate the effectiveness of a previous plan that has not been achieved.
- After success in one or more priority areas, switch focus to new priority areas and set additional goals and objectives for the new area.

### **Recommendations to Monitor the Case Plan**

#### **High-risk and moderate-risk probationers:**

- Review the Case Plan each time that you meet with the probationer at your office or in a home setting. Focus on the goals and objectives and review successes. If the probationer fails to complete a task or action step then try to assess the obstacles or barriers. Brainstorm ways to overcome the obstacles or barriers and use these solutions as new action steps.
- You should set at least one new action step each and every time you meet. This step should be achievable by the next meeting.
- Check-in on each of the priority risk factors to ensure that the probationer is not experiencing problems that will elevate risk for re-offending.

Remember the case plan is dynamic. Once it has been developed it serves as a progress note and helps the probation officer to prepare for the next meeting. By reviewing goals and action steps prepared previously the probation officer can keep the focus on the priority risk factors...

# 6

## ENHANCING TREATMENT COMPLIANCE



DAY 2 / PM  
1.5 HOURS



### Learning Objectives for the Training

- Emphasize the importance of risk-reduction strategies.
- Introduce brief intervention strategies to increase compliance with treatment.
- Provide the opportunity for skill practice.



### Contents of this Section

- 6.1 What Does Resistance Look Like
- 6.2 What we Do to Increase Resistance
- 6.3 Closing Comments

## 6.1 :What Does Resistance Look Like?

When working with moderate to high-risk probationers it is not uncommon for a treatment condition to be part of the court order. For many probationers the expectation to attend treatment is met with resistance. In fact, compliance rates for offenders attending treatment in the community range from 20% - 80%. Given the important role of treatment and other types of services to ensure long-term risk reduction and public safety it is critical that efforts be made to encourage probationer participation and involvement.

In this segment we will focus on strategies designed specifically to reduce resistance.

### What Can I Do To Influence Change?

- Adhere to the principles of motivational interviewing.
- Continually assess readiness, importance and confidence. Remember change is a dynamic process.
- For offenders in pre-contemplation and contemplation it is critical to use what Miller and Rollnick (1991) refer to as PHASE I Strategies.

### Resistant Responses

According to Miller and Rollnick (1991) we can group resistant responses into four general categories:

1. ARGUMENT: Probationer challenges the accuracy, expertise, or integrity of the probation officer.
  - CHALLENGING ... accuracy of what is being said.
  - DISCOUNTING ... questions your personal authority and expertise.
  - HOSTILITY ... expresses direct hostility toward you.
2. INTERRUPTION: Probationer breaks in and interrupts probation officer in defensive manner.
  - TALKING OVER
  - CUTTING OFF

3. DENIAL: The probationer expresses an unwillingness to recognize problems, cooperate, accept responsibility, or take advice.

- BLAMING ...
- DISAGREEING ... "yes, but..."
- EXCUSING...
- MINIMIZING
- JUSTIFYING
- PESSIMISM
- RELUCTANCE
- UNWILLINGNESS TO CHANGE

4. IGNORING: The probationer shows evidence of not following or ignoring the probation officer.

- INATTENTION
- NON-ANSWER
- NON-RESPONSE
- SIDE-TRACKING

## 6.2 :What We Do To Increase Resistance

We can increase resistance by succumbing to one of the following traps:

### 1. THE CONFRONTATION-DENIAL TRAP

*Probation Officer:* The probationer knows the offender has a problem and confronts him or her about it.

- *"You are really screwing up... I don't see any alternatives for you."*

How is the offender likely to respond?

- *The offender will often try to minimize the problem and/or to deny its existence.*

### 2. THE EXPERT TRAP

*Probation Officer:* The probation officer gives all kinds of "expert" advice and assumes responsibility for change.

- *"You know I have been through a very similar situation and let me tell you the only way around this is to accept that you are not going to fix this situation."*

How is the offender likely to respond?

- *The offender will often respond by playing a very passive and non-committal role in the process.*

### 3. THE LABELING TRAP

*Probation Officer:* The probation officer provides a label or diagnosis for the problem and expects the offender to accept the label.

- *"You have a very serious problem with alcohol and drugs."*

How is the offender likely to respond?

- *The offender will often become defensive or moves into a confrontation-denial loop.*

#### 4. THE BLAMING TRAP

*Probation Officer:* The probation officer implies or directly blames the offender for causing the problem.

- *"You are responsible for the financial problems that your family has."*

How is the offender likely to respond?

- *The offender will often express an unwillingness to recognize problems, cooperate, accept responsibility, or take advice.*

#### 5. PRE-MATURE FOCUS

*Practitioner:* The practitioner decides the agenda and prioritizes the focus of supervision without input from the offender.

- *"The court order says that you have to complete a substance abuse program, mental health assessment and batterer's education program. I want you to report at the substance abuse program next week.."*

How is the offender likely to respond?

- *The offender will often struggle with the probation officer to change course or will drop-out, be non-compliant, etc.*

**EXERCISE****6.1 • Name the “TRAP”****Working Alone****Scene 1:**

Probation Officer: "Eric- the biggest problem you are going to have over the next six months is ME... From now on you are going to follow through with everything on this court order. Let me just read it to you in case you have problems understanding this... You are going to get a job, stay clear of your criminal associates, avoid fights with your wife, etc..."

What trap is this? \_\_\_\_\_

**Scene 2:**

Probation Officer: "Every one of your offenses involves drugs. There is no need to waste money on an assessment- You and I both know you are an addict."

What trap is this? \_\_\_\_\_

**Scene 3:**

Probation Officer: "I talked with your employer today and she agrees with me – you need to keep your focus on the job and stop spending time at lunch and breaks with the other employees... We are really worried that some of them might be a bad influence- I mean several of them have a criminal history and your boss tells me that she suspects they are using... I have has some experience with this before and the best thing you can do is to stop seeing them."

What trap is this? \_\_\_\_\_

**Scene 4:**

Probation Officer: "I don't think we have to worry about this too much...you get mad when people try to push you around. Right? So--- just walk away from people who bug you--- I do it all the time--- it's not that hard."

What trap is this? \_\_\_\_\_

**Scene 5:**

Probation Officer: "I want you to comply with each of the conditions, complete your restitution, go to work, and stay clear of the old neighborhood..." I don't want you using any drugs- none...

What trap is this? \_\_\_\_\_

**Scene 6:**

Probation Officer: "You know - I am sick of your attitude. Sit up in that chair and look at me. I'm tired of having you come in here looking like you're the one who was the victim...what about all the people you hurt..."

What trap is this? \_\_\_\_\_

**Scene 7:**

Probation Officer: I'm not messing with you anymore- I'm just writing a probation violation.

What trap is this? \_\_\_\_\_

**Scene 8:**

Probation Officer: You know – going to court is pretty serious stuff... You need to understand that I'm the one that represents you in court... I'm the one that tells the judge whether you are compliant or not... I'm the one that has to stand in front of that judge... so what you do and how well you do it is a reflection of me... so we are going to work together here or are you going to give me problems...

What trap is this? \_\_\_\_\_

**Scene 9:**

Probation Officer: "Let's just get this right out front- so we understand each other... and there are no misunderstandings. The most important thing to me is that you respect me- if you respect me then we won't have any problems here. Got that!"

What trap is this? \_\_\_\_\_

**Simple Reflection:****Description:**

Handle resistance with non-resistance by providing a simple acknowledgment of the offender's argument, emotion, or perception. This can permit further exploration rather than defensiveness, and it avoids the confrontation-denial trap.

**Sample:**

*Scene 1: Offender: "The judge says- that I have to go to a substance abuse program. What kind of bullshit is that- I mean... everyone I know smokes a little marijuana and gets high once in a while... what is the big deal?"*

*Probation Officer: "So you don't feel you have a problem with drugs."*

*Scene 2: Offender: "You ordered me to attend a Batterer's Intervention program... but you never told me that it was taught by a bunch of 'man-haters'... I can't believe the crap they say... I know you are going to make me go but I am not getting anything from it- except maybe more angry..."*

*Probation Officer: "So you are telling me that you are going to attend but you don't feel the program has any value."*

**EXERCISE****6.2 “Tag” – Simple Reflection...****Working in Small Groups:**

You will be asked to rotate into the following roles:

**Offender:** You will be asked to play the role of an offender. Read the offender statement below and respond to the officer.

**Probation Officer:** Respond to the offender with a simple reflection. If you get stuck then tag another officer to take over. The officer that is first to offer a simple reflection is then asked to play the role of the offender.

**Observer:** Below are four different offender statements. Assign the first one to the officer on your right... Ask him or her to play the role of the offender and to read the statement. The person to the right should offer a simple reflection or if he or she is unable to do this then the next person should try. Once a correct response is provided move to the next scenario. Record the correct response.

OFFENDER STATEMENT	SIMPLE REFLECTION
<i>I want to get through this [complete probation] but there is too much to do...</i>	
<i>My boss only cares about two things – that I show up on time and that I am available to work over-time when he needs me. There is no way I can commit to going to a group twice a week.</i>	
<i>My wife wouldn't care if I dropped off the planet.</i>	
<i>I would love it if you could do something about my wife- she is making me crazy.</i>	

**Double-Sided Reflection:****Description:**

This is another reflective listening strategy. Acknowledge what the offender has said and then add the other side of the offender's ambivalence. This usually requires using information the offender has offered previously.

**Scene 1:** Offender: *"No one has the right to hit someone else... the only reason I got into a fight is because I was defending myself..."*

Probation Officer: *"So you don't think it's right to hit people, but you have the right to defend yourself."*

**Scene 2:** Offender: *"My wife is always on my case to stop drinking, but I have no intention of giving this up after I finish probation."*

Probation Officer: *"So you can see that it's important to give up using while you are on probation, but you don't see this as something you will do forever."*

**EXERCISE****6.4 Double-Sided Reflection...****Working in Small Groups:**

You will be asked to rotate into the following roles:

**Offender:** You will be asked to play the role of an offender. Read the offender statement below and respond to the officer.

**Probation Officer:** Respond to the offender with a simple reflection. If you get stuck then tag another officer to take over. The officer that is first to offer a simple reflection is then asked to play the role of the offender.

**Observer:** Below are four different offender statements. Assign the first one to the officer on your right... Ask him or her to play the role of the offender and to read the statement. The person to the right should offer a double-sided reflection or if he or she is unable to do this then the next person should try. Once a correct response is provided move to the next scenario. Record the correct response under the right-hand column.

OFFENDER STATEMENT	DOUBLE-SIDED REFLECTION
<i>I have every intention of looking for a job ... I just won't settle for any old thing that comes along...</i>	
<i>I want my kids back but I am not going to those parenting classes.</i>	
<i>I would do anything to get myself sorted out but I can't talk to someone that I don't respect.</i>	
<i>I know my wife and kids have suffered because of me but there is nothing I could have done differently to avoid this situation.</i>	

**Shifting Focus:**

Shift the offender's attention away from what seems to be a stumbling block standing in the way of progress. This detouring can be a good way of defusing resistance when dealing with a particularly difficult issue.

**Scene 1:** Offender: *"Just because I get into fights does not mean that I am crazy and that I need help from a shrink."*

Probation Officer: *"I don't believe you are crazy. I am worried though, about the fact that you don't feel you have any control when people push you or disrespect you. Tell me more about that...."*

**Scene 2:** Offender: *"You want me to stop spending time with almost everyone I hang out with- but that's impossible... I mean I work with half of these guys."*

Probation Officer: *"Okay- let's talk about this. I'm not sure that you and I are clear about what I mean when I say you cannot spend time with your friends so let's not jump to any conclusions. What we need to do right now is talk a bit about who your friends are and why they are important to you..."*

**EXERCISE****6.5 Shifting Focus...****Working in Small Groups:**

You will be asked to rotate into the following roles:

**Offender:** You will be asked to play the role of an offender. Read the offender statement below and respond to the officer.

**Probation Officer:** Respond to the offender with a simple reflection. If you get stuck then tag another officer to take over. The officer that is first to offer a simple reflection is then asked to play the role of the offender.

**Observer:** Below are four different offender statements. Assign the first one to the officer on your right... Ask him or her to play the role of the offender and to read the statement. The person to the right should try to "Shift Focus" or if he or she is unable to do this then the next person should try. Once a correct response is provided move to the next scenario. Record the correct response under the right-hand column.

OFFENDER STATEMENT	"SHIFTING FOCUS"
<i>My boss has decided on a zero-tolerance policy when it comes to being late... he doesn't care if we have other appointments – like coming here or if we have trouble with public transportation... He means it and if I lose this job because of being on probation my family is going to leave and I will have nothing left.</i>	
<i>I can't stand it when my wife nags me about how I'm never going to get off probation... she can't believe that I have so many community supervision hours and wants me to work night and day to get them done...</i>	
<i>I really don't fit into that drug program you sent me to... I don't have the same problems as the other guys... I'm not an addict.</i>	

**Personal Choice and Control:**

This is a common response when an offender perceives a loss of freedom and/or control. The best way to deal with this is to assure the offender that in the end - it is he/she who determines what happens. Giving this assurance early can diminish this reaction.

**Scene 1:** Offender: *"Just because I get mad at my wife does not mean that I am a wife beater who needs treatment. You can't make me participate."*

Probation Officer: *"You're absolutely right Mark... we asked you to go into the "Batterer's Intervention" program and you were there. But no one can make you participate."*

**Scene 2:** Offender: *"I am not going to stop seeing my boyfriend just because he has a record – no one can make me do that."*

Probation Officer: *"You're right- if you decide that you still want to see him then it's your choice..."*

**EXERCISE****6.6 Personal Choice and Control...****Working in Small Groups:**

You will be asked to rotate into the following roles:

**Offender:** You will be asked to play the role of an offender. Read the offender statement below and respond to the officer.

**Probation Officer:** Respond to the offender with a simple reflection. If you get stuck then tag another officer to take over. The officer that is first to offer a simple reflection is then asked to play the role of the offender.

**Observer:** Below are four different offender statements. Assign the first one to the officer on your right... Ask him or her to play the role of the offender and to read the statement. The person to the right should try to use the "Personal Choice and Control" strategy or if he or she is unable to do this then the next person should try. Once a correct response is provided move to the next scenario. Record the correct response under the right-hand column.

OFFENDER STATEMENT	"PERSONAL CHOICE AND CONTROL"
<i>I can't look for one more job. It's absolutely pointless in this market.</i>	
<i>I really resent being told what to do and I won't attend one more of those classes.</i>	
<i>I will not give one more dime to my wife. She has been sucking me dry and playing me for a fool ever since we were separated.</i>	

**EXERCISE****6.7 Generating “STUMPER” Statements...****Working in Triads:**

In your small groups generate at least 3 examples of offender statements that indicate strong levels of resistance. Try to draw from your own experiences and to pick statements that have "stopped you in your tracks"; left you feeling exasperated; or contributed to strong negative feelings...

1.

2.

3.

Generate at least one response to each stumper statement generated above that will help to decrease resistance; increase cooperation; and/or move the offender in a positive direction –no matter how slight.

1.

2.

3.

**EXERCISE****6.8 Batting Practice****Large Group Exercise:**

- Each table will select one team member to play the role of a probationer. The probationer should read one of the "STUMPER STATEMENTS" identified in Exercise 6.7. A spokesman from another table will be asked to be the probation officer and to use a motivational strategy to reduce resistance.

### 6.3 :Closing Comments

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Motivational Interviewing provides practitioners with a theoretical model in which to apply brief intervention strategies in an intentional way. Remember – key to this approach is collaboration and respect. Recall the principles:

Empathy  
Discrepancies  
Roll with Resistance  
Build Self-Efficacy

Remember:

1. Motivation is an important responsivity issue.
2. To decrease resistance- explore ambivalence and continually assess motivation.
3. Apply stage-matched interventions.
4. Use the 6-Steps to guide you in the development of an effective case plan.

**7****:RECOMMENDED READINGS AND REFERENCES****7.1 :Readings and References**

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## APPENDIX A: JOHN SMITH CASE STUDY

John is currently 26 years of age. Since the age of 17, he has been incarcerated 5 times. His crimes include a disorderly conduct, 2 thefts, possession of marijuana, and the current offense; a non-domestic simple assault. John was not arrested as an adolescent, though he acknowledged smoking marijuana and receiving stolen property from "friends". John just finished serving 30 days in jail for the new assault. He was placed on local probation for 12 months. He is also on probation for the possession of marijuana charge, which occurred 15 months ago. The probation violation was handled concurrent with the new offense.

