



Tertiary First Step to Success Resource Manual

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The field of mental health has developed a more robust presence in the process of schooling within the past decade as school leaders, policy makers, legislators and the general public have broadly recognized the needs of a substantial number of students who experience dysfunctional out-of-school conditions of risk. There is now a national center (<http://csmh.umaryland.edu>), two journals (*School Mental Health* and *Advances in School Mental Health*), and an annual conference devoted to school mental health. These developments reflect a growing concern about (a) the risks that vulnerable students are bringing with them as they enter school; (b) the destructive pathways on which these risk profiles place them as they engage the schooling process; and (c) the stress that these students place upon existing school resources and infrastructure. Without appropriate and timely intervention, these factors and conditions may severely disrupt their learning and achievement, place them at substantial developmental risk over the long term, prompt concerns for the safety of teachers and classmates, and diminish the overall quality of learning for all students (See Adelman, 2007; Burns & Hoagwood, 2002; Kutash, Duchnowski, & Lynn, 2006).

Often these negative developmental influences result in untreated mental health problems and psychiatric disorders that not only impair school success but are also associated with long term negative outcomes throughout adolescence and adulthood. Angold (2000) estimated that approximately 20% of students in K-12 settings experience a diagnosable mental disorder (e.g., conduct disorder, depression, anxiety disorders). The work of Hoagwood and her colleagues (See Levitt, Saka, Hunter-Romanelli & Hoagwood, 2007.) has provided seminal analyses of the extent to which K-12 students are vulnerable in their mental health risk status. Further, Stoep, Weiss, Kuo, Cheney, and Cohen (2003) have calculated and reported a longitudinal risk index to estimate the extent to which school failure is associated with adolescent psychiatric disorder. Based on their findings, they argue that over half of U.S. adolescents who fail to complete their high school experience have a diagnosable psychiatric disorder.

Patterson (1982) has noted that severe stress levels from such factors as drug and alcohol abuse, family dysfunction, poverty, unemployment, and marital discord overwhelm many families. As a result, the normal parenting practices of caregivers can be disrupted with deleterious effects on their students. Recognition of the importance of this growing and intractable societal problem is reflected in recent legislative initiatives at federal, state, and local levels. Family factors include single parent status; low socio-economic status (SES); marital maladjustment; maternal depression; paternal substance abuse; and critical, harsh, and ineffective parenting (Bernal, 1984; Beauchaine, Webster-Stratton, & Reid, 2005). A major barrier to positively impacting family dynamics and managing problem student behavior has been lack of access to competent professionals. In addition, Patterson and Chamberlain (1994) concluded that parental motivation to change is a critical yet often neglected factor in improving parenting practices.

Literature Review

Few empirically validated interventions exist for school personnel to alter the developmental pathways of young students with severe behavior problems whose parents have multiple stressors. This is particularly disconcerting given sharp increases in the incidence of dysfunctional behavior patterns of clinical significance among students just beginning their school careers (McCabe, Hernandez, Lara, & Brooks-Gunn, 2000; Powell, Fixsen, Dunlap, Smith, & Fox, 2007; Qi & Kaiser, 2003). In a recently published review and analysis of more than 2,000 articles published between 1990 and 2006 on school-based, mental health interventions, Hoagwood et al. (2007) identified 64 methodologically rigorous studies for inclusion. Of these, 24 examined *both* educational and mental health outcomes. The majority of these interventions focused on elementary-age students and targeted prosocial, aggressive, and antisocial forms of behavior. Fifteen of the 24 studies demonstrated a positive impact on both educational and mental health outcomes. Of these, 11 included home and school components with a focus on engaging and coordinating parents and teachers. Among those with a home and school component, Hoagwood et al. listed the First Step to Success program as exemplary.

This review also demonstrated that interventions with a positive impact upon mental health outcomes and *not* on educational outcomes failed to fully engage families, suggesting that a family-focused intervention component may be critical for impacting educational outcomes. Additionally, Hoagwood and her associates observed that school interventions that are judged effective with students at the tertiary level (i.e., cases in which treatment is indicated) contain a well-designed family component intensive enough to substantively impact school outcomes and address the student's social, emotional, and mental health problems. In addition to including a family component, the empirical literature advocates for interventions that are sufficiently flexible to be responsive to the unique situations, needs, and risk factors of families requiring intensive, tertiary-level support.

The review by Hoagwood et al. (2007) included effective secondary prevention programs such as Incredible Years (Reid, Webster-Stratton, & Hammond, 2003; Webster-Stratton, Reid, & Hammond, 2004) and First Step to Success (Walker, et al., 1997; 1998). While these interventions, which target young students, can have an impact, it's generally not sufficient to substantially decrease severe behaviors or increase the prosocial and adaptive functioning of the more severely disordered, tertiary-level students. These students and their families require interventions characterized by a comprehensive, community-based approach in addition to components that foster positive reinforcement systems in home and school settings. The need remains substantial for targeted, multi-component, early interventions that are effective with students who have a host of individual and family risk factors. Reid (1993) has noted that such intervention approaches must address the three social agents most critical in a youth's life: parents, teachers and peers. Further, to be effective, they must develop meaningful and substantive roles and forge working partnerships between school, home, and community agencies.

Reducing barriers to the learning and achievement of vulnerable, at-risk, and severely impaired students is a strong focus of school mental health. We believe this important goal can best be realized when schools and families work together to insure the school success of all students. However, for students with severe behavior problems and multiple family risk factors, it is important to not only intervene in school as effectively and as early as possible but also to develop and implement comprehensive intervention plans in which schools, families, and mental health professionals collaborate. Unfortunately, school- and family-based interventions tend to operate in parallel universes. All too often, school interventions do not have the necessary research-supported knowledge, skills, power, and resources to succeed. They also face the challenge of weak parent support and lack of participation, or are too narrowly focused—centering intervention practices on the student alone.

Tertiary First Step to Success was developed in response to the growing recognition and need for school-based interventions that more effectively address family- or community-based risk factors. An interdisciplinary team from the University of Louisville and the Oregon Research Institute, composed of researchers in special education, school social work, and school psychology, developed a tertiary version of the First Step intervention via an IES-funded development project with the aim of more effectively altering home and school ecologies and increasing the likelihood that change is maintained following the intervention.

First Step to Success was designed as a secondary prevention intervention. It targets primary grade students with emerging to moderate behavior disorders rather than students whose challenging behavior is already entrenched across home, school and community settings. First Step has three modular components: (1) a universal screening and early identification procedure; (2) an adapted school intervention procedure called CLASS (Contingencies for Learning Academic and Social Skills—see Hops & Walker, 1988); and (3) homeBase, a family intervention in which parents learn to teach school success skills at home. Over the past two decades, the First Step program has been extensively researched and recognized as an effective early intervention for Kindergarten-3rd grade at-risk students who externalize mild to moderate problems (Walker et al., in press). While the efficacy of the First Step intervention has been replicated repeatedly (Walker et al., 2009; Loman, Rodriguez, & Horner, 2010), it has also been shown to be less effective for students with more severe tertiary level disorders and has a less dramatic impact on behavior in the home than within the school

setting. In addition, many of the positive gains students demonstrate immediately following implementation of the First Step program tend to fade once the intervention is discontinued and if monitoring and booster sessions are not provided (Walker et al., 2009). Tertiary First Step is designed so that changes in parent behavior that result from the intervention procedures are maintained after the intervention, thereby reducing the dependency on monitoring and booster sessions, and sustaining the impressive short-term effects that the First Step to Success program consistently produces.