John's assault charge was against, Mark, an old "using" buddy who had borrowed a significant amount of money 6 months prior, and told John to "f-off" when he recently approached him to say he needed the money back. A neighbor called the police when she saw the men fighting outside of Mark's apartment building. A drug/alcohol test taken at the time of arrest indicated John was not using. While most recently incarcerated, John ended up in "seg" for fighting with another inmate over a misunderstanding. About this incident, he said, "Man, I don't know what happened! I'm usually a trustee. That just sucked!".

John claimed that his teachers labeled him as hyperactive and aggressive as a child. He described himself as being bored in class except when attending math and music. These were subjects in which John excelled. He ran into difficulties at school from an early age because of his behavior and was expelled during the 10<sup>th</sup> grade after numerous suspensions for fighting and poor attendance. John has been working toward his GED, and has only one test to complete in order to finish.

John had difficulty recounting past employment experiences because there were so many. He is able to get jobs, but loses them because of his problems with authority and difficulty getting along with co-workers. He typically walks off the job angry and never returns. His most recent job was his longest, lasting 10 months. It was on a construction site. Despite his limited education and training, John wishes to be a cameraman, and is willing to volunteer with a local company to gain practical experience. At present, he is unemployed and receives financial help from his mother. He anticipates having work again within the next week or two.

John described his family life as chaotic. He never knew his biological father and reported that his mother had numerous partners prior to remarrying. John left the family home at the age of 18, after the relationship with his step-father deteriorated. He lived with friends, and returned home after his mother's divorce. His oldest brother is currently serving a jail term for a felony DWI charge. John does report having a strong and positive relationship with his mother, who he has found to be supportive, both emotionally and

financially. He also has an older sister, Trish, who works as a real estate agent. Trish has encouraged John during many hard struggles, and he looks up to her with great affection.

John met Mary a year and a half ago, at the age of 24. After living with his mother for three years, he moved in with Mary and her 8 year old son, Joshua, nine months ago. John recently learned that Mary is pregnant with his child. She is six months along in her pregnancy. The family rents an apartment in a quiet, pleasant neighborhood on the outskirts of the city and just signed another year's lease. Mary works evenings as a receptionist in a tanning salon. When John is working, Mary's mother helps with childcare.

John describes his relationship with Mary as very important to him, but troubling. Difficulties are attributed to Mary's behavior. John indicated that when they first met, Mary was caring and considerate of his feelings. Three months after he moved in, she began to exhibit signs of depression and withdrawal. He interpreted her behavior as spiteful and uncaring. John also indicated feeling jealous and angry because Mary consistently initiates conversations with other men. This has led to increasing conflict and significant stress. Other problems relate to parenting Joshua. John believes children require a "firm hand", and describes Mary as "too soft", though he emphatically states he would never "hit" a child. He finds his role as a parent difficult, but wants to work on it, and is looking forward to the new baby so that he can be the type of "loving and caring" father he never had.

John indicated that he does not participate in any organized activities and tends to get bored easily, especially when he is not working. He related his boredom to financial constraint (e.g., "the things I like to do like archery, going out for dinner, etc. are too expensive"). Although bills are current, the budget is tight. Because of this, the primary source of family entertainment is to watch videos and go for walks, generally to the local park where Joshua likes to play.

Occasionally, John still spends time with friends who were involved with the criminal justice system, but reports he is "staying out of trouble". He can't name any friends who have never been in trouble with the law. He does, however, have a close relationship with Mary's brother, Adam, who is married with two kids and works fulltime as a landscaper. Adam has never been arrested. The two families get together occasionally for a picnic or to rent a movie, and John and Adam play basketball or watch a game on TV once a month or so.

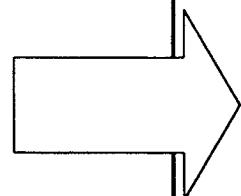
John reported using alcohol and drugs since the age of 12 and admits that his use contributed to legal, family and employment difficulties. The reason John lost his most recent job is because he was caught using marijuana on a break with a co-worker who offered the drugs. However, he reports no use of alcohol for over a year, and only occasional use of marijuana when he is particularly stressed out. He never uses in front of Mary or Joshua, as he knows Mary gets very upset when he does. Mary does not drink or use drugs, and there is no alcohol allowed in the house. John completed a drug and alcohol assessment following the possession of marijuana charge. No treatment or counseling was recommended.

John seemed conflicted when asked about his feelings for the victims of his offenses. Regarding the thefts, he said, "I didn't mean to hurt anyone. I suppose it was wrong, but I don't think they needed the stuff. They have a lot more than I do!" When asked about the current offense, he expressed great bitterness toward Mark, saying, "I thought I could trust him. Shows you what I know! I guess I shouldn't have hit the guy, but I was SO pissed off. We really need that money." Despite these feelings toward the victim, he believes the Judge was fair with his sentence. While John demonstrated some pro-criminal sentiments (e.g., "There's nothing wrong with smoking a little bit when you're stressed out. It's a hell of a lot better than alcohol. That stuff'll make you crazy!"), John did indicate he would never risk doing time again by committing a criminal act, stating, "It just ain't worth it!"

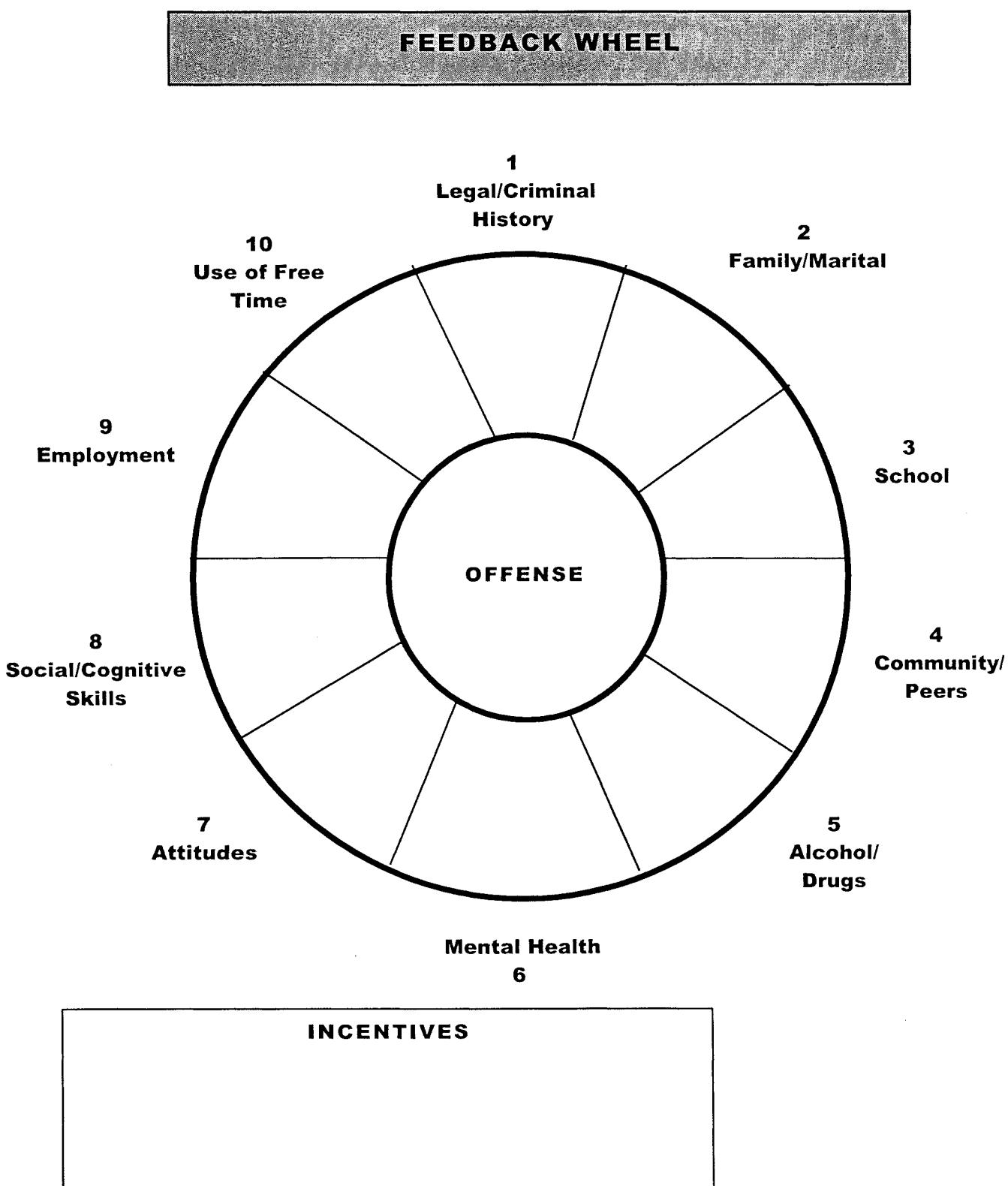
John presented as a very articulate, but anxious man. He was fairly easily agitated and provided many examples indicating he is impulsive and has low frustration tolerance. He has never been seen by a mental health professional. However, he repeatedly indicated that he has "had enough" and is willing to get some help.

### Case Analysis Worksheet

Domain	1. Rating		2. Offense Cycle
	Risk L, M, H	Protective L, M, H	
Employment			
Family Marital			
Associates			
Substance Use		X	
Emotional/Personal			
Financial			
Use of Free Time			
Accommodation (Housing)			
Attitudes			



<b>3. Pick the Top "3" Priority Targets</b> <small>Looking across the offense cycle and risk ratings identify "3" targets that you feel are most closely and immediately linked to risk for re-offending.</small>		<b>4. Motivation</b> <small>Specify readiness for change for the "3 Priority Targets".</small>	<b>5. Incentives</b> <small>List any rewards, benefits, carrots expressed by the offender that might serve as an incentive for change. List below..</small>
<b>1</b>	<input type="checkbox"/> Not willing <input type="checkbox"/> Unsure <input type="checkbox"/> Willing <input type="checkbox"/> Making Changes		
<b>Problem Description:</b>			
<b>2</b>	<input type="checkbox"/> Not willing <input type="checkbox"/> Unsure <input type="checkbox"/> Willing <input type="checkbox"/> Making Changes		
<b>Problem Description:</b>			
<b>3</b>	<input type="checkbox"/> Not willing <input type="checkbox"/> Unsure <input type="checkbox"/> Willing <input type="checkbox"/> Making Changes		
<b>Problem Description:</b>			



### Decisional Balance

<b>STAY THE SAME</b>	<p>1. Benefits of current BEHAVIOR.  <i>"What do you like about _____?"</i>  <i>"And what else?"</i></p>	<p>2. Concerns about BEHAVIOR.  <i>"What, if anything, concerns you about the _____ (problem)?"</i> "Does anyone else have any concerns about _____?"</p>
<b>CHANGE</b>	<p>3. Concerns about CHANGE.  <i>"Do you have any concerns if you were to _____?"</i> "What effects would _____ have on you?"  <i>"What questions do you have if you were to _____?"</i></p>	<p>4. Benefits of CHANGING.  <i>"How do you think the _____ (problem) would improve if you were to _____?"</i>  <i>"In what way would you benefit from _____?"</i></p>

## **Case Plan: Goals and Action Steps**

NAME: \_\_\_\_\_ ID #: \_\_\_\_\_ Date of Plan: \_\_\_\_\_

Date of Plan:

RISKNEED AREA:

**PROBLEM STATEMENT** (Clear definition of risk/need factor): \_\_\_\_\_  
**(From Case Analysis)**

**LONG TERM GOAL:** [Must be achievable within the time frame of probation involvement]

**SHORT TERM GOAL:** \_\_\_\_\_  
*(Must be achievable within the short term)*

\*Prepare a separate service plan for each of the Risk/Need Areas identified in the Case Analysis

\*\*\* Continue to generate new action items until goal is successfully achieved. Attach additional sheets if necessary.

\*\*\* Remember if client is not successful it may be necessary to generate smaller action steps or to re-evaluate the goal.

## **:APPENDIX B: BOBBY PATTERSON CASE STUDY**

### **CRIMINAL HISTORY (LEGAL – COURT SANCTIONS)**

Robert (Bobby) Patterson is 31 years of age. He was convicted of Contempt of Court and Violation of a Protective Order and was sentenced to 24 months suspended on the successful completion of local probation. As a condition of his probation, Robert was ordered to attend the batterer's intervention class that meets weekly for 26 weeks, pay restitution of \$500.00, not to have contact with his wife Jenny and be evaluated for substance abuse issues.

On the evening of the current offense, the police were called by neighbors when they overheard loud noises and shouting coming from Robert and Jenny's home. When the police arrived, Robert appeared to have been drinking and was in the home in violation of a Protective Order. Robert was taken into custody. Jenny was taken to the hospital emergency room for treatment of a black eye, bruised cheek, and cuts on her lower leg. Robert was arrested and charged with Simple Assault Against Family Member. He denied that he is abusive and told the investigating Officer that his relationship with his wife is none of their business. He stated that he was dealing effectively with his wife's disrespect and was acting in the best interests of his children.

Robert has several prior offenses. One year ago, Robert pled guilty to a charge of Disorderly Conduct and was ordered to pay a fine. Approximately five months ago, he was charged with Threat by letter, communication or electronic message but that charge was reduced to a misdemeanor telephone offense. He was sentenced to time served. Robert doesn't regret these events stating: "*This is all her [Jenny's] fault. She is the one who pushes my buttons and causes the problems. The court is taking her side and keeping me from my children. Why doesn't everyone leave us alone so we can go to counseling and resolve our marital problems?*"

### **FAMILY**

Robert and his wife Jenny have been married for 10 years. They dated while in high school and remained in contact after school when Robert enlisted in the Army and Jenny went to junior college. After his return from the military, they were married and Jenny continued to pursue her diploma in Accounting. She works at a local bank as a junior accountant.

On the surface, Robert and Jenny Patterson seemed to have an idyllic family life. They were often seen playing outside with their three children, they traveled together on holidays, and regularly attended Sunday services at their place of worship. Hidden to the community was Robert's jealous and controlling nature that sometimes led him to abuse his wife.

According to Jenny, Robert has relied on emotional abuse for much of their married life. Recently, he has started drinking more, and hitting and threatening her in front of the children. On the night of his arrest, Robert came to the house smelling of alcohol and

saying that he wanted to see "his kids". She told Robert to leave but he refused saying he was paying the bills and wanted to see his children now. She told Robert that the kids weren't at home because she had been out that night having dinner with a friend. The kids were staying with a family member.

He accused her of being irresponsible, uncaring and seeing another man. His tirade lasted well over an hour during which time he grew increasingly angry and verbally abusive.

On this particular night, Jenny did not offer any apologies to Robert. She explained that she was doing the best she could for the children and she was trying to get on with her life. Jenny added that it was her prerogative to have dinner with a friend and it was none of his business. She told Robert that she thought he was drunk and should go. Robert exploded with fury. He accused her of being unfaithful and threatened to expel her from his house. "Don't bother", Jenny replied, "I'm leaving". As she made her way to the front door, Robert went running after her, grabbed her by the shoulders, and slammed her against the wall. He struck her several times and continued to yell, making several accusations of infidelity and of poor parenting. In reality, Jenny had always been faithful to Robert and was an extremely effective parent. The actual source of this family's problems was Robert's jealousy, insecurity, and poor self-concept.

Jenny is under considerable pressure from her parent's to leave Robert. They have never felt comfortable about her marriage and describe Robert as demanding and controlling. They strongly feel that she could have found a more sympathetic, loving, and compatible partner.

Robert's father died of a heart attack last year and Robert visits his mother weekly to take her groceries and help her out around the house.

### **EDUCATION**

Robert's academic records indicate performance in the low-average range. He completed the 12<sup>th</sup> grade but from his own reports, was not "academically minded". He rarely did his homework and studied just enough to pass. His parents endorsed this approach to education since they had done well for themselves in the trucking business having only completed the tenth grade. In fact, they earned more money than most of their educated, middle-class neighbors. They felt that a high school diploma was relevant only to the extent that it would allow entry into the workforce- anything else was superfluous.

Robert demonstrated good aptitude in industrial arts but regarded other subject areas as "useless" and a "waste of his time". He was a very good athlete until about the 11<sup>th</sup> grade and set many track records that still stand. He was offered an athletic scholarship at a college in another part of the state, but turned it down. At that point he had started smoking heavily and drinking every weekend with a few buddies.

Robert was suspended twice in grade school and twice in high school for fighting with other students. He was an intimidating person and would likely have been described as a bully by other students.

**EMPLOYMENT**

Robert's grandfather and uncle were both in the military. At a very young age, Robert's father stressed how important it was that he join the Army where he could learn a trade and get a steady paycheck. He was licensed by the military as a heavy equipment mechanic.

Robert works as a mechanic at a local garage. He works hard at his job and puts in long hours. He is a good mechanic and people sometimes bring their vehicles to his home for repair. This allows him to make some money under the table while saving money for his clients.

**FINANCIAL**

Robert earns a modest living but is able to support his family. He and his wife own their home and have a small mortgage remaining.

**HOUSING**

Robert currently has a Protective Order that does not permit him to have contact with Jenny. He is now living with his mother but plans to return home as soon as he can "talk some sense into Jenny."

**PEERS AND SOCIAL SUPPORT**

Robert describes at least five friends that he considers to be important to him. They see each other at least once a week at a local bar and more often during the summer where they sometimes go fishing or bowling. Three of his friends are single or divorced and he is envious of their freedom. According to Robert, they all agree that Jenny is a "high-maintenance" woman who probably needs to be put in her place from time to time. While they probably wouldn't endorse beating a woman, they accept that men have to "lay down the law" on occasion in order to assert themselves and assume their rightful place in the home and society.

**SUBSTANCE USE**

Robert tried marijuana while in high school but did not like its effects. Presently, he drinks 2-3 beers every evening and several others over the weekend with his friends. Robert tends to be more intolerant and aggressive when intoxicated. While he denies a problem with alcohol, most would agree that he has developed a dependency.

**LEISURE/RECREATION**

Robert continues to enjoy sports and the outdoors. He takes 2-3 hunting and fishing trips every year with the same group of friends. Robert also spends time with his children but spends even more time watching sports on television.

**PERSONALITY AND TEMPERAMENT**

Robert is a very rigid and suspicious individual. He has difficulty communicating his wants and needs and in asserting himself appropriately. He likes to be in control of things but it seems that this is becoming increasingly difficult. Other than the cars he works on, he feels that he is in charge of very few aspects of his life. For example, he is never sure if the house will be clean when he arrives home after work or if dinner will be ready on time. As a hardworking father, he feels that this is minimally what is owed to him.

**VIOLENCE/AGGRESSION**

When things don't go his way, Robert will "tell it as it is" and/or become hostile and intimidating. He learned from a young age that being aggressive would often get him what he wanted. The problem with Jenny is that she just won't listen to him.

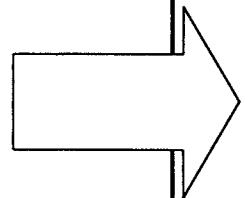
**ATTITUDES AND ORIENTATION**

Robert would describe himself as a conventional man who values tradition. He feels that the world is growing increasingly chaotic and this is because people have forgotten value systems of the past. As a white, middle-class male, he feels that mainstream society and all of its special interest groups vilify people like him. He deplores liberal politics, feminism, affirmative action, and immigration. Robert suspects that there may be a conspiracy at the highest levels of government to further infringe on the rights of law-abiding citizens.

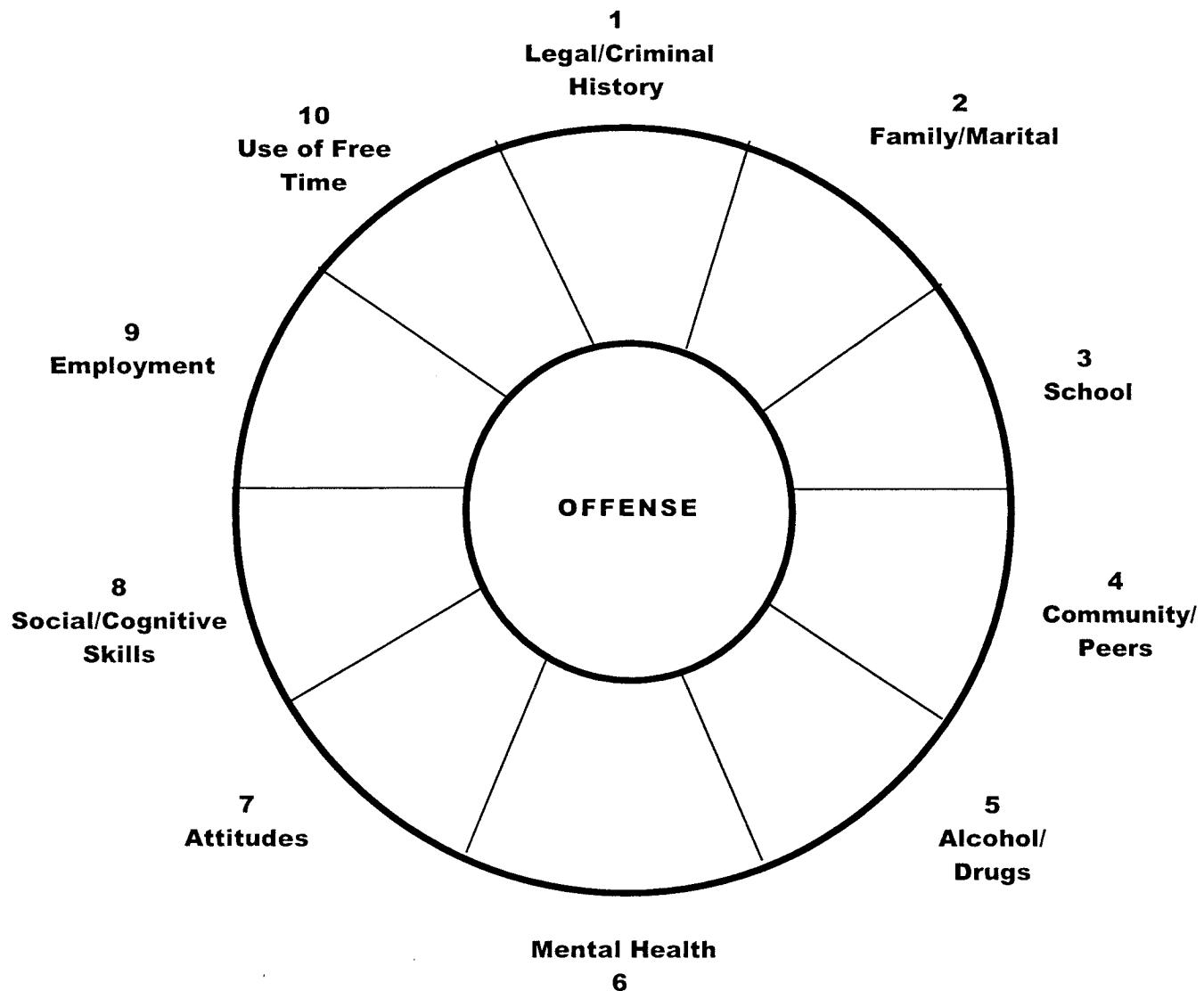
Despite the sanctions levied against him and the harsh words articulated by the judge, Robert felt no remorse about his behavior. Looking back at the incident, he felt that Jenny was provoking him and that any "real" man would have reacted this way. Robert feels that he should have some say in whom his wife associates with, where she works, and how much advancement she should seek from her employer. In fact, he feels that he has already been generous enough by allowing Jenny to work outside the home. While he agreed to participate in batterer's intervention education program, he is doing so only to please the courts.

### Case Analysis Worksheet

Domain	1. Rating		2. Offense Cycle
	Risk L, M, H	Protective L, M, H	
Employment			
Family Marital			
Associates			
Substance Use		X	
Emotional/Personal		X	
Financial		X	
Use of Free Time			
Accommodation (Housing)			
Attitudes			



<b>3. Pick the Top "3" Priority Targets</b> <small>Looking across the offense cycle and risk ratings identify "3" targets that you feel are most closely and immediately linked to risk for re-offending.</small>		<b>4. Motivation</b> <small>Specify readiness for change for the "3 Priority Targets".</small>	<b>5. Incentives</b> <small>List any rewards, benefits, carrots expressed by the offender that might serve as an incentive for change. List below.</small>
1		<input type="checkbox"/> Not willing <input type="checkbox"/> Unsure <input type="checkbox"/> Willing <input type="checkbox"/> Making Changes	
<b>Problem Description:</b>			
2		<input type="checkbox"/> Not willing <input type="checkbox"/> Unsure <input type="checkbox"/> Willing <input type="checkbox"/> Making Changes	
<b>Problem Description:</b>			
3		<input type="checkbox"/> Not willing <input type="checkbox"/> Unsure <input type="checkbox"/> Willing <input type="checkbox"/> Making Changes	
<b>Problem Description:</b>			

**FEEDBACK WHEEL****INCENTIVES**

### Decisional Balance

<b>STAY THE SAME</b>	<p>1. Benefits of current BEHAVIOR.  <i>"What do you like about _____?"</i>  <i>"And what else?"</i></p>	<p>2. Concerns about BEHAVIOR.  <i>"What, if anything, concerns you about the _____ (problem)? Does anyone else have any concerns about _____?"</i></p>
<b>CHANGE</b>	<p>3. Concerns about CHANGE.  <i>"Do you have any concerns if you were to _____?"</i> "What effects would _____ have on you?"  <i>"What questions do you have if you were to _____?"</i></p>	<p>4. Benefits of CHANGING.  <i>"How do you think the _____ (problem) would improve if you were to _____?"</i>  <i>"In what way would you benefit from _____?"</i></p>

**MOTIVATIONAL INTERVIEWING: AN INTRODUCTION****APPENDIX B****Case Plan: Goals and Action Steps**

NAME: \_\_\_\_\_ ID #: \_\_\_\_\_ Date of Plan: \_\_\_\_\_

RISK/NEED AREA: \_\_\_\_\_

PROBLEM STATEMENT (Clear definition of risk/need factor):  
(From Case Analysis) \_\_\_\_\_LONG TERM GOAL:  
(Must be achievable within the time frame of probation involvement) \_\_\_\_\_SHORT TERM GOAL:  
(Must be achievable within the short term) \_\_\_\_\_

Measurable Action Steps** Specific and measurable steps to goal/ improvement	Responsibility 1= Probationer 2= Partner/Parent 3= Probation Officer	Target Date (When will step be taken toward completing the goal?)	Review Date (List date of probation contact when the step will be reviewed)	Status*** 1=Achieved 2=Partially Achieved 3=Not Achieved 4=Satisfactory Progress 5=Unsatisfactory Progress	Actual Completion Date

\*Prepare a separate service plan for each of the Risk/Need Areas Identified in the Case Analysis

\*\* Continue to generate new action steps until goal is successfully achieved. Attach additional sheets if necessary.

\*\*\* Remember if client is not successful it may be necessary to generate smaller action steps or to re-evaluate the goal.

## APPENDIX C: LYNN PROUST- CASE STUDY

### **CURRENT OFFENSE**

Lynne was sentenced through Circuit and General District Courts to a total of 3 years and 24 months suspended on the successful completion of local probation for Possession, a class 6 Felony, for possessing a small quantity of heroin; Possession of Drug Paraphernalia, a class 2 misdemeanor; and Prostitution, a class 1 misdemeanor. She is expected to participate in a residential drug treatment program as a condition of her probation.

Lynne has one previous conviction for drug trafficking in the State of New Jersey. She had been acting as a drug mule for her boyfriend and was apprehended at the state border with several grams of cannabis.

Prior to her most recent arrest Lynne was using heroin on a daily basis. When she ran out of money she turned to a former boyfriend, Doug who is well known to the police. A major player in the drug trade, Doug was reputed to act violently towards those who impinged on his "business". With the exception of his current 3 year sentence for Assault a Class 6 Felony, Doug has managed to evade the criminal justice system. He always had access to the best lawyers in the city and few people dared to testify against him.

When Lynne approached Doug's home, she was starting to experience symptoms of withdrawal. At that point, she would have been willing to do anything for a heroin fix. Despite his being on state probation following his release from prison, Doug suggested that she simply steal a few items from a local department store, which in turn, he could sell on the street for her. He was pleased to learn that she was able to steal several hundred dollars worth of jewellery, which he then exchanged for money and more drugs. After a few weeks, she again found herself in a similar predicament. She returned to see Doug, who now had more ambitious plans for her. He told Lynne that prostitution was a far more lucrative enterprise than petty theft and less likely to result in incarceration. Besides, he assured her that she would be well protected and only deal with respectable, wealthy clients.

Of course, Lynne's reality was far different than what Doug had promised her. For the next several nights, Lynne walked the streets of Newport News. She kept very little of her earnings and dealt with highly abusive males. In fact, she was beaten by at least one of her clients and left on the side of a country road on several occasions. Doug was rarely around in these circumstances, explaining that he was busy "protecting" younger and more vulnerable women. Heroin became the main form of currency between Lynne and Doug though he would also provide food and shelter on occasion.

Lynne was not a terribly sophisticated on the street nor did she camouflage her activities very well. As such, it was simply a matter of time before police officers caught up with her. On the night of her arrest, an undercover agent suggested that she immediately present herself to a women's shelter. However, upon searching her purse, they discovered several pieces of jewellery, heroin, and drug paraphernalia.

Apart from her fear of heroin withdrawal, Lynne was somewhat relieved about entering the local jail. She felt safe for the first time in several months, slept deeply, ate well, and began a methadone maintenance program.

### **FAMILY**

Lynne, aged 34, was raised in an intact, middle income family and is the youngest of 3 sisters. She reports an excellent upbringing and maintains occasional contact with her parents and siblings. Though they disapprove of her lifestyle and no longer offer her money, they are willing to play a part in her treatment and rehabilitation.

Of note in Lynne's development was her victimization at the hands of an uncle. At 13 years of age, she was sexually assaulted during a family party. She has never shared this experience with family members but it is clear that the event was a significant trauma. Lynne continues to have difficulties with trust, particularly in her relationships with men.

The first rift with her family occurred when she was 17 and started dating a man that was known to the police. He introduced her to alcohol and drugs and they routinely ignored parental attempts to impose restrictions on Lynne's outings with him. His power over Lynne was so strong that her parents eventually gave up on trying to control her behavior.

### **EDUCATION**

Lynne was an average student who was forced to change schools frequently due to her father's employment in the military. Lynne's marks suffered after each of these relocations but she was fortunate to have had dedicated teachers along the way. They always seemed to provide the support and structure that Lynne needed in order to catch up to her classmates. To her credit, Lynne was always amenable to extra help and respected her teachers.

Lynne was described by her teachers as a shy and timid student. She appeared to daydream frequently during class and often seemed sad or depressed. When Lynne was in grade 9, her English teacher noticed several lacerations on her wrist. She advised the school psychologist of this observation and Lynne was encouraged to participate in an assessment. Lynne was found to be suffering from Depression and was engaging in self-injurious behaviors. She participated in therapy for several months and was prescribed anti-depressants. She managed to complete her high school education but chose not to attend college afterwards.

### **EMPLOYMENT HISTORY**

After graduating from high school, Lynne obtained employment as a waitress in a small downtown restaurant. This lasted only a few months as she felt that the salary would not meet her basic living expenses. Thanks to a generous student loan, Lynne attended a privately owned hairdressing school for 6 months. She was able to find work shortly afterwards but found that her salary was no better than when she had worked at the

restaurant. Nevertheless, she enjoyed being a hairdresser and returned to live with her parents when she was unable to pay for her rent.

#### **FINANCIAL/HOUSING**

At present Lynn is residing in an inpatient drug program. Her family is willing to support her while she is seeking treatment and while she remains clean. They have also offered some financial assistance until she can get re-established on the street.

#### **PEERS AND SOCIAL SUPPORT**

Despite being shy, Lynne was able to make friends with strangers and integrate quickly into small peer groups. Because of her attractiveness and sociability, Lynne was always invited to high school parties- even when she was still several years younger than most of the other students.

Regrettably, Lynne befriended a group of students who encouraged antisocial behavior. For fear of being outcast from this group, Lynne began drinking, using drugs, and engaging in high-risk sexual behaviors. She remained susceptible to negative peer influence until the day of her arrest. Lynne does not maintain any friendships other than those from the street. She realizes the importance of creating a different social support network. Lynne also understands the instability of her interpersonal relationships- she vacillates between extreme love and extreme hatred of the people in her life.

#### **SUBSTANCE USE**

Lynne reports that she was a good student at school and could have done much better with her life had she not started to use drugs. She is confident that she can be gainfully employed if she gives up her addiction. At the same time, she feels that heroin controls her life and states that she is not confident that she can endure the symptoms of withdrawal. Presently, she will only commit to taking methadone but she knows that this is not a long-term solution.