Theoretical Underpinnings

The way that secondary and tertiary-level First Step variations are grounded in social learning theory has been articulated by Patterson and his associates (See Patterson, 1982; Patterson, Reid & Dishion, 1992). In this model, the analysis of social contingencies, and how they account for both adaptive and maladaptive forms of behavior, are essential features for understanding behavioral outcomes. Two key constructs in this behavioral formulation are reciprocity and coercion, which govern many of the interactions and social dynamics occurring in parent-student, peer-to-peer, and teacher-student dyads. Students who are candidates for the First Step program learn to use reciprocity and coercion in unfortunate ways that often set them on a path to destructive outcomes over the long term. These students commonly learn to use refusal, arguing, and even physical aggression to get their needs met. First Step was designed to detect vulnerable students and to intervene to divert them from this path and onto one that leads to school success, with its many positive and normalizing protections.

A social-ecological framework was also used as a conceptual foundation in constructing the original First Step program (Walker et al., 1997). Social ecology refers to the interaction(s) occurring between an individual and his or her environment and dates from the 1960s and 70s (See Hobbs, 1960; 1974; and Swap, 1974). A central feature of an ecological approach is the concept of person-in-environment fit or match (Romer & Heller, 1983). This principle is defined by the extent to which an individual's characteristics (e.g., attitudes, skills, behavior or performance) match up with the beliefs, demands and expectations of the environment (a particular context or setting, such as the classroom or playground). For example, if a student is displaying challenging behaviors in the classroom setting, it is not simply the student's characteristics that should be the focus of assessment and potential intervention, but also the teacher's beliefs, demands, and expectations, as well as classroom interactions and home and school settings. A defining feature of students with behavior disorders in the school setting is a lack of person-and-environment fit. First Step was developed to enhance this fit by teaching skills and behavioral expectations and by providing supportive social contingencies and rewards in both home and school settings. Over the past fifteen years, our experience with First Step is that it accomplishes this goal when carefully implemented with students targeted for secondary prevention efforts.

Tertiary homeBase is a home component that infuses motivational interviewing, as developed by Miller and Rollnick (2012), into all interactions between coaches (i.e., First Step interventionists) and parents. According to Miller and Rollnick (2012) motivational interviewing is "a collaborative, goal-oriented style of communication with particular attention to the language of change. It is designed to strengthen personal motivation for and commitment to a specific goal by eliciting and exploring the person's own reasons for change within an atmosphere of acceptance and compassion" (p. 29). Motivational interviewing contains two active ingredients, namely, the technical motivational interviewing skills and the "spirit" or style of the therapist/consultant. The components of the spirit include: partnership, acceptance, compassion, and evocation. Four of the technical skills associated with this approach are represented by the acronym OARS: open-ended questions, affirmations, reflections, and summaries. Informing and advising are also part of the skill set. The skills are applied strategically in all four motivational interviewing processes: (1) engaging, (2) focusing, (3) evoking, and (4) planning. It's important to note that a practitioner can implement motivational interviewing without having engaged in the fourth process, but the application of the first three processes is a necessity.

There are two mediators of change supporting the theory of motivational interviewing, and both are empirically related to the spirit and technical skills (Miller & Rose, 2009). The first is change talk, or "client utterances that

favor the target behavior for change” (p. 530). The second is “sustain talk,” that is, client speech favoring the status quo. In the fields of substance abuse and health, client change and sustain talk are highly responsive to counselor style (Patterson & Forgatch, 1985; Moyers & Martin, 2006; Moyers et al., 2007). Motivational interviewing strategies are associated with increased change talk (Glenn & Moyers, 2010; Moyers & Martin, 2006). Motivational interviewing helps reveal ambivalence regarding the change process “by literally talking oneself into change” (Miller & Rollnick, 2012, p. 168) and by developing a supportive environment/relationship and evoking change talk, or the person’s own motivation to change. Another aspect of this theory of change involves the relationship between change talk and sustain talk and behavior change. Numerous studies within the substance abuse and health fields provide empirical support for the theory that change talk predicts behavior change and sustain talk is predictive of no behavior change (Amrhein, Miller, Yahne, Palmer, & Fulcher, 2003; Hodgins, Ching, & McEwen; Sellman, MacEwen, Deering, & Adamson, 2007; Sellman et al., 2001). In practice, the most common feature of motivational interviewing is the sharing of assessment data to enhance participant engagement and motivation to change. The original application of this assessment feedback routine was part of the drinker’s check-up (Miller & Sovereign, 1989) and has been adapted for marijuana use (Swan, et al., 2008), recovery management (Rush, Dennis, Scott, Castel, & Funk, 2008), classroom management (Reinke, Lewis-Palmer, & Merrel, 2008), marital (Morrill et al., 2011) and family interventions (Dishion & Stormshak, 2007; Slavet, et al. 2005).

Coach Prerequisite Skills

We believe a First Step coach implementing Tertiary homeBase needs two skills: (1) proficiency in motivational interviewing and (2) ability to apply behaviorally based interventions with parents of students having challenging behavior. Since the coach is the primary implementer of Tertiary homeBase, the parents don’t need to be trained in the motivational interviewing approach.

Tertiary First Step

Tertiary First Step includes three components of First Step that have been enhanced for children with extremely challenging behavior. The first includes screening procedures for identifying appropriate participants. The second, Tertiary CLASS, is very similar to the original CLASS intervention, but includes modifications often necessary for successful implementation with tertiary-level students. Finally, Tertiary homeBase, the home component, is an adaptation of motivational interviewing.

Screening. Screening children to determine the most applicable variation of the First Step intervention for their participation is an important process and supports the likelihood of positive outcomes for the focus child and the family. There are two decision models for determining when to apply Tertiary First Step. They are the triage model and the response to intervention model. In the triage model, it is clear from the outset that a short-term, secondary prevention program like First Step would be insufficient to address and resolve the student’s problems. In the response to intervention model, it is less clear initially whether a student should be assigned immediately to the secondary or to the tertiary-level First Step variation. In such cases, it may be advisable to first try the original First Step intervention (i.e., secondary variation) to see how well the student responds and use this information to determine which option is most appropriate going forward.

Tertiary CLASS. Modifications to the CLASS school intervention component for tertiary-level students have been developed to address the needs of students with severe behavioral involvements. There are strategies for all students identified as having serious, tertiary-level challenges, and there are additional strategies for students who still experience two recycle days within the first 10 days of the CLASS program.