Lynne is currently suffering from severe malnutrition and is approximately 20 lbs. below her ideal weight. Her probation officer is advising her to meet with her physician regularly.

#### **LEISURE/RECREATION**

Lynne lives a difficult life on the street and has no known leisure interests. Until about grade 11, Lynne was an avid skier and swimmer. A social worker once gave Lynne a membership to the YMCA but she sold it on the street for a small amount of drugs.

**PERSONALITY AND TEMPERAMENT**

Lynne is socially skilled and still has her license as a hairdresser. She is creative, artistic, and could eventually run a hair salon with proper guidance and support.

Lynne is easily led and her relationships can be described as chaotic and unstable. Because of her need to be liked by everyone, she usually allows the needs of others to take precedence over her own needs. At this point in her life, Lynne has extremely poor self-esteem and considers herself to be worthless. Despite her success on Methadone, she feels that her addiction is insurmountable and that ultimately she will relapse. It is during these times that she feels that suicide may be her only option. She has tried unsuccessfully on 2 occasions.

**VIOLENCE/AGGRESSION**

Despite being surrounded by turmoil and violence, Lynne has never acted out aggressively towards anyone. When she is angry, she is most likely to turn inward and hurt herself. As for the violence she sees on the streets, she believes that it is a "normal" part of everyday life.

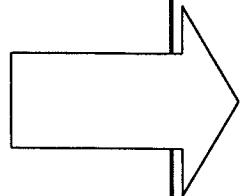
**ATTITUDES AND ORIENTATION**

Lynne has always enjoyed a fast-paced, high-risk lifestyle. She loved a good party- even when there was nothing particularly worth celebrating. Lynne has grown to dislike rules-feeling that they are an unfair imposition on her freedom. She views the criminal justice system in much the same way. In Lynne's mind, she has never done anything to harm anyone and her decision to lead an unhealthy lifestyle is a matter of personal choice. She finds it strange that so many of her acquaintances are behind bars since she feels that they are all good people deep down. As a prostitute, Lynne noted that many of her clients were "outstanding" citizens in the community. She could therefore not fully understand why she was the person in jail while these men were at home with their wife and children.

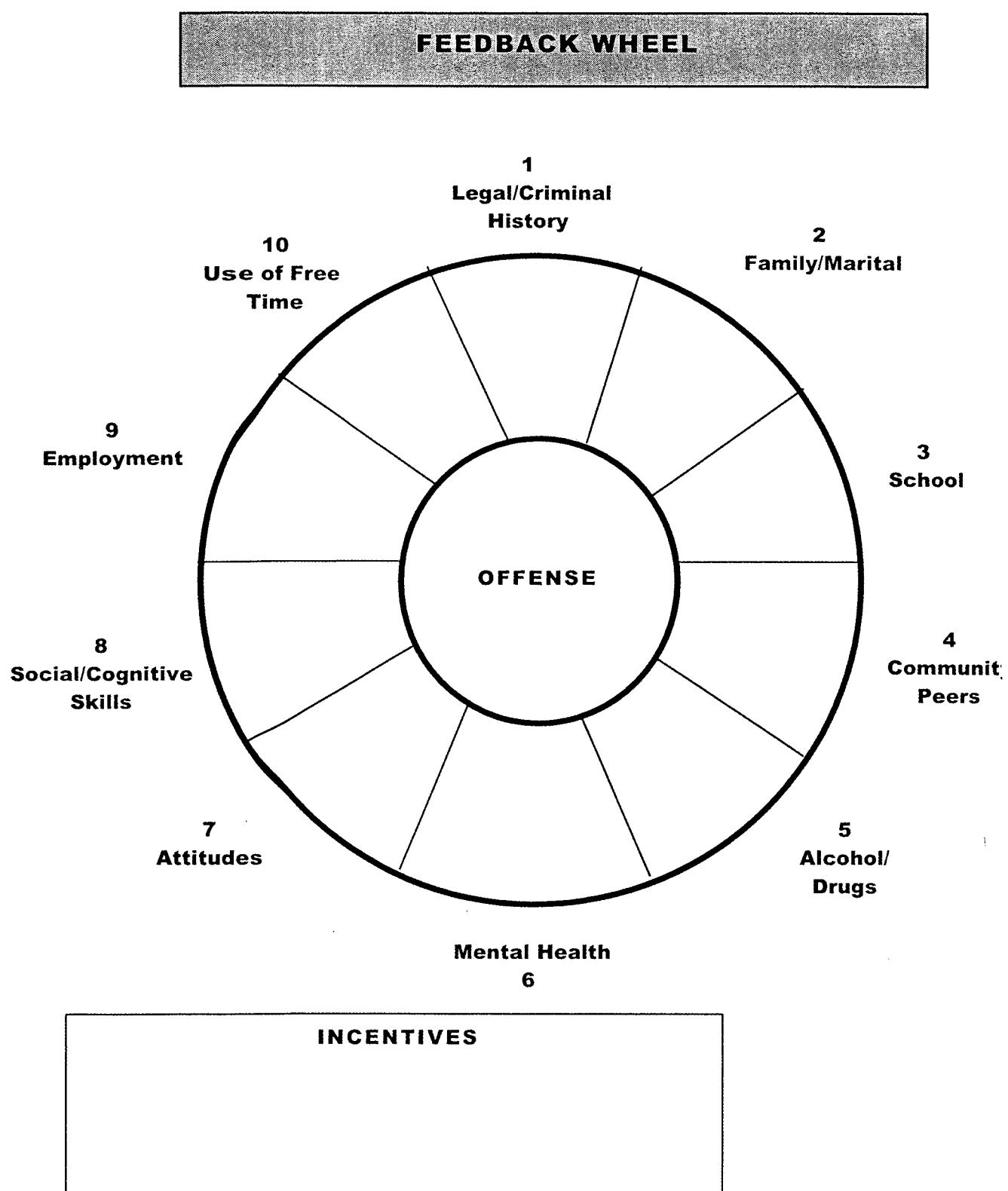
Despite her views about the legal process, she was grateful that her sentence wasn't harsher and that she would finally get the help she needed. Her greatest concern at present is coping with the challenge of staying clear of abusive men and preventing a relapse into heroin use.

### Case Analysis Worksheet

Domain	1. Rating		2. Offense Cycle
	Risk L, M, H	Protective L, M, H	
Employment			
Family Marital			
Associates			
Substance Use		X	
Emotional/Personal		X	
Financial			
Use of Free Time			
Accommodation (Housing)			
Attitudes			



<b>3. Pick the Top "3" Priority Targets</b> <small>Looking across the offense cycle and risk ratings identify "3" targets that you feel are most closely and immediately linked to risk for re-offending.</small>		<b>4. Motivation</b> <small>Specify readiness for change for the "3 Priority Targets".</small>	<b>5. Incentives</b> <small>List any rewards, benefits, carrots expressed by the offender that might serve as an incentive for change. List below:</small>
1		<input type="checkbox"/> Not willing <input type="checkbox"/> Unsure <input type="checkbox"/> Willing <input type="checkbox"/> Making Changes	
<b>Problem Description:</b> List LSI-R items			
2		<input type="checkbox"/> Not willing <input type="checkbox"/> Unsure <input type="checkbox"/> Willing <input type="checkbox"/> Making Changes	
<b>Problem Description:</b> List LSI-R items			
3		<input type="checkbox"/> Not willing <input type="checkbox"/> Unsure <input type="checkbox"/> Willing <input type="checkbox"/> Making Changes	
<b>Problem Description:</b> List LSI-R items			



**Training of Trainers**  
**Motivational Interviewing: An Introduction**  
**August 24, 2005**

**Day 1**

TIME	TOPIC	RESPONSIBILITY
09:00 – 09:30	<ul style="list-style-type: none"> <li>■ Introductions</li> <li>■ <i>Overview of the "Training Agenda"</i></li> <li>■ Key Elements of the Curriculum           <ul style="list-style-type: none"> <li>❖ Motivational Interviewing</li> <li>❖ Six-Steps to an Effective Case Plan</li> </ul> </li> </ul>	Marilyn
09:30 – 10:30	<ul style="list-style-type: none"> <li>■ Becoming a Trainer-</li> <li>■ <i>Certification Status Report</i></li> <li>■ <i>Training Certification Waiver</i></li> <li>■ <i>Experience Questionnaire</i></li> <li>■ <i>Reading Assignments</i></li> <li>■ <i>Feedback Report</i></li> <li>■ <i>Presentation Assignments</i></li> <li>■ <i>Instructor's Manual- Template</i></li> </ul>	Marilyn
10:30 – 12:00	<ul style="list-style-type: none"> <li>■ <i>Participant Manual</i></li> <li>■ Brief overview of Chapter 1- 2</li> <li>■ Issues and concerns- "Training Traps and Tips"</li> </ul> <ul style="list-style-type: none"> <li>■ <i>Lunch</i></li> </ul>	Marilyn
12:00 – 01:00		
01:00 – 02:30	<ul style="list-style-type: none"> <li>■ <i>MI- Presentation</i></li> <li>■ <i>"Three Cases"</i></li> <li>■ Advanced practices</li> </ul>	Marilyn
02:30 – 05:00	<ul style="list-style-type: none"> <li>■ <i>Work on Presentation Assignments</i></li> </ul>	All Participants

## Day 2

TIME	TOPIC	RESPONSIBILITY
09:00 – 09:30	<ul style="list-style-type: none"> <li>■ Q &amp; A</li> </ul>	
09:30 – 10:15	<ul style="list-style-type: none"> <li>■ <i>Participant Manual</i></li> <li>■ Brief overview of Chapter 3</li> <li>■ Issues and concerns- "Training Traps and Tips"</li> </ul>	
10:15 – 11:00	<ul style="list-style-type: none"> <li>■ <i>Presentation Assignment 1</i></li> <li>■ Excerpts from Chapter 3</li> </ul>	
11:00 – 12:00	<ul style="list-style-type: none"> <li>■ <i>Participant Manual</i></li> <li>■ Brief overview of Chapter 4</li> <li>■ Issues and concerns- "Training Traps and Tips"</li> </ul>	
12:00 – 01:00	<ul style="list-style-type: none"> <li>■ Lunch</li> </ul>	
01:00 – 01:45	<ul style="list-style-type: none"> <li>■ <i>Presentation Assignment 2</i></li> <li>■ Excerpts from Chapter 4</li> </ul>	
01:45 – 02:45	<ul style="list-style-type: none"> <li>■ <i>Presentation Assignment 3</i></li> <li>■ Excerpts from Chapter 4</li> </ul>	
02:45 – 05:00	<ul style="list-style-type: none"> <li>■ <i>Participant Manual</i></li> <li>■ Brief overview of Chapter 5</li> <li>■ Issues and concerns- "Training Traps and Tips"</li> </ul>	

## Day 3 – Wednesday

TIME	TOPIC	RESPONSIBILITY
09:00 - 09:30	Q & A	
09:30 - 10:15	<ul style="list-style-type: none"> <li>▪ <i>Presentation Assignment 4</i></li> <li>▪ Excerpts from Part 5</li> <li>▪ Case Analysis</li> </ul>	
10:15 - 11:00	<ul style="list-style-type: none"> <li>▪ <i>Presentation Assignment 5</i></li> <li>▪ Excerpts from Part 5</li> <li>▪ Feedback, Prioritizing, Assessing Motivation</li> </ul>	
11:00 - 12:00	<ul style="list-style-type: none"> <li>▪ <i>Presentation Assignment 6</i></li> <li>▪ Excerpts from Part 5</li> <li>▪ Focusing, Reviewing and Supporting</li> </ul>	
12:00 - 01:00	<ul style="list-style-type: none"> <li>▪ <i>Lunch</i></li> </ul>	
01:00 - 02:00	<ul style="list-style-type: none"> <li>▪ <i>Participant Manual</i></li> <li>▪ Brief overview of Chapter 6</li> <li>▪ Issues and concerns- "Training Traps and Tips"</li> </ul>	
02:00 - 02:45	<ul style="list-style-type: none"> <li>▪ <i>Presentation Assignment 7</i></li> <li>▪ Excerpts from Chapter 6</li> </ul>	
02:45 - 03:45	<ul style="list-style-type: none"> <li>▪ <i>Motivational Interviewing Quiz</i></li> </ul>	
03:45 - 05:00	<ul style="list-style-type: none"> <li>▪ <i>Wrap-Up Activities</i></li> <li>▪ <i>Review the Certification Status Report</i></li> <li>▪ Identify resources and supports needed</li> <li>▪ <i>Evaluations</i></li> </ul>	

**Experience Questionnaire**  
**Training of Trainers**  
**Hampton/New Port News: August, 2005**

Name \_\_\_\_\_ Phone #: \_\_\_\_\_

E- Mail: \_\_\_\_\_

Work Address:

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# of MI trainings attended as a participant: \_\_\_\_\_

# of MI trainings attended as an observer: \_\_\_\_\_

Comments on difficulties either anticipated or experienced in presenting this curriculum to staff:

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Support received from management, co-trainers:

Considerable \_\_\_\_\_ Some \_\_\_\_\_ A little \_\_\_\_\_ Next to none \_\_\_\_\_

Explain:

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Experience with Training in Other Curriculum:

	Always	Mostly	Sometimes	Hardly Ever
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I enjoyed it \_\_\_\_\_

I think the staff enjoyed it \_\_\_\_\_

I noticed what I did wrong \_\_\_\_\_

What I liked most about this Curriculum and why (chapter, exercise, etc.) OR What I think I will be most comfortable with and why...

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What I liked least about the Curriculum and why (chapter, exercise, etc.) OR What I feel will be the most challenging to deliver and why...

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On a scale of 0 to 100, I think I am at:

\_\_\_\_\_ for mastery of content and \_\_\_\_\_ for mastery of style

Aspects I believe I need to work on:

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In understanding content:

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In mastering style of delivery:

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**Train-the-Trainer Certification Status Report for Principles and Practices of MI: An Introduction**

**August 2005: Hampton-New Port News**

NAME	ACTIVITIES						CERTIFICATION N	
	ATTEND 2- DAY TRAINING	TRAIN-THE TRAINER'S SESSION #1	READINGS	VIDEOTAPE ASSIGNMENT	KNOWLEDGE TEST	EXPERIENCE QUESTIONNAIRE	CO- FACILITATION	BOOSTER SESSIONS
								PENDING Complete <sup>1</sup> Status= 1
								Complete Status= 1
								Complete Status= 1
								Complete Status= 1
								Complete Status= 1
								Complete Status= 2
								Complete Status= 2
								Complete Status= 2

<sup>1</sup> Complete Status:

- 1 = Individual has demonstrated knowledge, facilitation skills and expertise to train the curriculum alone or with a co-facilitator  
 2 = Individual has indicated a preference and/or is advised to co-facilitate the training with other facilitators.

## Motivational Interviewing: An Introduction

For each of the following, please circle the letter that you think is the best response.

The concept AMBIVALENCE is best described by the following statement:

- A. A natural reaction to change.
- B. Characterizes the cognitive dissonance to change experienced by 30% of the population.
- C. Indicates high levels of resistance
- D. Characterizes individuals in the "Preparation" stage of change.

The primary task in the "Pre-contemplation" stage is:

- A. To convince the individual of the need for change by pointing out the consequences of NOT changing.
- B. To raise awareness and doubt.
- C. To give the individual a reality check.
- D. To point out the benefits of change.

The primary task of the "Contemplation" stage is:

- A. To provide feedback
- B. To introduce a decisional balance
- C. To tip the balance toward change
- D. All of the above.

The primary task for the practitioner for offenders in the "Preparation" stage is:

- A. Assist the offender to identify the obstacles for change
- B. Monitor offender progress and performance
- C. Assist the offender to remove barriers to change
- D. Assist the offender to determine the best course of action

Research conducted by Miller and colleagues suggests that people who achieve major lifestyle changes:

- A. Are more likely to be successful in their careers
- B. Value change and believe they can be successful
- C. Have personality traits that indicate high levels of self-control
- D. Usually experience external pressure from family members, physicians, mental health professional, the court, etc.

Indicate which of the following is NOT a key principle of Motivational Interviewing

- A. Express empathy
  - B. Roll with resistance
  - C. Provide reality checks
  - D. Build discrepancies
- 

Below are some comments that staff might make to you when you are doing ECM training or assisting with Quality Assurance. In the space below each comment, write the next thing that you would say to the staff. It doesn't need to be long—just a sentence of two illustrating how you would respond.