Tertiary homeBase. Tertiary homeBase typically takes two to six 60-minute sessions (i.e., home visits). During the homeBase intervention, parents are encouraged to modify their parenting practices consistent with one or more of the five universal principles of positive behavior support that are central to the First Step intervention. These principles are: (1) establish clear expectations; (2) directly teach the expectations; (3)

reinforce the display of expectations; (4) minimize attention for minor inappropriate behaviors; and (5) establish clear consequences for unacceptable behavior (Golly, 2006; Sprague & Golly, 2013). Tertiary homeBase comprises primers, a curriculum, program integrity tools, and a troubleshooting guide. The primers support the coach in the implementation of skills necessary to implement the intervention with integrity. The curriculum provides procedural guidelines and resources to implement the intervention steps completed by the coach, in partnership with the parent. These steps correspond to those detailed in the Motivational Interviewing Navigation Guide (MING; Frey, et al. in press; Lee, et al., in press). The MING is a process for increasing intrinsic motivation to adopt and implement evidence-based practices (EBP) with integrity in school and home settings. The steps, which mirror the Tertiary homeBase curricular activities, include: (1) engage in values discovery; (2) assess current practices; (3) share performance feedback; (4) offer extended consultation education and support; and (5) provide closure. Program integrity tools are provided to ensure the program is implemented as intended. These tools, as articulated in this manual, are related to case conceptualization, procedural fidelity, and motivational interviewing proficiency. They are intended as recommended guides, not prescriptive measures. Additionally, this section contains an index of videos that support training and supervision of implementers. Finally, the troubleshooting guide provides suggestions for addressing difficulties that may occur when implementing Tertiary homeBase.

Screening Recommendations

Screening Recommendations

We have found that First Step works effectively for approximately 80% to 85% of the students who qualify for it and for whom an acceptable level of implementation fidelity is provided (i.e., the program is applied with close adherence to its implementation guidelines). However, 10% to 15% of the First Step student pool has proved to be weak or non-responders that do not benefit appreciably from their participation in the program. Such students are candidates for the Tertiary First Step program variation.

Factors Accounting for Weak or Non-Responsiveness to First Step

These factors can be grouped into two large categories (a) student characteristics and (b) poor implementation of First Step. Increasingly, students and even preschoolers are bringing behavior patterns to the school setting that are very disruptive of the teaching-learning process. Our society has changed in ways that expose children to more severe risks prior to their entering school. Often these students are unprepared for the ordinary demands of the schooling process, and they are unresponsive to adult influence. They represent about 5% to 7% of the K-12 student population. These highly at-risk students create huge problems of accommodation for educators and are frequently assigned to nontraditional school placements. Many drop out before finishing high school. They rank as among *the* most difficult students that schools must try to educate, and the original First Step program is simply not powerful enough or implemented for a long enough period to adequately address their needs.

There is a larger group of at-risk students whose problems are not as severe but whose school success can also be seriously impaired by their behavioral challenges. Typically, these students are ideal candidates for First Step, but due to weak implementation by participating teachers and/or parents, they do not benefit from First Step. In most cases, these students are considered First Step program failures—not due to their own characteristics but as a result of poor implementation of the intervention’s procedures by teachers, parents, or First Step coaches.

Reasons for Program Failure

We have found that poor implementation of First Step is most likely to occur at a teacher level, followed by the parent level, and finally by the First Step coach level. In rare cases, it can occur at all three levels. This typically happens when the coach is not adequately trained or motivated to implement the program well. In the case of coaches and teachers, common reasons for poor First Step implementation are (a) the program involves too much work in exchange for the gains produced, (b) it is too disruptive of established classroom routines, (c) it is perceived as too behavioral, (d) there is persisting doubt that the program can actually work, or (e) the teacher is concerned the focus child is being singled out. Some teachers see the First Step program as rewarding the focus child for having engaged persistently in unacceptable classroom behavior. If First Step is implemented within a chaotic classroom, it works far less well than when implementation occurs in a well-managed and orderly classroom. If the issues with the teacher include classroom management skills or the implementation of the First Step intervention, the First Step classroom check-up (CCU) supplement may be an important addition to the Tertiary First Step intervention. First Step CCU was guided by the work of Reinke, Lewis-Palmer, and Merrell’s (2008) classroom check-up. Like Tertiary homeBase, the five-step MING process is embedded in the First Step CCU procedures to increase teachers’ motivation to change their behavior consistent with one or more of the five universal principles of positive behavior support that are central to the First Step intervention. First Step CCU is typically completed in two or three brief interviews with the teacher in the classroom. Although it has been implemented only in conjunction with the tertiary version of First Step, it could be implemented flexibly within the secondary program variation either as a stand-alone intervention or as one of several components of a universal program variation that is currently being developed within an overarching First Step system of support.

For parents, one of the most common reasons for poor implementation is finding the time and energy to set up the necessary homeBase activities and participate in them regularly with the child. Many parents with multiple

risk factors find that implementing a program such as First Step, even with substantial coach support, is very difficult. This burden may be even greater for single parents or when only one parent agrees to participate. Some parents may not be confident they have the required skills to effectively implement the home component of the program, which can contribute to reluctance to engage in the intervention or an unwillingness to modify their existing parenting practices. A few parents will in these circumstances agree to their child's participation in the school intervention component of First Step but choose not to participate in homeBase. This reduced dosage can account for less than desirable outcomes.

Decision Models and Criteria for Determining When to Apply the Tertiary Version of First Step

There are two decision models for determining when to apply Tertiary First Step. They are the triage model and the response to intervention (RtI) model.

The triage decision model. When it is clear from the outset that a short-term, secondary prevention would not be sufficient to address and resolve the student's problems and that he or she requires a more comprehensive intervention program (longer than three months), the triage model is used. At-risk students whose school history includes one or more of the following characteristics should be considered for the Tertiary First Step program option:

- The relationship between the caregivers and teacher or school administration is poor.
- There is evidence caregiver motivation to change parenting behavior is low.
- The child's challenging behavior is as severe or more severe in the home setting.
- There are several children in the classroom who display challenging behavior.
- The child has been assigned to a more restrictive or nontraditional school setting due to intractable behavior problems in a general education setting.
- The child has received a disabling mental health diagnosis (reactive attachment disorder, oppositional defiant disorder, bi-polar disorder).
- The child requires or has required intensive school or community-based services in order to function in school.
- The child substantially exceeds risk criteria on an acceptable social-emotional screening measure.
- The child has been certified as qualifying for EBD-based special education services and supports.
- The child has been diagnosed with ADHD, Autism Spectrum Disorder or Asperger's Syndrome.
- The child has displayed extremely aggressive behavior toward adults or classmates.
- The child exhibits severe deficits in emotional regulation.

The response to intervention decision model. If it's unclear whether an at-risk student should be assigned to Tertiary First Step or to the original, secondary-level version of the program, it may be advisable to try the First Step version first to see how well the student responds. Some schools use formal RtI progress monitoring systems that are capable of tracking student progress and identifying those children who are not responding to interventions. Additionally, some school-based teams (e.g., student assistance team, special education team) continue to make such decisions based on anecdotal observation with some degree of accuracy. It's important for there to be a consensus regarding (a) whether satisfactory progress is being made and, if not (b) what are the likely factors responsible for the lack of progress?

When it becomes apparent that the First Step program isn't effective due to poor implementation, an initial option should be to assess whether changes may remedy the factor(s) driving the poor implementation. The more economical and less intrusive such changes are, the more likely they will prove to be acceptable. Part of this overall evaluation process should be to determine the feasibility of implementing the Tertiary First Step program to address all or some of the factors accounting for the poor implementation.