1. I don't need to do a risk assessment to know what the offenders on my case load need. I have 15 years of experience.

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2. This is great, I mean I really like this stuff but there is no way that I am going to have time to do it.

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3. I keep hearing about this "What Works" stuff and all I can say is that I would like you and those researchers to come and work with some of the offenders on my caseload. There is no way that they are ever going to change. I don't care what you or anyone else does.

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4. The whole risk assessment and case management project was designed so that the State can collect information. All they care about is the research.

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5. Everywhere I go – I keep hearing this stuff about "What Works" and "evidence-based practices" ... and I have not really heard one thing that is different from what I do already.

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6. My department has decided that they are not going to use any of this stuff- so I'm not really sure why I am here.

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7. I did not sign up to be a counselor. Why don't you ask them to do this stuff?

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8. Our primary role should be to spend time with offenders. If I have to sit in front of a computer and enter all this case work stuff- I will have no time left.

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Please answer the following questions. If you run out of space, use the back of this sheet.

1. What motivates people to change?

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2. What is the goal of motivational interviewing? Why do it?

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3. a) What problem occurs when you confront denial?

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- b) What is the impact on ambivalence?

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4. At what stage is exploration of ambivalence most appropriate?

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5. What stage will skills-training be received best?

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6. What helps tip the balance on the offender's ambivalence?

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7. How do you know if you're being successful at motivational interviewing?

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8. What is one metaphor that you could use to capture the Spirit of Motivational Interviewing in the Training?

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### Applying Motivational Interviewing to the Process of Case Planning

List the six-steps to effective case planning? Highlight one major task faced by the offender and one major task faced by the practitioner at each step.

Step	Task Faced by Offender	Task Faced by Practitioner

## Trainer Certification Waiver

I acknowledge that as part of my training certification for Motivational Interviewing: An Introduction- by Orbis Partners, Inc., I am authorized to conduct the two-day training for corrections and other criminal justice agencies in Hampton- New Port News, Virginia. As such, I also acknowledge that certification does not authorize me to conduct this training for any other organizations or professional conferences without authorization in writing from Orbis Partners, Inc.

It is also understood that the training materials prepared by Orbis Partners, Inc., (training manuals, and all accompanying supplements) have been authorized for use by trainers certified by Orbis Partner. The materials cannot be used without permission from Orbis Partners, Inc. in any other organization outside of the Hampton-New Port News Criminal Justice Agency. In addition, none of the documents can be reproduced, stored in a retrieval system, or transcribed, in any form or by any means – electronic, mechanical, photocopying, recording, or otherwise by me, except for the official purposes authorized in this Waiver.

This waiver is intended to preserve the quality and integrity of the training and implementation of the curriculum.

I agree to abide by the above conditions of certification.

Certified Trainer: \_\_\_\_\_

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

Signed by Marilyn Van Dieten of Orbis Partners, Inc. \_\_\_\_\_

Date: \_\_\_\_\_

## Feedback Report

Name:

Date:

**Paper Materials Submitted:**

Risk/Need Assessment	
Case Analysis Worksheet	
Feedback Wheel	
Case Plan	

**Presented on Videotape:**

Feedback Wheel	
Case Plan	

General Comments:

## Observation Checklist for Feedback

### **Feedback Wheel:**

**Overarching goal:** To increase concern, problem recognition, importance and confidence about problems that place the offender at risk for future offending.

This tool is used to summarize the information gathered during the risk/need assessment and can include all collateral reports. Ultimately you will be seeking clarification, confirming that the information gathered previously is accurate, and probing for additional information. The format that is recommended is:

1. A review of strengths as they pertain to the various categories of the risk/need assessment. Please ensure that the strengths are genuine. If there is no discernible strength for a category don't say anything. Move on to an area where you can find one.
2. Review the 3 primary challenges or risk factors that are most closely connected to offending behavior.

Throughout the feedback it is important to check in with the offender to ensure that they understand the purpose of the exercise and specifically, the feedback that you are giving them.

As the offender has already provided this information in previous interviews it is recommended that you ask them for confirmation and clarification. Feedback typically takes 15-30 minutes.

### **Appropriate use of tool**

Comments:

**Adherence to motivational principles**

<u>Strategy</u>	•	<u>Comments:</u>
Empathy		
Develop Discrepancies		
Roll with Resistance		
Avoid Arguing		
Support Self-Efficacy		

**Motivational skills used**

<u>Strategy</u>	•	<u>Comments:</u>
Open-Ended Questions		
Reflective Listening		
Affirmations		
Summarizing		
Review Strengths		
Review Challenges		
Other		

**Response from offender**

<u>Strategy</u>	•	<u>Comments:</u>
Problem recognition		
Concern about the problem		
Commitment to change		
Confidence rating		
Importance rating		

Comments:

## Observation Checklist for Case Plan

### **Case Plan:**

**Overarching goal:** To work collaboratively with the offender to identify a specific problem area that the offender is committed to work on.

This tool is used as a working document to ensure that the offender has success in addressing a specific problem area and setting a goal for change.

Steps for using the Case Plan:

1. After the offender has agreed to focus on a problem area clearly define the problem.
2. Set a SMART goal.
3. Brainstorm action steps that will assist the offender to meet the goal.
4. Try to ensure that at least two or three small steps are identified and that the offender and yourself have at responsibility for a task before meeting the next time.
5. This is a dynamic document that should be updated during every session.
6. Each session tasks are reviewed and new ones are assigned.
7. Reinforce all small changes.
8. If the offender does not follow through- review obstacles and barriers, review incentives and disincentives for change, set new tasks.

### **Appropriate use of tool**

Comments:

**Adherence to motivational principles**

<u>Strategy</u>	•	<u>Comments:</u>
Empathy		
Develop Discrepancies		
Roll with Resistance		
Avoid Arguing		
Support Self-Efficacy		

**Motivational skills used**

<u>Strategy</u>	•	<u>Comments:</u>
Open-Ended Questions		
Reflective Listening		
Affirmations		
Summarizing		
Evocative Questions		
Decisional Balance		
Elaboration		
Using Extremes		
Looking Back		
Exploring Goals		
Other		

**Response from offender**

<u>Strategy</u>	•	<u>Comments:</u>
Problem recognition		
Concern about the problem		
Commitment to change		
Confidence rating		
Importance rating		

Comments:

## Reading Assignments

Miller, W.R. and Rollnick, S. (2002) *Motivational Interviewing: Preparing People for Change-2<sup>nd</sup> Ed.* New York: Guilford Press. Read chapters 1-12 inclusive.

Rollnick, S. , Mason, P. Et Butler, C. (1999). Health Behavior Change: A Guide for Practitioners. New York: Churchill Livingstone. Read entire book.

Tohn, S.L. & Oshlag, J.A., (1997). Solution focused therapy with mandated clients. In Miller, S.D., Hubble, M.A., Duncan, B.L. (Eds.) *Handbook of Solution-Focused Brief Therapy*. San Francisco: Josey-Bass Publishers. Read entire article.

Thompson, G.J. , & Jenkins, J. B. (1993). *Verbal Judo: The Gentle Art of Persuasion*. New York: Quill. Optional.

**Presentation Assignments  
Training of Trainers  
Motivational Interviewing: An Introduction  
August 24, 2005**

#	Description	Participant Name
1	Chapter 3: Assessment	
2	Chapter 4: Stage-Matched Intervention Strategies	
3	Chapter 4: Stage-Matched Intervention Strategies	
4	Chapter 5: Case Planning- Case Analysis	
5	Chapter 5: Case Planning - Feedback, Prioritizing, Assessing Motivation	
6	Chapter 5: Case Planning - Focusing, Reviewing and Supporting	
7	Chapter 6: Enhancing Compliance with Treatment	

## Workshop Evaluation Training of Trainers

On this rating scale, 1 is very low, very negative and 7 is very high, very positive.

1. How effective do you feel the training has been in helping you to deliver the Curriculum.

1    2    3    4    5    6    7

Comment: \_\_\_\_\_

2. How useful will this training be in helping you to deliver the material on motivational interviewing?

1    2    3    4    5    6    7

Comment: \_\_\_\_\_

3. How helpful was this training in assisting you to deliver the material on case planning?

1    2    3    4    5    6    7

Comment: \_\_\_\_\_

4. How helpful did you find the various handouts, interactive exercises, and participant presentations?

■ Handouts    1    2    3    4    5    6    7

■ Interactive Exercises    1    2    3    4    5    6    7

■ Participant Presentations    1    2    3    4    5    6    7

Comment: \_\_\_\_\_

5. How satisfied are you with the way this workshop was presented?

1    2    3    4    5    6    7

Comment: \_\_\_\_\_

6. How confident are you that you will be able to deliver the ECM training?

\_\_\_\_\_

7. What resources would assist you to become more confident in delivering the Training?

8. Please state any suggestions for improvements to the organization or content of this workshop.

Participant Name:

Agency:

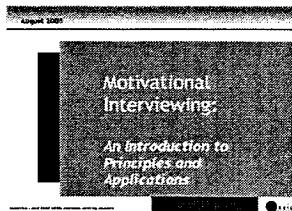
Date:

**Training Overview**  
**Chapter 1: Day 1**

<b>CHAPTER 1: SETTING THE CONTEXT</b>		
<b>SECTION</b>	<b>KEY LEARNING POINTS AND EXERCISES</b>	<b>TIME</b>
1.1 Evidence-Based Practices	<ul style="list-style-type: none"><li>▪ Martinson's "Nothing Works"</li><li>▪ Emergence of "What Works"</li><li>▪ 4 – Principles of Effective Intervention<ul style="list-style-type: none"><li>○ Risk- How Much</li><li>○ Need- What</li><li>○ Responsivity- Approach</li><li>○ Professional Integrity</li></ul></li><li>▪ Focus on training – Responsivity Principle</li></ul>	20 min.
1.2 Workshop Goals & Objectives	<ul style="list-style-type: none"><li>▪ The overarching goal of this workshop is to apply the responsivity principle and ensure that participants (1) understand that motivation is an important responsivity issue and (2) that the approach we use can increase or decrease motivation</li><li>▪ Review workshop goals and objectives</li></ul>	10 min.
1.3 Applying MI : Principles and Practices	<ul style="list-style-type: none"><li>▪ Provide a definition for effective case management</li><li>▪ Emphasize the need for collaboration and mutuality in identifying and clarifying goals</li><li>▪ Briefly review 6-Steps to an Effective Case Plan</li><li>▪ Exercise 1.1: Introductions and personal goals</li><li>▪ Record participant goals on flip-chart paper</li></ul>	30 min.

<b>Section 1.1</b>	<b>Evidence-Based Practice</b>
<b>TIME</b>	20 minutes
<b>GOALS</b>	<ul style="list-style-type: none"><li>- Set the context for the training</li><li>- Provide a brief review of the What Works Movement and the Principles of Intervention</li><li>- Review the Principles:<ul style="list-style-type: none"><li>- Risk (How much- intensity of intervention)</li><li>- Need (What to focus on)</li><li>- Responsivity</li><li>- Professional Integrity</li></ul></li></ul>
<b>SUPPLIES</b>	<ul style="list-style-type: none"><li>▪ Power-Point Projector (in Focus) or Overhead Projector</li><li>▪ Screen</li></ul>
<b>SET-UP</b>	This segment is didactic in nature. Be prepared to give a brief presentation.
<b>SPECIAL INSTRUCTIONS</b>	Move through this section at a moderate pace. Validate the experience of the audience by using Socratic questions with participants who have already heard this material.

**INSTRUCTIONS:**



**Display Slide 1: Motivational Interviewing  
Key Points:**

- Introductory slide only.

**1.1: Evidence-Based Practices**

- Martinson's premature conclusion: "With few exceptions, the rehabilitation efforts that have been reported so far had no appreciable effect on recidivism"

- Andrews, Gendreau, Palmer's reinterpretation of the studies:

"...of 120 studies - conclusion:  
"Some programs are working with some offenders, some of the time".

**Display Slide 2: Evidence-Based Practices**

**Key Points:**

- EBP emerged from the What Works agenda...
- Stimulated in response to Martison's conclusion that NOTHING WORKS
- Researcher's became mobilized to look closely at the treatment outcome literature and determined that some things, work in some settings, some of the time.

**The Roots of What Works**

- Martinson's conclusion stimulated researchers to search for programs that are effective.
- What Works researchers have identified programs that produce positive results.
- These programs share the same characteristics known as the "Principles of Effective Intervention".

**Display Slide 3: The Roots of What Works**

**Key Points:**

- Continue discussion...because of Martinson's paper on "Nothing Works" researchers have now identified characteristics of programs that are successful.
- These programs have similar characteristics.

**The Principles Of Effective Intervention**

- Risk Principle
- Need Principle
- Responsivity Principle
- Program Integrity Principle

**Display Slide 4: Principles of Effective Intervention**

**Key Points:**

- State the four principles and then move on to discuss each separately...

**INSTRUCTIONS:****RISK Principle**

- Criminal behavior is predictable
- Intensity of treatment services should be matched to the level of client risk

High risk clients require more intensive intervention

Low risk clients require minimal or no intervention

**Display Slide 5: Risk Principle****Key Points:**

- Risk principle... programs reporting a positive impact are attentive to the risk principle.
- The greater the risk the more intensive the service is needed.
- Risk is NOT defined by the offence but by the number of criminogenic risk factors present in the offenders life.

**The Need Principle**

- The need principle focuses on the appropriate targets of intervention
- Focus on targets that have been shown to be related to criminal behavior (i.e. criminogenic)
- Need factors are DYNAMIC

**Display Slide 6: Need Principle****Key Points:**

- Need principle... to reduce recidivism programs must focus on criminogenic risk factors (factors that are dynamic and linked to criminal behavior)

**The Major Risk Factors**

- Behavioral history
- Emotional/Personal (personality and temperament)
- Family dynamics
- Peers
- Antisocial attitudes, values and beliefs
- Low levels of vocational achievement

**Display Slide 7: Major Risk Factors****Key Points:**

- Review each of the major risk factors and provide a description of each

**The Responsivity Principle**

- The delivery of effective treatment programs and services in a style and mode that is consistent with the ability and learning of the clients
- The Responsivity Principle will be a major focus of this training

**Display Slide 8: Responsivity Principle****Key Points:**

- Staff and offender characteristics can impact on outcome.
- In this training we will focus on providing staff with a method to address resistance throughout the supervision process.

**INSTRUCTIONS:**

**Principle of Program and Professional Integrity**

- Ethical guidelines and standards of professional conduct
- Ongoing supervision and technical support
- Training to enhance knowledge, skills, and commitment
- Adequate resources to sustain program integrity

**Display Slide 9: Principle of Program Integrity**

**Key Points:**

- Programs with large effect sizes ensure that staff have access to training, supervision and that they have the resources they need to work in a professional way.
- **End Segment**
- Link to next segment by restating the fact that in this training our primary goal will be to apply the responsivity principle...

<b>Section 1.2</b> <b>Workshop Goals and Objectives</b>	
<b>TIME</b>	10 minutes
<b>GOALS</b>	<ul style="list-style-type: none"><li>- Review overarching goals and objectives of the workshop (apply responsibility principle with a focus on motivation)</li><li>- Review major findings in research which tells us (1) motivation is essential for long-term success and, (2) we as professionals can enhance motivation</li><li>- Review agenda for workshop and specific goals and objectives.</li></ul>
<b>SUPPLIES</b>	<ul style="list-style-type: none"><li>▪ Power-Point Projector (in Focus) or Overhead Projector</li><li>▪ Screen</li></ul>
<b>SET-UP</b>	This segment is didactic in nature. Be prepared to give a brief presentation.
<b>SPECIAL INSTRUCTIONS</b>	Move through this section at a moderate pace. You can use the Table of Contents to discuss the agenda.

**INSTRUCTIONS:**

**1.22 Workshop Goals and Objectives**

- Overarching goal... focus on HOW services should be delivered.

- Responsivity Principle

**Display Slide 10: Workshop goals and objectives**

**Key Points:**

- Introductory slide

**Research tells us...**

- For many offenders who engage in crime – change occurs naturally...

- Some get worse ...

- Those that do better tend to be medium and high risk offenders exposed to effective treatment approaches...

**Display Slide 11: Research tells us**

**Key Points:**

- Review slide

**Research tells us offenders who are successful are...**

- 1. MOTIVATED

- 2. Often influenced by practitioners who use a certain style and approach

**Display Slide 12: Research tells us**

**Key Points:**

- Review slide

**Workshop Goals and Objectives**

- Demonstrate how to use MI for case work using a Six Step Model.
- Examine styles and approaches that can influence change.
- Teach methods to assess motivation.
- Provide opportunities for practice using brief intervention strategies.
- TIPS to enhance treatment compliance

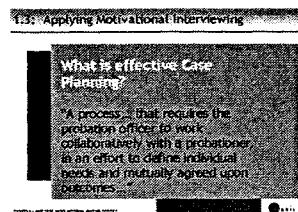
**Display Slide 13: Workshop goals and Objectives**

**Key Points:**

- Review goals and objectives
- Use Table of Contents from Participant Manual to provide walk-through of the agenda

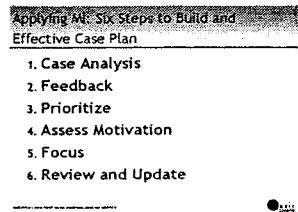
<b>Section . 1.3 Applying MI: Principles and Practices</b>	
<b>TIME</b>	30 minutes
<b>GOALS</b>	<ul style="list-style-type: none"> <li>- Emphasize that the goal of the training is not to ask probation officers to do counseling- however, they can use MI as a framework for effective case work and supervision.</li> <li>- This section focuses on the application of MI.</li> <li>- Review the definition of Effective Case Work.</li> <li>- Review the Six Steps of Effective Case Work.</li> <li>- Step 1: Case Analysis (Integrate information from assessment)</li> <li>- Step 2: Feedback (Provide a summary statement of the various strengths and major challenges faced by the offender)</li> <li>- Step 3: Prioritize (Work collaboratively Risk (How much-intensity of intervention)</li> <li>- Step 4: Assess Motivation (Determine stage of readiness and apply stage matched strategies to increase commitment)</li> <li>- Step 5: Focus (Set goals and action steps)</li> <li>- Step 6: Review and Update (Reinforce tiny victories and update plan as needed by working to resolve barriers and obstacles)</li> <li>- Introduce Exercise 1.1- Ask participants to work in pairs and to conduct a brief interview to discover something personal and one goal for the workshop.</li> </ul>
<b>SUPPLIES</b>	<ul style="list-style-type: none"> <li>▪ Power-Point Projector (in Focus) or Overhead Projector</li> <li>▪ Screen</li> <li>▪ Flipchart and markers</li> </ul>
<b>SET-UP</b>	This segment begins with a didactic segment and ends with an exercise.
<b>SPECIAL INSTRUCTIONS</b>	Move through this section at a moderate pace. Ensure that you flip-chart responses to the exercise in order to record personal goals and expectations for the workshop. Leave chart in full view of the audience and cross off topics as they are covered.

**INSTRUCTIONS:**



**Display Slide 14: Applying MI  
Key Points:**

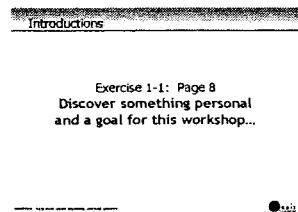
- Make the point that on Day 1 we will give participants an introduction to MI (some theory and some practice)
- On Day 2 the emphasis will be application
- **Read the definition of Effective Case Planning**



**Display Slide 15: Applying MI – Six Steps to an  
Effective Case Plan**

**Key Points:**

- Review each step



**Display Slide 16: Introductions**

**Key Points:**

**End this segment with Exercise 1.1**

- Participants should work with someone they do not know
- Elicit personal information and a personal goal
- Debrief by asking pairs to introduce themselves to large group
- Record all goals and keep them posted at the front of the room

## **Training Overview**

### **Chapter 2: Day 1**

<b>CHAPTER 2: THE “SPIRIT” and PRINCIPLES OF MI</b>		
<b>SECTION</b>	<b>KEY LEARNING POINTS AND EXERCISES</b>	<b>TIME</b>
2.1 Understanding Change	<ul style="list-style-type: none"><li>▪ Set the context for understanding the dynamic nature of motivation by increasing awareness of the difficulties associated with change</li></ul>	15 min.
2.2 The Spirit of MI	<ul style="list-style-type: none"><li>▪ Provide a brief introduction to the Principles of MI</li><li>▪ Provide a brief description of MI and where it came from</li><li>▪ Offer one or more metaphors to capture the SPIRIT of MI... (not just a bag of tools or techniques but a way of being and approaching the offender)</li></ul>	50 min.
2.3 Ambivalence and Resistance	<ul style="list-style-type: none"><li>▪ Define two key concepts- “ambivalence and resistance”</li><li>▪ Emphasize that “ambivalence” is normal and exists to a greater or less extent when we make changes in our lives.</li><li>▪ Our goal as practitioners is to explore both sides of the ambivalence and “Tip the Scales” in the direction of change.</li></ul>	40 min.
2.4 What is motivation?	<ul style="list-style-type: none"><li>▪ Provide a clear definition of motivation</li><li>▪ Dynamic, complex and best understood by exploring readiness, importance and confidence.</li></ul>	15 min.

**Note:** To deliver this segment it is critical that you read and understand Chapters 1-5 of Motivational Interviewing (2<sup>nd</sup> Edition).

<b>Section 2.1      Understanding Change</b>	
<b>TIME</b>	15 minutes
<b>GOALS</b>	<ul style="list-style-type: none"><li>▪ Set the context for understanding the dynamic nature of motivation by increasing awareness of the difficulties associated with change</li><li>▪ Review poem- "An Autobiography in Five Chapters" and elicit reactions from the participants</li><li>▪ Review Major Myths that we hold about change</li><li>▪ Follow each myth with a Fact and once again elicit reactions from the group</li><li>▪ Make the point that change is difficult for most people most of the time. In order to be successful at change the experts tell us we must be MOTIVATED...</li></ul>
<b>SUPPLIES</b>	<ul style="list-style-type: none"><li>▪ Power-Point Projector (in Focus) or Overhead Projector</li><li>▪ Screen</li></ul>
<b>SET-UP</b>	This segment is didactic in nature. Be prepared to give a brief presentation.
<b>SPECIAL INSTRUCTIONS</b>	Move through this section at a moderate pace using examples to give context to the myths. Try to elicit participation from the group by asking questions and encouraging them to tell stories about changes they have made.

**INSTRUCTIONS:**

Part 2

The Spirit" and Principles of  
Motivational Interviewing

**Display Slide 1: The Spirit and Principles of MI**  
**Key Points:**

**Title Slide Only**

2. 1: Understanding Change

Autobiography in Five Chapters...

- Chapter 1
- Chapter 2
- Chapter 3
- Chapter 4
- Chapter 5

**Display Slide 2: Understanding Change**  
**Key Points:**

- Refer to page 2-2 in the workbook.
- Ask participants to read the poem.
- Elicit reactions... do they feel the poem captures their own experiences in dealing with change.

Myths and Facts About Change...

MYTH #1: Anyone can change if they  
really want to because...

- It's easy
- All you really need is willpower, resolve and  
strength of character

FACT:

- Change is difficult for most people, most of the  
time
- MOTIVATION is fundamental to change rather than  
a personality trait or characteristic

**Display Slide 3: Myths and Facts About Change**

**Key Points:**

- Refer to page 2-3 in the workbook.
- Review each myth- provide an example of how the myth is perpetuated in society
- Review each fact...
- Elicit discussion.

Myths and Facts About Change...

MYTH #2: Change is not possible...

- Nothing works. I know because I've tried  
everything
- People don't change

FACT:

- People do make changes. Research suggests that  
people who are successful are MOTIVATED
- What separates successful programs  
from those that are not is an  
understanding that change is difficult and that  
MOTIVATION is fundamental

**Display Slide 4: Myths and Facts About Change**

**Key Points:**

- As above...

**INSTRUCTIONS:**

**Myths and Facts About Change**

**MYTH #3: Punishment is the only way to motivate change**

- If we make people feel bad enough, they will change
- People need to really suffer before they will change

**FACT:**

- There is no empirical evidence to support the use of programs that rely on excessive confrontation or that attempt to shame an individual to make lifestyle changes.
- Shame, humiliation and character assassination are not catalysts for change. Rather, the individual has to value change intrinsically.

**Display Slide 5: Myths and Facts**

**Key Points:**

- As above.
- Link to next segment by asking the question:

**If change is a personal journey and a very difficult one... can we as probation officers influence change?**

<b>Section 2.2</b> <b>The Spirit of MI</b>	
<b>TIME</b>	50 minutes
<b>GOALS</b>	<ul style="list-style-type: none"><li>▪ Exercise 2.1- NIC Video Presentation- EBP Role Plays</li><li>▪ Introduce the Video Activity – the participants should watch both role plays</li><li>▪ Debrief by focusing on the outcomes associated with the style used by the probation officer in the first role play versus the second role play.</li><li>▪ Review the characteristics of an effective style/approach to work with offenders</li><li>▪ Provide a brief description of MI and where it came from</li><li>▪ Offer one or more metaphors to capture the SPIRIT of MI...(Make the point that MI is not just a bag of tools or techniques but a way of being and approaching the offender)</li><li>▪ Review the Four Principles of MI and provide examples of each.</li><li>▪ Exercise 2.2- What Can I Do to Persuade You?</li><li>▪ Demonstrate that persuasion tactics do not work. In fact, the two greatest obstacles to using MI are the “Righting Reflex” and “Big Hammer”</li><li>▪ Summarize this section by emphasizing that MI is an approach- a very intentional way of working with offenders to increase motivation and decrease resistance</li></ul>
<b>SUPPLIES</b>	<ul style="list-style-type: none"><li>▪ Power-Point Projector (in Focus) or Overhead Projector</li><li>▪ Screen</li><li>▪ Speakers for lap-top</li><li>▪ DVD- Evidence Based Practices- Community Applications- (NIC</li></ul>
<b>SET-UP</b>	This segment includes a number of exercises and discussions.
<b>SPECIAL INSTRUCTIONS</b>	Move through this section at a moderate pace. It is critical that you continue to emphasize that MI is an approach- (not just a tool kit of techniques). It is an intentional way of working with offenders that serves to increase motivation and commitment to change.

**INSTRUCTIONS:**

2.2: The Spirit of Motivational Interviewing

Exercise 2-1: Page 4  
What's That Style?  
Video Presentation

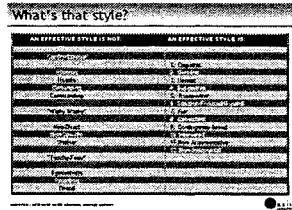
**Display Slide 6: 2.2: Spirit of MI**

**Key Points:**

- Refer to page 2-4 in the workbook.
- Introduce video –
- Tell them you will play two scenarios. Both probation officers are interviewing the same offender and both are given the same amount of time for the interview. They should watch each scene and decide which approach is most effective.
- View role-plays

**Display Slide 7: What is that Style?**

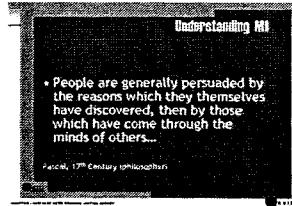
**Key Points:**



- Debrief activity above. Begin by asking them to reflect on the style used by both interviewers.
- Then ask them to consider effectiveness.
- Participants usually agree that the second role-play is far more effective because it is more respectful and meaningful with regard to public safety and offender risk reduction.
- Second officer helps to shift offender from not taking responsibility to commitment to change.

**Display Slide 8: Understanding MI?**

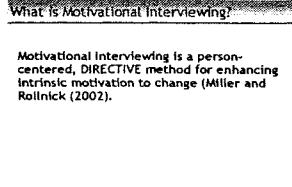
**Key Points:**



- Read the quote and tell them that MI is a method that helps people discover the need for change...

**Display Slide 9: What is MI?**

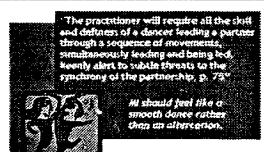
**Key Points:**



- Refer to page 2-5
- Review slide content...

**INSTRUCTIONS:**

The "Spirit of MI"



**Display Slide 10: The Spirit of MI**

**Key Points:**

- Refer to p. 2-5- MI as a smooth dance rather than wrestling we should move in synchrony with the offender.

Four Principles of Motivational Interviewing

- ✓ Express Empathy
- ✓ Develop Discrepancy
- ✓ Roll with Resistance
- ✓ Support Self-Efficacy

**Display Slide 11: Four Principles of MI**

**Key Points:**

- Refer to p. 2-6.
- Read the four principles.
- Description of each to follow.

Express Empathy

- Acceptance facilitates change.
- Skillful reflective listening is fundamental.
- Seek to understand the probationer's perspective without judging, criticizing or blaming.
- Ambivalence is normal.

**Display Slide 12: Express Empathy**

**Key Points:**

- Express empathy. Clarify the difference between empathy and sympathy through a demonstration.
- Review key points from slide.

Develop Discrepancy

- The probationer rather than the probation officer should present the arguments for change.
- Change is motivated by a perceived discrepancy between present behavior and important goals or values.

**Display Slide 13: Develop Discrepancy**

**Key Points:**

- Develop discrepancy. Provide an example of this concept-difference between what we want in the future and what we are doing to get there.
- Review key points from slide.

**INSTRUCTIONS:**

**Roll with Resistance**

- Avoid arguing for change.
- Resistance behavior should not be directly opposed.
- New perspectives are invited but not imposed.
- The probationer is the primary resource in finding answers and solutions.
- Resistance behavior is a signal to respond differently.

**Display Slide 14: Roll with Resistance**

**Key Points:**

- Provide an example of this principle.
- Review key points from slide.

**Support Self-Efficacy**

- Belief in the possibility of change is an important motivator.
- The probationer is responsible for choosing and carrying out personal change.
- The probation officer's own belief in the person's ability to change becomes a self-fulfilling prophecy.

**Display Slide 15: Support Self-Efficacy**

**Key Points:**

- Provide an example of this principle.
- Review key points from slide.

**Obstacles to Using Motivational Strategies**

Exercise 2.2: p. 2-7- What Can I Do to Persuade You?

**Display Slide 16: Obstacles to Using MI**

**Key Points:**

- Exercise 2.2- What Can I Do to Persuade You?
- Refer to p. 2-7
- Set up activity. Divide group into pairs- working with someone they do not know.
- Provide instructions and give the speaker approximately 3 minutes to use any persuasion technique possible to convince the listener.

**Obstacles to Using Motivational Strategies**

1. The "Righting Reflex"

2. The "Big Hammer"

**Display Slide 17: Obstacles to Using MI**

**Key Points:**

- Review each obstacle with a professional example.
- Use Socratic questions to elicit responses from the group to demonstrate why both methods are inconsistent with MI principles.

<b>Section 2.3 Ambivalence and Resistance</b>	
<b>TIME</b>	40 minutes
<b>GOALS</b>	<ul style="list-style-type: none"><li>- The overarching goal of this segment is to define "ambivalence" and "resistance"</li><li>- This concept is central to the development of MI as an approach because it recognizes that ambivalence is normal for anyone who is experiencing change.</li><li>- Resistant behaviors – suggest that an individual is ambivalent about change and give us a signal to try something different.</li></ul>
<b>SUPPLIES</b>	<ul style="list-style-type: none"><li>▪ Power-Point Projector (in Focus) or Overhead Projector</li><li>▪ Screen</li><li>▪ Flipchart and markers</li></ul>
<b>SET-UP</b>	This segment moves from exercises to discussions.
<b>SPECIAL INSTRUCTIONS</b>	Move through this section at a moderate pace.

**INSTRUCTIONS:****2.3: Understanding Change...**

"Ambivalence and Resistance"  
Exercise 2-3: Page 2-8  
Reacting to Change

**Display Slide 18: Understanding Change****Key Points:**

- Refer to p- 2-8.
- Introduce Exercise 2.3: Reacting to Change.
- Elicit an immediate reaction from participants in the audience to a change mandated by management.
- Often the reaction is negative.

**Exploring Ambivalence**

Exercise 2.4: Page 2-9  
Exploring Ambivalence

Rate where you are on the continuum:

**Display Slide 19: Exploring Ambivalence****Key Points:**

- Refer to p- 2-9.
- Introduce Exercise 2.4: Exploring Ambivalence.
- Break into small groups (4-5 people)
- Ask group members to explore pros and cons of management decision.
- Debrief: Ask if anyone has changed their rating... There is unlikely to be dramatic change from the initial position but every group will be able to at least recognize that the change has some positive and some negative aspect.
- Make the point that change is about ambivalence.