Tertiary CLASS

Tertiary CLASS

This section of the troubleshooting guide contains modifications for the CLASS component of the First Step intervention that are often present when the Green Card Game is implemented with students who meet the criteria described in the screening section of this manual. The CLASS procedures are available at <http://www.soprislearning.com>. It should be noted that the original intervention manual also contains troubleshooting strategies for the Green Card Game. The CLASS program was originally designed for students in K-3 grades who have moderate behavioral challenges and struggle to meet the minimal requirements of schooling. The Tertiary CLASS program is a modified version of the original CLASS aimed at dealing effectively with this very at-risk student subpopulation.

Strategies for All Students Identified with Tertiary Level Challenges

We have found some modifications to the CLASS component of First Step to be important for all students identified with tertiary level challenges: (1) completion of a functional behavioral assessment; (2) increased coach-teacher contact; (3) participation in current service coordination efforts internally within the school and with external service providers; and (4) reductions to the length of the First Step program (in total number of days).

Functional behavior assessment (FBA). First Step to Success is based on the assumption that obtaining *attention* is the primary function of the student's negative behavior. An FBA completed prior to CLASS provides the coach, teacher, and parent with a more accurate sense of why the student is exhibiting challenging behavior. An FBA involves the systematic collection and analysis of data that ends with a summary statement describing the student's problem behavior. An FBA includes a description of the settings, events, and conditions that typically preceded the behavior and a hypothesis about the function of the behavior or the consequences that maintain the behavior (Horner, Sugai, Todd, & Lewis-Palmer 2000). The FBA process explores aspects of obtaining or avoiding attention, work, settings, people, or stimulation. While there are a variety of ways to conduct an FBA, we have assembled a Tertiary CLASS Functional Behavior Assessment packet for use by our coaches.

Determining the function of the behavior will aid the coach and teacher in identifying appropriate teacher interactions and reward activities to motivate the student during the CLASS school component of the First Step intervention. For example, if the student's inappropriate behavior appears to be an attempt to get individual attention from the teacher, an additional five minutes of one-on-one time with the teacher might be added to the class reward. Or, if the student appears to be misbehaving in an attempt to be sent to a reflection area, where he/she can rest, an appropriate individual reward might be five minutes of rest time. At the tertiary level, coaches and teachers should be prepared to make frequent adjustments based on the needs and interests of the student and/or classmates.

Functional Behavioral Assessment Teacher Interview Form

Interviewer(s) _____ Date(s) _____

Student(s) _____

Respondent(s) _____ Title _____

1. Describe the behavior of concern. _____

2. How often does the behavior occur? _____

How long does it last? _____

How intense is the behavior? _____

3. What is happening when the behavior occurs? _____

4. When/where is the behavior most/least likely to occur? _____

5. With whom is the behavior most/least likely to occur? _____

6. What conditions are most likely to precipitate ("set off") the behavior? _____

7. How can you tell the behavior is about to start? _____

8. What usually happens after the behavior? Describe what happens according to adult(s), peers, and student responses. _____

9. What is the likely function (intent) of the behavior; that is, why do you think the student behaves this way? What does the student get or avoid? _____

10. What behavior(s) might serve the same function (see question 9) for the student that is appropriate within the social/environmental context? _____

11. What other information might contribute to creating an effective behavioral intervention plan (e.g., under what conditions does the behavior *not* occur?) _____

12. Who should be involved in the planning and implementation of the behavioral intervention plan? _____

Source: Gable, Quinn, Rutherford, & Howell (1998)

**Daily Student Schedule
Problem/Context Form**

Student _____ Interviewer _____ Date _____

First place an “x” in each column to show the times and places where you have problems with your behavior(s). Next, if you have a lot of problems during a period, activity, or hall time, I need you to place a “✓” on or near the six (6). But, if you have only a few problems during a period, activity, or hall time, you should place a “✓” on or near the one (1).

	Before School	1st Period	Hall	2nd Period	Hall	3rd Period	Hall	4th Period	Lunch	5th Period	Hall	6th Period	Hall	7th Period	Hall	8th Period	After School
Subject																	
Teacher																	
Most Problems 6																	
5																	
4																	
3																	
2																	
1 Fewest Problems																	

Comments _____

Source: Adapted from Reed, Thomas, Sprague, & Horner (1997)

ABC OBSERVATION FORM

Student Name: _____

Observation Date: _____

Observer: _____

Time: _____

Activity: _____

Class Period: _____

ANTECEDENT

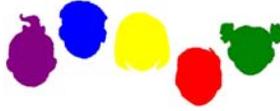
BEHAVIOR

CONSEQUENCE



28624

Step^{First} to Success



Tertiary First Step FBA Summary

Student ID:

Coach ID:

Today's Date:

Month

Day

Year

INSTRUCTIONS: This FBA summary should be completed by the coach. Ideally, it would be completed prior to starting intervention. For research purposes, however, it should be completed over the course of working with the student, teacher and family. Prior to completing this form, please (1) complete direct observation of the student using the "ABC observation form," (2) conduct a brief interview with the teacher using the "Teacher interview form," and, when appropriate, (3) have a brief, informal discussion with the student using the "Student-Assisted interview form." Data from these sources should be used to respond to the questions below.

1. **SETTING EVENTS:** What important events, places, or activities tend to be associated with the behavior? (Mark all that apply)

- Lack of sleep
- Medication
- Conflict on the bus
- Hunger
- Physical pain
- Conflict at home
- Illness
- Fight/conflict with peers
- Other (describe): _____

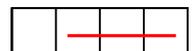
2. **ANTECEDENTS:** What appears to set off the problem behavior? (Mark all that apply)

- Class demands that are: Too hard Too Easy Unclear Long
- Teacher reprimand/correction
 - Physical demands
 - Overstimulating environment
 - Structured activity
 - Socially isolated
 - Transitions
 - Unstructured time
 - Peer teasing
 - Other (describe): _____

3. **PROBLEM BEHAVIORS:** What does the student typically do that is inappropriate? (Mark all that apply)

- Late to class
- Talks out in class
- Disrespectful behavior
- Not completing work
- Out of assigned space
- Fight/Physical aggression
- Fidget
- Disruptive
- Throwing things
- Withdrawn
- Verbal harassment
- Property destruction
- Unresponsive/obstinate
- Verbally inappropriate
- Insubordination
- Self-injurious
- Threaten
- Steal
- Other (describe): _____

Describe the problem behavior: _____





4. What current efforts have been used to control the problem behavior?

Strategies for preventing problem behavior	Strategies for responding to problem behavior
<input type="radio"/> Schedule change <input type="radio"/> Seating change <input type="radio"/> Curriculum change <input type="radio"/> Explicitly teaching classroom expectations <input type="radio"/> Redirection <input type="radio"/> None <input type="radio"/> Other (describe): _____	<input type="radio"/> Reprimand/Scolding <input type="radio"/> Parent contact <input type="radio"/> Discussion with adult <input type="radio"/> Loss of privilege <input type="radio"/> Removed from class <input type="radio"/> Planned ignoring <input type="radio"/> Timeout <input type="radio"/> Behavior contracts <input type="radio"/> Suspension <input type="radio"/> None <input type="radio"/> Other (describe): _____

5. **MAINTAINING FUNCTION:** What does the child gain from the problem behavior? Mark with a "1" what you believe to be the primary function maintaining the child's behavior. If you believe there is more than one function, rank order as necessary (1 = primary, 2 = secondary, etc.).