**Ambivalence...**

- Change is about ambivalence... When making a change, it is not simply a matter of making a "yes" or "no" decision.
- Sometimes the pros outweigh the cons and we begin to move in the right direction.
- Sometimes the cons outweigh the pros and we get stuck or shift back.

**Display Slide 20: Ambivalence****Key Points:**

- Refer to p- 2-10
- Summarize key points.

Exercise 2.5: Page 2-10  
Dealing with Ambivalence  
How NOT to do it....

Speaker...  
Lobbyist...  
Observer...

**Display Slide 21: Dealing with Ambivalence****Key Points:**

- Refer to p- 2-10.
- Introduce Exercise 2.5: Dealing with Ambivalence- How NOT to do it...
- Ask everyone to reflect silently on something they feel ambivalent about. Provide an example- from the participant manual or your own.
- Break into triads
- Clearly assign roles for each member of the triad and model how to do the exercise.
- Give them 3 minutes.

Debrief: Ask observers to comment on non-verbal behavior of the listener and lobbyist. Most observers will note that as lobbyist argued one side the listener became more resistant and started to argue the other side.

**INSTRUCTIONS:****Dealing with Ambivalence**

- > Ambivalence is like a "balloon filled with water":
  - ➔ When you press on one side the other side expands.
  - ➔ When you argue in favor of one position, the probationer will often take the other position.
- > By exploring ambivalence, both you and the probationer will have a better understanding of the change process.

**Display Slide 22: Dealing with Ambivalence****Key Points:**

- Refer to p- 2-11
- Summarize key points.

**Display Slide 23: Understanding Change- Resistance...**

Exercise 2.6: Page 2-12  
Understanding Change.... "Resistance Behavior" - What does it look like?

**Key Points:**

- Refer to p- 2-12
- Ask the large group to generate ways that offenders demonstrate they are resistant.
- 

**Resistance**

When you notice the client is resisting change - then you have a clear signal that what you are doing is NOT working and that you should try something different...

**Display Slide 24: Resistance****Key Points:**

- Make the point that when someone is resistant they are no longer connected to the process.
- Use resistance as a signal to explore both sides of the ambivalence.

<b>Section 2.4      What is Motivation?</b>	
<b>TIME</b>	15 minutes
<b>GOALS</b>	<ul style="list-style-type: none"><li>- The overarching goal of this segment is to define "motivation"</li><li>- Make the point that motivation is dynamic and complex</li><li>- It involves a number of interrelated factors, readiness, importance and confidence.</li></ul>
<b>SUPPLIES</b>	<ul style="list-style-type: none"><li>▪ Power-Point Projector (in Focus) or Overhead Projector</li><li>▪ Screen</li><li>▪ Flipchart and markers</li><li>▪ Post – It Notes (5 per person)</li></ul>
<b>SET-UP</b>	This segment begins with an exercise to elicit the definition of motivation.
<b>SPECIAL INSTRUCTIONS</b>	Move through this section at a moderate pace. Motivation should be clearly defined before leaving this segment.

**INSTRUCTIONS:**

**2.4: What Is Motivation?**

Exercise 2.7: Page 2-13  
Identifying Wants

**Display Slide 25: What is Motivation?**

**Key Points:**

- Refer to p- 2-13.
- Introduce Exercise 2.7: Identifying Wants.
- Individual activity
- Brainstorm 5 personal WANTS and put each one on a separate post-it-note.
- Ask them to identify one behavior that will bring them closer to the WANT

**2.4: What Is Motivation?**

Exercise 2.8: Page 2-13  
Prioritizing Wants

**Display Slide 26: What is Motivation?**

**Key Points:**

- Refer to p- 2-13.
- Introduce Exercise 2.8: Prioritizing Wants.
- Individual activity
- Organize post-it-notes with top want at the top, etc.
- Elicit from the audience – How did they make the decision to organize their WANTS? What made one want a priority over another?
- FLIP-CHART responses. They will usually correspond to the definition of MI... Most important to me, most certain that I can do it, comes first in an order of priority, etc.
- Make the point that all 3 – Readiness, Importance, Confidence are factors related to motivation.

**What Is Motivation?**

- READINESS:  
a matter of priorities
- IMPORTANCE:  
the value we attach to change
- CONFIDENCE:  
belief in the ability to change

**Display Slide 27: What is Motivation?**

**Key Points:**

- Review examples on p. 2-14-15.

**What is motivation?**

1. Motivation is characterized by AMBIVALENCE and RESISTANCE... It is a state.. It is fluid and dynamic
2. Motivation is NOT a trait...
3. Motivation is complex...

MOTIVATION IS INTRINSIC... but we as practitioners can influence others to change by exploring ambivalence, increasing importance and building confidence...

**Display Slide 28: What is Motivation?**

**Key Points:**

- Provide a summary of key concept introduced in this segment

## **Training Overview**

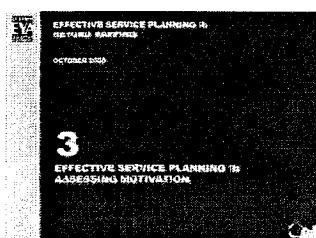
### **Day # 1**

#### **CHAPTER 3 – ASSESSING MOTIVATION**

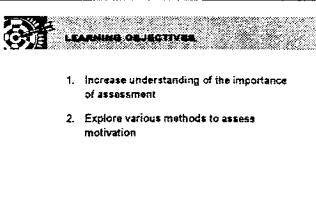
<b>Activity</b>	<b>Topics</b>	<b>Time</b>
3.1 The Transtheoretical Model of Change	<ul style="list-style-type: none"><li>▪ Focus on the importance and utility of assessing motivation to change.</li><li>▪ Overarching goal of assessment is to apply stage-matched strategies.</li><li>▪ Introduce the Transtheoretical model developed by Prochaska and colleagues</li><li>▪ Provide opportunities for participants to explore and use this model to assess readiness.</li></ul>	45 min.
3.2 Importance and Confidence	<ul style="list-style-type: none"><li>▪ Introduce two additional methods to assess motivation - importance and confidence</li></ul>	15 min.
<b>BREAK</b>		

## CHAPTER 3

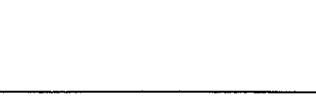
3.1		ASSESSING MOTIVATION: THE TRANSTHEORETICAL MODEL OF CHANGE
<b>TIME</b>	45 minutes	
<b>GOAL</b>	<ul style="list-style-type: none"> <li>▪ Introduce the Transtheoretical Model (Stages of Change)</li> <li>▪ Provide opportunities for participants to explore and use this model to assess readiness.</li> </ul>	
<b>SUPPLIES</b>	<ul style="list-style-type: none"> <li>▪ Power-Point Projector (in Focus) or Overhead Projector</li> <li>▪ Screen</li> <li>▪ Flip-chart and markers</li> <li>▪ Workbook-Chapter 3</li> <li>▪ Prepare 4 signs and tape around the room:           <ul style="list-style-type: none"> <li>○ Not willing to make a change</li> <li>○ Unsure about making a change</li> <li>○ Ready to make a change sometime soon</li> <li>○ Doing something different</li> </ul> </li> </ul>	
<b>SET-UP</b>	<p>The segment begins with a large group presentation and then group exercises. The trainer should be prepared to teach the participant's the Stages of Change Model. This segment should be taught in an upbeat fashion. HAVE FUN!!! The audience typically enjoys this.</p> <p><i>Read- Prochaska's- "Changing for Good" in preparation to train this section.</i></p>	

**INSTRUCTIONS:****Display Slide: Assessing Motivation****Key Points:**

- Introduce the segment
- Tell them the goal of this segment is to encourage participants to assess motivation.
- Ask them why it is critical to assess motivation.
- Try to elicit the following response:
- Assessing motivation is essential – if we know the stage of readiness we can apply appropriate interventions.

**Display Slide: Learning Objectives****Key Points:**

- Review the learning objectives

**Display Slide: Assessing Motivation****The Transtheoretical Model of Change****Key Points:**

- Begin this segment by reviewing the Transtheoretical Model of Change. This model was introduced in Training 1 and it is highly likely that the participants have seen it in other trainings.
- Ask the participants if they are familiar with the model and comfortable with using it to assess motivation.
- It is likely there will be several individuals who have never seen the model thus it will be necessary to provide a brief introduction.
- Review the key points on the slide.

**INSTRUCTIONS:****Display Slide: 3.1: Assessing Motivation**

**SECTION 3.1: ASSESSING MOTIVATION**

- People need to go through each stage – they cannot skip stages
- Each stage does not inevitably lead to the next
- It is possible to get stuck at one stage
- Relapse is a normal part of the change process

You can help to influence movement from one stage to the next by applying strategies that are effective at each stage

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**Key Points:**

- Complete the description of the Stages of Change Model
- Use examples when appropriate to illustrate the key points
- After you have discussed RELAPSE- ask them:
  - How might assessing each of the six stages help you when working with youth?
- Elicit their reactions and then provide as summary statement: *If we know what stage people are in then we can apply very different strategies. We will do something different with someone in Pre-Contemplation than someone who is in Preparation.*

**Display Slide: Stages of Change**

**STAGES OF CHANGE (Prochaska & DiClemente)**

Pre-contemplation  
Contemplation  
Preparation  
Action  
Maintenance  
Relapse

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**Key Points:**

- Spend some time talking about the six stages.
- You can use a generic example to illustrate the differences in how people view change at each stage.
- You are also encouraged to use a youth example. One that is typical is marijuana use.
- Clearly illustrate how attitudes change as you move from one stage to the next. Make the point that once someone is in preparation they are expressing COMMITMENT and they are willing to START to DO something different.

**Display Slide: "I've been thinking lately..."**

"I've been thinking a lot lately about moving my hat around."

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**Key Points:**

- Ask them what stage this individual is in.
- Expected response – PREPARATION.

**Display Slide: What to Listen and Look for...**

**STAGES OF CHANGE**

What to Listen and Look for...

Phase 1: Pre-Contemplation, Contemplation  
Phase 2: Preparation, Action, Maintenance  
Relapse

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**Key Points:**

- Give the group a few minutes to review the information on p. 3-4 and 3-5. [Note: if they are familiar with the stages of change then tell them you will move directly to an activity.]

**INSTRUCTIONS:****EXERCISE 3.1, Page 3-6****CAN YOU DETERMINE THE STAGE?****EXERCISE 3.1, Page 3-6****Display Slide: Exercise 3.1, Page 3-6  
Can You Determine the Stage?****Key Points:**

- Ask the participants to work on their own.
- Provide them with instructions to complete the exercise. They should read each statement and then determine the Stage of Change.
- Give them approximately 5 minutes to complete the activity.
- DEBRIEF using the slides below. It is important to be very upbeat during the debrief. Read part of the statement, solicit the response and then affirm them for the correct answer.

**EXERCISE 3.1, Page 3-6**

1. "I really don't need a program to help me manage anger. I only get angry when people try to push me around and I can control my temper if I want to."

2. "For the last six months, even my mother thinks that I'm behaving differently now. She says I'm not as uptight anymore and that I listen more. She's happy and I'm happy. This was the right thing for me."

**EXERCISE 3.1, Page 3-6****Display Slide: Exercise 3.1, Page 3-6  
Can You Determine the Stage?****Key Points:**

- Item 1- Correct response: Pre-Contemplation
- Item 2- Correct response: Maintenance

**EXERCISE 3.1, Page 3-6**

3. "I really don't want to end up back in detention, but I'm not sure that talking to some counselor is going to help me."

4. "I'm working on controlling my anger. I know I'm going to need as much help as possible."

5. "When I landed up in here the last time, I swore I would never get into trouble again. I guess it's time to start making some changes in my life or I'll be back."

**EXERCISE 3.1, Page 3-6****Display Slide: Exercise 3.1, Page 3-6  
Can You Determine the Stage?****Key Points:**

- Item 3- Correct response: Contemplation
- Item 4- Correct response: Action
- Item 5- Correct response: Contemplation

**EXERCISE 3.1, Page 3-6**

6. "I have been using the stuff that I learned in group so that I don't get so angry and uptight. I haven't had a disciplinary incident for over a month. Think I'll keep this up."

7. "People are always on my case to do something with my life. But I know what I have to do to stay out of here. I can take care of myself. I just need to stay clear of my old friends."

**EXERCISE 3.1, Page 3-6****Display Slide: Exercise 3.1, Page 3-6  
Can You Determine the Stage?****Key Points:**

- Item 6- Correct response: Action
- Item 7- Correct response: Pre-Contemplation

**INSTRUCTIONS:****EXERCISE 3.1, Page 3-6**

8. "If everyone would just stay off my back - everything would be fine."
9. "Everyone I know smokes a little pot once in a while. It's not a big deal."
10. "I've finished the anger program and now I'm going into a substance program. I've learned a lot and like the people I've met. I think I'm doing pretty good."

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## Display Slide: Exercise 3.1, Page 3-6 Can You Determine the Stage?

**Key Points:**

- Item 8- Correct response: Pre-Contemplation
- Item 9- Correct response: Pre-Contemplation
- Item 10- Correct response: Maintenance/Action

**EXERCISE 3.1, Page 3-6**

11. "I'm getting out of here in three weeks and have enrolled in a GED program."
12. "The only people I know who don't drink at parties are the kind of people who would never get invited anyway. Just because I made one stupid mistake doesn't mean I've got a problem."

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## Display Slide: Exercise 8.1, Page 3-6 Can You Determine the Stage?

**Key Points:**

- Item 11- Correct response: Action
- Item 12- Correct response: Pre-Contemplation

**EXERCISE 3.1, Page 3-6**

13. "My correctional practitioner is telling me that he wants me to participate in drug and alcohol counseling. I'm worried about going but I want things to be different when I get out and I've got to start somewhere."

14. "No one got hurt so what's the big deal?"

15. "Almost everyone I know does something that is illegal. That's life."

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## Display Slide: Exercise 8.1, Page 3-6 Can You Determine the Stage?

**Key Points:**

- Item 13- Correct response: Contemplation
- Item 14- Correct response: Pre-Contemplation
- Item 15- Correct response: Pre-Contemplation

**INSTRUCTIONS:****EXERCISE 3.2, Page 3-7****WHERE AM I NOW?****Display Slide: Exercise 3.2, Page 3-7****Where Am I Now?****Key Points:**

- In advance of the session prepare the following 4 signs
  - Not willing to make a change
  - Unsure about making a change
  - Ready to make a change sometime soon
  - Doing something different
- The signs should be posted sequentially around the room and provide enough room for people to stand under them
- Provide the following instructions:
  - *It has just been determined by leading experts around the world that watching TV leads to Alzheimers... The experts are encouraging everyone to STOP watching TV immediately.*
  - *What would you do?*
  - *Stand under the sign that best characterizes your reaction to this news.*
- Once participants are standing under a sign- tell them that we have two challenges: (1) we will listen to what people are saying to determine if they are in the "right" stage; (2) we will focus on the major challenges faced by practitioners to move the individual from one stage to the next.
- Begin with Pre-Contemplation. Ask the participants standing under this sign to comment on why they chose this spot. Listen closely for their comments and ask the remainder of the group to assess what stage they are in.
- It is not unusual to shift people once they start to express their attitudes- do this in a fun way.
- Next ask the entire group- what the primary challenge is for the practitioner. For pre-contemplation the task is to increase doubt and problem recognition.
- Finally ask them what strategies they might use to shift someone.
- Repeat this process for all of the stages.
- This exercise is designed to be fun and to give the participants additional practice at assessing readiness for change.
- The exercise can take as long as 20 minutes depending on the group size. Try not to let it go on too long as it can become tedious. Once you have elicited a few comments from one group go to the next.

## CHAPTER 3

3.2	ASSESSING MOTIVATION: IMPORTANCE AND CONFIDENCE
<b>TIME</b>	15 minutes
<b>GOAL</b>	<ul style="list-style-type: none"><li>▪ Introduce two additional methods to assess motivation</li><li>▪ Learn to assess importance</li><li>▪ Learn to assess confidence</li></ul>
<b>SUPPLIES</b>	<ul style="list-style-type: none"><li>▪ Power-Point Projector (in Focus) or Overhead Projector</li><li>▪ Screen</li><li>▪ Flip-chart and markers</li><li>▪ Workbook-Chapter 3</li></ul>
<b>SET-UP</b>	Large Group Presentation.

**INSTRUCTIONS:****3.2 ASSESSING MOTIVATION: IMPORTANCE AND CONFIDENCE**

MOTIVATION WAS DEFINED EARLIER AS:

- readiness (priority)
- importance (willing)
- confidence (able)
- A very simple way to assess motivation is to use scaling techniques...