Escape or avoid:

- Teacher demands
- Teacher reprimands
- Teacher correction
- Peer social contact (teasing)
- Tasks (hard, long, boring)
- Physical effort

Get Attention:

- From peers
- From teacher/adult
- From parents
- From others (e.g., specialty area teachers, administrators, etc.)

Get Activity or Item:

- Access to game
- Access to toy
- Access to food
- Access to task

6. How confident are you with your rank ordering of the maintaining function of the child's problem behavior in #5 above?

Not at all
confident

1

2

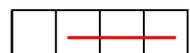
3

4

5

Very
confident

6



Coach-teacher contact. For students identified with tertiary level challenges, consistent communication between coach and teacher is critical during CLASS. Often, the significance of these students' behavioral challenges and the effect on other students in the classroom increase the need for frequent modifications to insure continued success. The communication plan between coach and teacher should include a schedule for meeting at least weekly and a method for immediate communication and problem solving if the focus student experiences a recycle day.

Service coordination. Linking the services associated with First Step to existing school supports (e.g., special education services, counseling services) and any supports external to the school (e.g., local mental health services), whether for the student or caregiver, is an important modification for students who need a tertiary-level intervention. Such students often have educational and/or learning difficulties. In such cases, academic supports are required. For students already receiving service coordination, the First Step coach should be included in the service coordination team and make every effort to attend these meetings.

Length of the First Step program. The First Step to Success program generally requires 30 program days: 20 days of systematic programming followed by 10 days of maintenance, when external reinforcements are faded and replaced by intrinsically motivating strategies for reinforcing displays of expectations. This requirement has proved challenging for some teachers and coaches and for the students themselves. In our experience, reducing the length of the program motivates teachers to implement the program with integrity (i.e., maintenance of attention, increased positive attention and positive interactions, energy levels), which increases the chance of the focus student having a successful game day. We recommend that the teacher phase end at day 20. Following this, the coach and teacher discuss needed program adaptations.

Child noncompliance. Tertiary First Step targets student compliance with teacher directives for students with serious to severely challenging forms of problem behavior. However, for some students, the EFS procedures used to foster student compliance with teacher directives prove to be insufficient. In those cases, a separate program of compliance training should be designed and initiated by the coach and teacher based on the material in this manual. Consider the alternating use of low probability and high probability commands in designing a program to improve the compliance repertoires of such students. In this context, the ratio of low to high probability commands should be gradually changed in the direction of more low probability commands as the situation allows. Teaching such students how to respond positively to teacher directives in an adaptive manner is one of the best things that can be done to help insure their school success and positive adjustment to the normal demands of schooling. Teachers should be monitored and supported carefully in their efforts to improve the compliance rates of problem students in general.

Individualized Strategies

Individualized strategies are best considered for a student who experiences two recycle days within the first 10 days of the CLASS program. Individual modifications are considered as they relate to the characteristics of the student, teacher fidelity of CLASS implementation, and parent fidelity in the provision of reward activities at home.

Intensify the Reinforcement System. Students with tertiary level challenges may require additional attention to the selection of reward activities and consideration of additional reinforcements. It is up to the coach, teacher, and parent to determine if the reward activity or additional reinforcement is appropriately linked to the correct behavioral function and if the reward is sufficiently motivating. We recommend some options. First, the involvement of another adult who is significant to the student (office staff, principal, gym teacher, librarian, former teacher) can be an effective motivator. For example, the student could be allowed to visit this person for one on one time as an added reward for winning the green card game. Adults can be "planted" in the hallway, in the office, or a bus-loading zone, to provide additional positive attention, encouraging the student to

keep up “green card behavior.” Additionally, adults can “check in” with the student and teacher as appropriate, providing positive attention and encouragement.

Some students might benefit from an individual reward in addition to the class reward, for example, very young students or students on the autistic spectrum benefit from individual rewards (e.g., computer time, playing with a special toy, reading in a quiet spot) and may not be motivated by the group contingency.

Adjusting “attention intensity”. For some students, too much attention is over-stimulating and/or overwhelming. Certain aspects of the CLASS intervention should be monitored for students who are easily over-stimulated, or for those who find the intensity of their classmate’s attention distracting or aversive. For example, a “quiet version” of the green card game (e.g., no whole class announcements, no exaggerated verbal attention) may be appropriate. The “quiet version” of the green card game would emphasize nonverbal attention (smiles, thumbs up, high fives) or an agreed upon word or signal that teachers would use to demonstrate positive attention, while deemphasizing public displays of positive attention that may be aversive. In some cases the student could be asked to perform an “important” task, such as taking a note to the office, or an important classroom responsibility.

Modification of the green card game structure. There are a variety of ways to modify the structure of the green card game to increase the likelihood of success. The duration of the game can be a significant barrier to students with severe behavior challenges and limited self-regulation skills. For these students, the maximum game duration time may need to be altered. For example, the duration time of the game systematically increases each day the game is played successfully; eventually the student plays the game all day. Extending the game for the whole day may be difficult for some students with tertiary level behavior challenges. In these cases a ceiling of 2-3 hours may be more appropriate. When a time ceiling is utilized, it may be possible to play two sessions per day. Additional problem solving and creative solutions are necessary to fade the reliance on external reinforcement (the green card) when game play occurs multiple times in one day. Alternatively, focusing the game on a specific time of day—or an activity when challenging behaviors typically occur—is advisable. In any case, even though the green card may not be used, the teacher would continue to adhere to the basic principles of the First Step program.

Students at the tertiary level may require a sharper focus for the definition of “success.” Rather than global definitions of green card behavior, it may be more appropriate to consider focusing the game on a specific target behavior. The teacher must be very consistent and increase the rate of positive attention or descriptive noticing in a neutral manner. For example, “I noticed that you have been working at your seat without talking. That’s very responsible.” If the student consistently exhibits one particularly problematic behavior, the game may center only on that behavior. If sustained improvement is seen with that behavior, the focus may either shift to another behavior or may include multiple behaviors.

Students at the tertiary level may require subtler fading of the reward structure than students with moderate behavior problems. Thus, the coach and teacher may consider use of a progress chart to track “game wins,” in order to extend the occurrence of reward activities from successive game wins, to every other win, then every third, eventually fading out external rewards using them intermittently as surprises. On non-reward days, the student can color in one section of the chart for winning that day’s game. A reward occurs only when all sections of the chart are colored. The coach and teacher can consider using a smiley face sticker or button, given to the focus student on non-reward days as a means of special recognition.

Strategies related to teacher fidelity. Often, teachers are either unable or unwilling to implement the program, and this impacts a student’s responsiveness to the CLASS intervention. In rare circumstances, a participating teacher is unwilling or unable to implement the CLASS program effectively, even after completing the First Step CCU, observing the coach implement the game in the classroom, and facilitating the game with feedback from the coach. In these cases, suggestions from the troubleshooting guide may be helpful, and motivational interviewing can address indicators suppressing the fidelity score (i.e., resistance). The coach

should provide the teacher with additional positive feedback such as writing specific positive notes, e-mails or phone calls. If the teacher's use of the game is potentially detrimental to the student (i.e., does more harm than good), it may be necessary for the coach to resume the game when available. If the coach must assume total responsibility for the game, it is likely to involve a significant modification in the program's duration (given the coach's availability), and may require that the game be focused on a specific behavior or school activity. Alternately, the teacher may be more comfortable using the game with the entire class. All students in the class can earn points, and the teacher provides positive attention to the focus student at least once every 10 minutes.

Strategies related to parent fidelity. In our current work, less than half of the parents successfully fulfill the parental role in the CLASS program. Likely explanations for this include overwhelming life circumstances, including severe physical or mental health issues, domestic violence, single parenting of multiple students, job-related time constraints, attachment issues, and active CPS involvement. A careful assessment of the parent's motivation/confidence to follow through with positive attention and rewards should be completed prior to the start of CLASS. If concerns about consistent follow-through persist, an adult at the school should be recruited to supplement the parent's responsibilities. This adult, not unlike a surrogate, will agree to encourage the student in the game, view the green (or white) card each day, and spend time one-on-one with the student upon their winning the game. In addition, the coach and teacher should maintain open lines of communication and provide consistent support to the parent, sending thank-you cards or calling home when the green card is returned.

CLASS progress monitoring procedure. The First Step to Success program is most effective when parents participate fully. As such, each interaction with the parent should support their motivation to engage fully in these critical aspects of the original First Step intervention. Often, sharing the focus student's progress with the green card game is a means to establish a shared focus on the success of the student and as a means to strengthen the working alliance between coach and parent, and teacher and parent.

The CLASS progress monitoring procedure prepares the coach to provide parents information on the student's progress with CLASS. The monitoring process is where the coach assesses parent satisfaction and motivation to engage the student in a daily interaction activity, sign and return the green or white card, provide an interactive reward when the student meets the CLASS criteria, and withhold attention if the student does not earn the CLASS criteria.

The CLASS progress chart can be introduced to the parent during the parent meeting in which the First Step CLASS intervention is discussed. This occurs prior to the start of the school component. The chart can be introduced as a means of keeping the parent informed about the student's overall progress and successes.

The teacher's CLASS monitoring form provided on the next page is the source for the completion of the CLASS progress chart. The information recorded includes:

- Successful days
- Unsuccessful days
- Disruptions in game play (e.g., school schedule challenges, student absences)
- Days when the parent reward activity card was returned.

A system of 's, 's, and 's are used to display the data, or alternately, coaches can involve the student by including the recording (i.e., coloring) of successful days and days the parent reward activity card is returned as an additional reward activity and daily chore.

Coaches are encouraged to include a review of this chart at the initiation of each parent meeting. Data from the chart can be used in a fashion consistent with the spirit and techniques of motivational interviewing (as

described in the Motivational Interviewing Navigation Guide Primer) to engage the parent regarding their responsibilities in the intervention. Examples include:

- Affirmation: Your commitment to the program shows in that you've sent in a signed parent reward activity card every day since the beginning! This tells me you are committed to your student's education.
- Affirmation: I've noticed that you are having a direct and positive impact on your student's success. I wonder if you can find indications of that on this chart?
- Cultivating importance: You're committed to supporting your student's success. What emotions you see from your student when s/he brings home the parent reward activity card for you to sign.
- Building confidence: What do you notice about the relationship between the parent reward activity card and successful green card days? Why do you suppose that exists?

The coach can support the parent as they review the CLASS progress chart, asking the parent: "What do you see here? Any thoughts?" Following this review, the coach can tie the parents' hopes for their student and their ideals of parenting and family life to their full participation in the program.

Reflections followed by open-ended questions:

- You're committed to improving the communication with the teacher. How might this chart help us support your goal?

Complex reflections:

- Your student's behavior at school is your first priority, and completing the parent reward activity card is too time consuming.

CLASS Progress Monitoring Chart

Week of _____

--	--	--	--	--

Week of _____

--	--	--	--	--

Week of _____

--	--	--	--	--

Week of _____

--	--	--	--	--

✓ = All points earned! ✘ = Did not play. □ = Will try again.
✓✓ = Green/White card returned.

Strategies for Restrictive Settings

Common strategies for implementing CLASS in restrictive settings (e.g., self contained classrooms) include team reflections, emotionally neutral rewards, and providing additional attention to classmates who may feel having only one student participate is unfair.

Team reflections. Additional problem solving is typically necessary in restrictive classrooms, so it is helpful to meet with all professionals who are involved with the student (e.g., therapists, therapeutic aids, case managers, and in some cases, OT, PT, ST) prior to the beginning of the school intervention. It is best if all the adults in the focus student's life are thoroughly informed of the underlying principles of the First Step program. When possible, these adults should be invited to a portion of the parent-teacher meeting. It is important that this team be informed on the successes and challenges experienced during CLASS implementation on a regular basis, whether through brief meetings, e-mail updates, or phone calls. It may be desirable for the coach to become a participating member of school teams, or other regular meetings where problem solving or case conceptualization occurs.

Emotionally neutral rewards. In self-contained classrooms, where many students have similar behavioral challenges as the focus student, envy and competition for teacher attention may occur. This issue can be manifested in a variety of ways, but typically surfaces when the First Step game reward fosters competition or over-excitement. This dynamic can result in frustration on the part of the focus student or classmates, and can be unpleasant for teachers as well. As a general rule, avoid competitive games unless all students can appropriately handle sharing attention with the focus student and the possibility of winning or losing.

When a student's reward list is generated prior to beginning CLASS, the coach should insure that the teacher carefully consider whether each option is appropriate for each member of the class. To ensure that the entire class feels like part of the choice, a brainstorming session is recommended to establish a list that coach, teacher, and student agree is appropriate for all. It is important for students with low frustration tolerance that each reward on the list be available.

Post-game melt-downs are also common in restrictive settings. This can be prevented by providing plenty of pre-correction in the form of role-plays and by practicing appropriate post-game behavior. If pre-correction fails to prevent these challenges, consider adjusting the reward (insuring that the entire class still participates in a reward) or offering a small individual reward at the end of the day for when the student maintains "green card behavior" after the game.

Attention to classmates. Because restrictive settings include numerous students who may benefit from tertiary level interventions, the coach and teacher must consider their needs prior to and during the game.

Encouraging the development of particular skills will benefit peers as they cooperate during game play. For example, peers can be taught to ignore inappropriate behavior and focus on their own "green card behavior." It may be necessary to insure that peers have the skills to encourage the focus student with quiet reminders during the game. It's important for peers to be motivated to help, so they must be monitored to ensure they enjoy the reward activities. If selected reward activities do not appear enjoyable to peers, it may be necessary to encourage the game player to vary the rewards selected or the focus student may choose another student to select the reward activity. If selecting the reward becomes problematic (e.g., student continually changes mind, refuses to choose), it may be most appropriate for the teacher to select the reward for the class.