**EXERCISE 3.3, Page 3-8****ASSESSING IMPORTANCE AND CONFIDENCE****Display Slide: 3.2 Assessing Motivation: Importance and Confidence****Key Points:**

- Tell them that there is another way to assess motivation using a simple Likert Scale to determine if the individual values change and if they feel able to make the change.

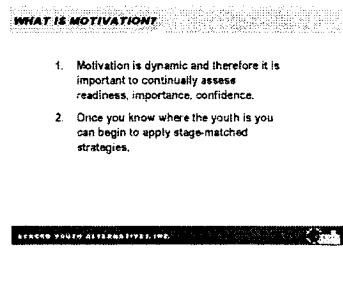
**Display Slide: Exercise 3.3, Page 3-8  
Assessing Importance and Confidence****Key Points:**

- Review the instructions for the activity on p. 3-8. It is very important to explain the activity verbally. That is, tell them to reflect on the priority want identified earlier – then tell them to rate how important that want is on a scale of 0 - 10, with "0" being not at all important and "10" being very important.
- Give them a moment to record their score.
- Then move on to rate confidence. Review the instructions.
- DEBRIEF:
- Begin the debrief by asking the participants who had a rating of 5 or higher on the importance scale. Everyone should have a high rating because they chose the priority target.
- Pick out a participant and ask them to pull out their bottom want. Tell them this is the behavior you want them to focus on. Then ask them to give you an importance rating. Typically it will be lower because it was not their top want and you picked it out not the participant.
- Ask the group what the primary task of the practitioner is when someone has a low importance rating. Look for responses that indicate the practitioner should help to increase problem recognition, increase doubt, etc. This can be accomplished by looking at pros and cons, giving information, etc.
- Move on to ask for a show of hands- the number of participants who gave themselves a high confidence rating (greater than 5). Focus on one or two participants with a low rating and ask the group what the primary task of the practitioner is.
- The expected response is: the practitioner should work build efficacy through affirmations, looking for exceptions, goal-setting etc.

**INSTRUCTIONS:**

- Before leaving this activity ask one final question:  
Tell the group to pretend that someone came in with a low importance rating and a low confidence rating. Where should they start first?
- The correct response is IMPORTANCE... if the individual does not value change it will be very hard for the practitioner to move the youth.

**Display Slide: What is Motivation?**

- 
1. Motivation is dynamic and therefore it is important to continually assess readiness, importance, confidence.
  2. Once you know where the youth is you can begin to apply stage-matched strategies.

**Key Points:**

- Before leaving this segment provide participants with a summary statement.
- Tell them that motivation is dynamic and this means we should constantly assess readiness, importance and confidence
- Once you have a good understanding of the youth's level of motivation you can apply stage-matched strategies.
- We will give you a chance to practice some of these strategies in the next segment.

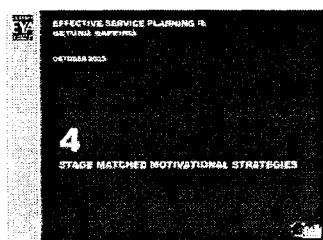
## Training Overview

### Day 1 PM

<b>CHAPTER 4: STAGE MATCHED MOTIVATIONAL STRATEGIES</b>		
<b>Activity</b>	<b>Topics</b>	<b>Time</b>
4.1 Stage Matched Strategies	<ul style="list-style-type: none"> <li>▪ Move from assessing motivation to eliciting self-change talk</li> <li>▪ Focus on Phase I: Pre-Contemplation and Contemplation</li> <li>▪ Review OARS- basic skills</li> <li>▪ Explore and practice Phase I strategies</li> </ul>	45 min.
4.2 The Decisional Balance Exercise	<ul style="list-style-type: none"> <li>▪ Introduce the decisional balance</li> <li>▪ Model the decisional balance</li> <li>▪ Provide opportunity for skill practice</li> </ul>	75 min.
Wrap-Up Activities	<ul style="list-style-type: none"> <li>▪ Review questions and concerns</li> <li>▪ Review agenda for Day 2</li> </ul>	15 mins.
<b>END DAY 1</b>		

## CHAPTER 4

4.1	STAGE MATCHED STRATEGIES
<b>TIME</b>	45 minutes
<b>GOAL</b>	<ul style="list-style-type: none"><li>▪ Review the Stages of Change and major tasks connected to Phase 1 and Phase 2</li><li>▪ Summarize the essential strategies – OARS (open questions, affirmations, reflections, summaries)</li><li>▪ Introduce brief intervention strategies</li><li>▪ Provide opportunity for skill practice</li></ul>
<b>SUPPLIES</b>	<ul style="list-style-type: none"><li>▪ Power-Point Projector (In Focus) or Overhead Projector</li><li>▪ Screen</li><li>▪ Flip-chart and markers</li><li>▪ Workbook-Chapter 4</li></ul>
<b>SET-UP</b>	The pacing of this segment should be moderately fast. Try to engage the audience by introducing a skill and asking them when and how they can use it.

**INSTRUCTIONS:****Display Slide: Stage Matched Motivational Strategies****Key Points:**

- Introduce this segment
- Tell the participants that once we know the stage of readiness we can begin to apply stage-matched interventions.
- Tell them that in this segment we will focus on Phase I- youth that are in the pre-contemplation and contemplation stages.

**LEARNING OBJECTIVES**

1. Introduce stage-matched strategies
2. Focus on intentional-motivational interviewing
3. Introduce OARS (the micro-skills)
4. Explore and practice brief interventions strategies

**Display Slide: Learning Objectives****Key Points:**

- Briefly review the learning objectives

**4.1: STAGE MATCHED STRATEGIES – PHASE I****Display Slide: 4.1: Stage Matched Strategies – Phase I****Key Points:**

- Briefly review the major tasks for the practitioner that are associated with Phase I
- Essentially our role is to raise doubt, increase the perception of risk and elicit self-change talk...
- Once the youth starts to express commitment language we can then go on to Phase 2.

**STAGE MATCHED STRATEGIES****PHASE II**

<b>PREPARATION</b>	<ul style="list-style-type: none"> <li>▪ Help the youth to determine the best course of action to take in seeking change</li> <li>▪ Increase the chances of success by focusing on what the youth believes is possible</li> </ul>
<b>ACTION</b>	<ul style="list-style-type: none"> <li>▪ Help the youth take steps toward change</li> <li>▪ Work on barriers and obstacles to change</li> </ul>
<b>Maintenance</b>	<ul style="list-style-type: none"> <li>▪ Help the youth to identify and use strategies to prevent relapse</li> </ul>

**Display Slide: Stage Matched Strategies – Phase II****Key Points:**

- Review the major tasks at Phase 2.

**INSTRUCTIONS:**

**PHASE I STRATEGIES**

**THE ESSENTIALS**

- I. Open-ended questions
- II. Affirmations
- III. Reflective listening
- IV. Summarizing

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**Display Slide: Phase I Strategies – The Essentials****Key Points:**

- Review the Phase I essentials
- Quickly ask the audience to recall the four micro-skills discussed during the YASI training
- Elicit a definition of each and ask them why they are important to help elicit information during the assessment.
- Tell them that in this segment we are going to use the same skills but this time our goal is not to elicit assessment information but to very intentionally elicit self-change talk from the youth.

**METHODS TO ELICIT SELF-MOTIVATIONAL STATEMENTS**

**EVOCATIVE QUESTIONS**

This is a very direct approach using open-ended questions to explore the youth's own perceptions about concerns.

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**Display Slide: Methods to Elicit Self-Motivational Statements****Key Points:**

- Begin with EVOCATIVE QUESTIONS
- Refer participants to p. 4-3 and provide a definition for evocative questions.

**EVOCATIVE QUESTIONS**

Miller and Rollnick (2002) provide the following examples of evocative questions that fall into four general categories:

- Disadvantages of the Status Quo
- Advantages of Change
- Optimism about Change
- Intention to Change

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**Display Slide: Evocative Questions****Key Points:**

- Give participants a few minutes to review the questions on p. 4-3 and 4-4.
- Tell them that our goal is to get the youth talking about change.
- Ask them how these questions might be helpful

**EXERCISE 4.1, Page 4-5**

**EVOCATIVE QUESTIONS**

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**Display Slide: Exercise 4.1, Page 4-5**  
**Evocative Questions****Key Points:**

- Ask the participants to break into pairs.
- They can work with whoever they want.

**INSTRUCTIONS:****Key Points:**

- Refer them to Exercise 4.1 and review the instructions verbally.
- One member of the pair will play the role of Lewis Smith and the other member will be the professional.
- The professional is trying to move Lewis from pre-contemplation about going to a substance abuse program to contemplation or preparation.
- The goal of this exercise is to give the participants some practice in using the various questions.
- The professional is encouraged to review each question (modifying it to make it meaningful for the exercise) and to circle the questions that they felt helped to shift the youth.
- Provide an example:
- Tell them that you are the professional and pick someone from the audience to be Lewis Smith... begin on p. 4-3 with Disadvantages of the Status Quo. Begin by saying: *Lewis I understand that you do not want to go to the substance abuse program. I'd like to get a better idea of what concerns you about that can I ask you a few questions. What worries you the most about going into the substance abuse program?*
- Stop the demonstration once you are sure that the participants are clear about the instructions.
- Give the participants 10-15 minutes to try out the questions. They do not have to reverse roles.
- DEBRIEF:
- Ask them:
  - Which questions were most powerful?
  - Were you able to shift the youth just a bit to consider going to a drug program?
  - How will you use these questions in the future?
  - Tell me why evocative questions are so important?

Expected response: Self-change talk = greater motivation and greater likelihood of success.

**STAGE MATCHED STRATEGIES**

- Elaboration
- Scaling Questions
- Using Extremes
- Looking Back
- Looking Forward
- Looking for Exceptions
- Exploring Goals
- Decisional Balance

**Display Slide: Stage Matched Strategies – Phase I****Key Points:**

- Refer participants to p.4-6
- Tell them there are a number of additional brief intervention strategies that we can use to elicit self-change talk.

**INSTRUCTIONS:****Key Points:**

- Refer participants to p.4-6
- Review each strategy (exception Decisional Balance) – provide a definition and an example of how it can be used.
- Tell them you will give them the chance to try out the decisional balance activity later this afternoon.
- Once you have completed this – ask the participants to work in pairs again. This time they should reverse roles. The professional should try out as many strategies as possible. The other member of the pair should play the role of Lewis. Lewis does not really believe he has a problem with alcohol and drugs. The professional should use the strategies to promote problem recognition.
- Give them 10-minutes to complete this activity.
- DEBRIEF:
- Ask the participants to identify the strategies that worked best for them and that they felt increase awareness of the problem.
- Elicit additional strategies that can be used with resistant clients.

## CHAPTER 4

### 4.2

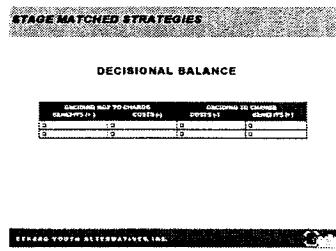
### THE DECISIONAL BALANCE EXERCISE

**TIME** 75 minutes

- GOAL**
- Introduce the Decisional Balance Exercise
  - Provide a model demonstration
  - Give the opportunity for skill practice

- SUPPLIES**
- Power-Point Projector (in Focus) or Overhead Projector
  - Screen
  - Flip-chart and markers
  - Workbook-Chapter 4
  - Prepare a decisional balance on a flip-chart in advance of the session.

**SET-UP** This segment is designed primarily for skill practice. Be prepared to explain and model the various skills.

**INSTRUCTIONS:****Display Slide: 4.2: Stage Matched Strategies****Key Points:**

- Refer participants back to p. 4-7 and introduce them to the decisional balance.
- MODELING ACTIVITY:
- In advance of the session prepare the decisional balance worksheet from p 4-10 on a flip-chart.
- Choose a volunteer from the audience who is willing to share a behavioral problem and to complete the decisional balance with you.
- Ask the volunteer to consider their wants and to choose one behavior that they are ambivalent about changing.
- Write the behavior on the TOP of the flip-chart. Make sure you are clear about the identified behavior and that it is something that everyone can picture. For example, they might say I want a better job. Ask them to tell you what behavior they will have to change to get closer to that goal.
- The demonstration should not take longer than 10-15 minutes but ensure that you model the use of all of the OARS skills.
- Once you have finished eliciting information provide a double-sided reflection. Begin by summarizing information in the left hand column and asking the individual to identify the greatest obstacle to change. Then summarize information from the right hand column and ask them to identify the greatest incentive for change.
- Pull the two statements together to model the double-sided reflection.
- DEBRIEF:
- Begin by eliciting feedback from the volunteer and ask them what they like about the exercise. Turn to the remainder of the group and ask them when they would find it useful.

**INSTRUCTIONS:**

EXERCISE 4.2, Page 4-8

**Display Slide: Exercise 4.2, Page 4-7  
The Decisional Balance Exercise**

COMPLETE THE DECISIONAL BALANCE

**Key Points:**

- Ask the participants to choose one of the wants that they identified previously during the post-it-note exercise.
- Tell them to choose something that they are still ambivalent about and to identify the behavioral change they will have to make to get closer to the want.
- Ask participants to pair up with someone in the room that they do not know.
- Review the instructions on p. 4-8.
- Give them 15- minutes for the first interview. Tell them to check in with you. Review their results and then tell them to reverse roles. Give them another 15 minutes to conduct the second decisional balance.
- Remind them to probe for additional information when they receive vague answers – for example: “*I want to be healthier*”... *this can mean a lot of different things to ask them to tell you what it will look like if healthier.*
- Also remind them that they should come up with a double-sided reflection.
- DEBRIEF:
  - Ask each of the pairs to introduce their partners, to tell us the behavior they focused on, and to provide the double-sided reflection. DO NOT let them reveal all of the information elicited from each box. They should give a summary statement... “*The greatest obstacle is... but the greatest incentive is ...*”
  - Provide lots of encouragement and reinforcement.
  - Review pitfalls... Tell them that sometimes the left-hand column will have more responses than the right. This means that the individual is in pre-contemplation. To shift them – ask them to consider the short-term and long-term consequences of responses in each column. Typically the left-hand column will yield responses that have positive effects but they tend to be short-term. In the right hand column the positives last much longer.

**INSTRUCTIONS:****Key Points:**

- Elicit feedback from the group as to when and where they will use the decisional balance.
- Clarify any questions or concerns.
- Encourage them to use different types of tools like the one on p. 4-8.

**DECISIONAL BALANCE****HELPFUL TO:**

- Increase problem recognition and insight
- Explore importance
- Determine the greatest obstacles
- Obstacles can become short-term goals and objectives
- Helps us to ELICIT SELF-CHANGE TALK.

**Display Slide: The Decisional Balance Exercise****Key Points:**

- Review the advantages of using the decisional balance.

**Wrap-Up Activities****Key Points:**

- Elicit any questions or concerns about the day.
- Review the agenda for Day 2.
- Thank them for their attention and participation.

## Training Overview

### Day 2 AM-PM

<b>CHAPTER 5: EFFECTIVE CASE PLANNING</b>		
<b>Activity</b>	<b>Topics</b>	<b>Time</b>
5.1 Developing an Effective Case Plan	<ul style="list-style-type: none"> <li>▪ Review definition of effective case planning</li> <li>▪ Review six steps (tasks and responsibilities)</li> </ul>	15 min.
5.2 Step1: Case Analysis	<ul style="list-style-type: none"> <li>▪ Review cases</li> <li>▪ Complete worksheet</li> </ul>	90 min.
5.3 Step 2 : Feedback	<ul style="list-style-type: none"> <li>▪ Demonstrate feedback</li> <li>▪ Practice</li> </ul>	60 mins.
5.4 Step 3 : Prioritize	<ul style="list-style-type: none"> <li>▪ Demonstrate prioritizing</li> <li>▪ Practice</li> </ul>	15 mins.
5.5 Step 4 : Assess Motivation	<ul style="list-style-type: none"> <li>▪ Practice</li> </ul>	60 mins.
<b>LUNCH</b>		
5.6 Step 5: Focusing	<ul style="list-style-type: none"> <li>▪ Teach tips to set SMART goals</li> <li>▪ Demonstration</li> <li>▪ Practice</li> <li>▪ Presentation</li> </ul>	75 min.
5.3 Step 6 : Review and Update	<ul style="list-style-type: none"> <li>▪ Focus on relapse prevention</li> <li>▪ Identifying high risk situations</li> </ul>	30 mins.