If jealousy from other students in the classroom becomes an issue, the coach and teacher may consider working with the focus student for part of the day and allowing another student to play for the remainder. Descriptive noticing and giving positive attention to peers who help the focus student is critical. Sending an "I noticed..." card home on such occasions will help peers feel special and may increase helping behaviors. And it's a perfect opportunity for giving parents some much-needed good news. Parents of peers in the classroom may be

encouraged to provide a small reward activity for students who support and encourage the focus student. When the focus student is absent, the teacher may choose another classmate to play the game for that day.

Tertiary homeBase

Primers

The Motivational Interviewing Navigation Guide

Purpose

The Motivational Interviewing Navigation Guide (MING) is a process for increasing intrinsic motivation to adopt and implement evidence-based practices (EBP) with integrity in school and home settings (Frey, et al., in press; Lee, et al., in press).

Context

The MING provided the foundation on which the Tertiary homeBase intervention procedures were developed. The MING steps include: (1) engage in values discovery; (2) assess current practices; (3) share performance feedback; (4) offer extended consultation education and support; and (5) provide closure (see Figure 1).

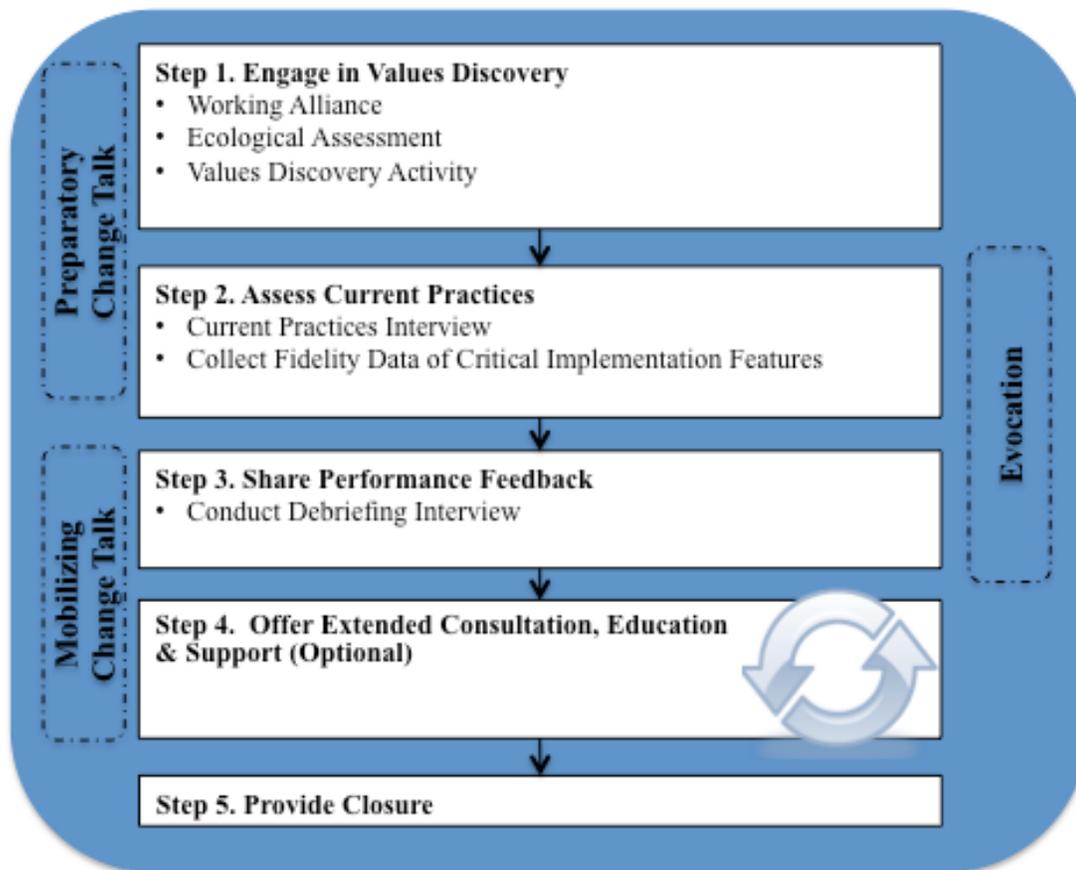


Figure 1: The Motivational Interviewing Navigation Guide.

Reprinted with permission from Positive Behavior Management (Lee, et al., in press)

Application

Step 1. Engage in values discovery. The first step of the MING within the Tertiary homeBase intervention is to discover the parents' values, goals, and hopes for their children's future. The coach develops, maintains, and monitors a working alliance with the parents and becomes familiar with the home's ecology (e.g., parenting/management style, children, environment). The Parent Ecological Assessment and the Values Discovery Activity are used to structure the initial Tertiary homeBase home visit. This activity can be completed with a set of simple cards listing common parent values (e.g., Value Discovery Cards), or in a discussion format. Attempts to evoke change talk during the Values Discovery Activity are not encouraged, as this may be perceived as "selling" or educating, which is risky prior to having developed a strong working alliance with the parents.

Step 2. Assess current practices. The second step is to complete the Parent Universal Principles Interview and the Parent Observations about the universal principles. These procedures, described in the curriculum section of this manual, allow the coach and parent to learn more about how these principles fit with the parents' values and goals for their child, the extent to which they currently implement them, and their motivation to change some aspect of their parenting practice related to them. Thus, the universal principles are identified as critical features to implement within the home component. Information from these sources is used during Step 3 to increase parent motivation to adopt the universal principles. Step 2 allows the coach to learn about existing practices that are consistent with or in conflict with the five universal principles. This information is then used to structure performance feedback in Step 3. The Parent Universal Principles Interview and Parent Observation are typically completed during the second home visit.

Step 3. Share performance feedback. The Parent Debriefing Interview provides the basis for giving parents performance feedback. The debriefing interview is structured to encourage the parents to reflect on their implementation of the universal principles, and if necessary, increase the extent to which they believe implementing the principles is important. Because the coach needs time to digest the data collected in Step 2, a home visit is typically devoted to sharing performance feedback; this usually takes place during the third home visit. At the end of the interview, parents are given the option of ending the consultation relationship or repeating Steps 2 and 3 with specific goals for improvement. The coach's focus in this interview is on assessing the parents' motivation and their implementation of the universal principles.

There is no set time to transition to Step 4. Parent ratings of importance and confidence should be considered, but should not be the only indicator used to make this decision. Readiness signs include decreased resistance, resolve to change, increased change talk, questions about change, envisioning change, experimenting with change, and requests to get on with implementation. These signs indicate that the parents have identified their own strengths and can easily acknowledge the advantages of implementing the universal principles. The coach transitions to negotiating the details of Step 4 by summarizing and celebrating the evidence of readiness and reaffirming the parents' autonomy.

Step 4. Offer Extended Consultation, Education, and Support. During this optional step of the process, the coach and parent negotiate repeating Steps 2 and 3 in order to support parent-established fidelity goals, as previously described. Once the specifics are decided upon and Step 4 is completed, the coach may deem it appropriate to assume a more instructional role by freely offering advice and applying teaching skills through consultation or direct education. We recommend that strategies include modeling, role-playing, pre-correcting for implementation problems by exploring barriers to implementation, and the more MI focused strategy of Elicit-Provide-Elicit (EPE). If the parent chooses to participate in this aspect of the intervention, coaches typically dedicate 3 or 4 home visits to the effort.

Step 5. Provide closure. Whether a parent selects closure due to high confidence in their ability to change on their own or due to low motivation, steps should be taken to insure that the relationship ends on a positive note and that the parents leaves with tools they may use in the future. This step is completed in a relatively short time, after either Step 3 or 4 has been completed. The coach should express gratitude for the parents' engagement in the process. Whether or not the relationship has been challenged, the parent will benefit from receiving affirmation at the time of closure.

The structure and duration of the closing interview is variable and depends upon the parents' motivation to change, their willingness to be video recorded, the time available, the child's performance in school, and the coach's perception of the parents' implementation of the universal principles. In Table 1 below, we have summarized the most representative timelines based on over 50 applications of the intervention procedures, as well as typical ranges and notes influencing the timeline variations.

Home Visit # (duration)	Intervention activities	MING Step	Common variations
1 (60 minutes)	Parent Ecological Assessment Values Discovery Activity	1	If the parent has up to 90 minutes, it is possible to also conduct the Parent Universal Principles Interview.
2 (60 minutes)	Parent Universal Principles Interview Parent Observation of the Universal Principles	2	If the Parent Universal Principles interview is completed during the first visit, only the Parent Observation is completed during the second visit.
3 (60 minutes)	Parent Debriefing Interview	3	The duration of this interview is highly variable. If parent motivation is high, it is possible to present this option fairly early and begin working on the Parent Change Plan. Whether the offer of support is made early or later in the home visit, it is also possible the parent will decline additional services. In this case, closure is provided (MING Step 5) and the home component is complete.
4-6 (60 minutes each)	Extended Consultation, Education, and Support	4	We encourage coaches to use clinical judgment to determine when to provide closure. If the coach has the time, and the parents are engaged and perceiving services to be beneficial, up to 6 home visits are completed prior to closure (MING Step 5).

Table 1. Typical Tertiary homeBase application and common variations

Universal Principles of Positive Behavior Support

Purpose

The universal principles of positive behavior support primer provides coaches with an understanding of how these principles can be applied to parenting practices.

Context

During the intervention, parents are encouraged to modify their parenting practices. The universal principles provide a range of target behaviors that are general enough to be relevant to most parenting situations, yet specific enough to keep the conversation focused. The goal of Tertiary homeBase is to help parents strengthen their parenting practices, defined as successful implementation of the five universal principles of positive behavior support. These are central to the First Step intervention and have been validated across many behaviorally based intervention applications within school settings. The principles are: (1) establish clear expectations; (2) directly teach the expectations; (3) reinforce the display of expectations; (4) minimize attention for minor inappropriate behaviors; and (5) establish clear consequences for unacceptable behavior (Golly, 2006; Sprague & Golly, 2013). These principles provide the structure for the Parent Universal Principles Interview and the parent observation (MING Step 2), as well as the Parent Debriefing Interview (MING Step 3). If the parent chooses to participate in extended consultation, education, and support (MING Step 4), the focus will typically narrow, thereby concentrating on one or more of these principles deemed most important by the parent. Thus, these principles offer the structure necessary to initiate a focused inquiry about parenting practices and provide parents autonomy to select among a reasonable range of parenting behaviors to change.

Application

1. Establish clear expectations. Children need to know what their family expects of them in the home and community and, in particular, what parents want to *hear* and what they want to *see* during typical family life and routines. Routines such as getting up in the morning, getting ready for daily activities, eating, and getting ready for bed constitute most children's "jobs" within the family and provide children a sense of belonging and importance. Accomplishing these routines with minimal parent-child conflict can be difficult in any family, but it's even more so in families with children who have significant challenging behavior.

Expectations for child behaviors vary from household to household and can vary between parents within a household or from one day to the next for the same parent. Parents need to know and effectively communicate what is tolerable in their home. Clear expectations are necessary for consistent parenting and to help children learn what is expected of them. They are a foundational principle for creating a positive, respectful, and predictable environment.

Often parents assume that children should inherently know how to function effectively in family situations. Many children learn the routines of family life by observing and modeling others in the family. If children don't follow the routines and procedures consistent with parental expectations, the first question to ask is: "Are the expectations clear?"

Expectations are similar to rules. A few expectations can be generalized across a wide range of family routines and can be applied to most situations. Examples of expectations for young children include: (1) follow parent requests promptly; (2) be responsible for your things; (3) talk or ask questions of your family when you need help; (4) be respectful to others; and (5) ask permission before you go somewhere. These are only examples and will be differently expressed in every home. Expectations should be few in number (i.e., 3 or 4), stated positively, and reinforced across settings.

Once they are clearly communicated and are in place, parents can use the language of the expectations to help children learn what their behavior should sound like and look like in different routines. For example, when conflict arises between siblings during play, “Be respectful to others” is the expectation. In this case, it involves sharing toys and space. The operational phrase, “Be Respectful,” should be used with a quiet voice.

More than one expectation can also apply to the same situation. For example, expectations 1 and 3 (above) may be relevant to completing homework. Following parent requests promptly may be operationalized as getting busy with your homework right after supper. Also, asking for help might look different in different situations. Consider the difference, for example, between if the parent is in a different part of the house (e.g., walk to me and ask politely), talking on the phone (e.g., wait until I’m off or write me a note), or in the same room (e.g., just let me know in a calm voice).

Clear and consistent expectations are easier for the child to comply with than vague or inconsistent ones. Expectations that are general enough to be relevant across several routines are flexible enough to fit into wide variety of family routines. This allows parents to emphasize the same language repeatedly. If the expectations are clearly specified and consistently applied and a child still has difficulties, that expectation may need to be taught directly.

2. Directly teach the expectations. Establishing clear expectations is likely help with difficult behaviors, but expectations alone are not sufficient. Parents often assume that children should know how to follow their parents’ expectations. When expectations alone don’t produce the desired result (e.g., runs loudly through the house, leaves the table without putting dishes in the sink, fights bedtime), the first strategy is to teach the behavior.

Modeling with role-playing is an effective way to teach behavioral expectations. First, the parent models the skill and shows the child how to do it several times “the appropriate way...then the inappropriate way...then the appropriate way again.” It is helpful to link the lesson to the expectations, which promotes consistency. Next, the parent pretends to be the child and the child pretends to be the parent. The child gives the parent feedback on his or her performance.

Some parents may find a small green card useful as an effective, unambiguous way to give nonverbal feedback and which doesn’t interrupt the role-play. The parent may explain to the child that, “green means go! That’s the appropriate way. Keep doing what you are doing!” While the parent pretends to be the child, the child gives the parent feedback by showing the green card while the parent demonstrates the expectation appropriately. The parent can say: “Wow! You are a great teacher. You know exactly when I do it the right way.” In order for the child to learn the skill, the parent needs to notice and reinforce the skill often.

A follow-up strategy to the role-play is pre-correction, which involves stating the expectation before the behavior is performed. Prior to brushing teeth, for example, the parent may say, “Remember to brush for one whole minute to keep the cavities away!” If the child continues to brush too rapidly or not long enough after the pre-correction, then it is beneficial to teach when and for how long to brush teeth properly. Parents can return to the role-play and monitor the expectation for this situation closely until it becomes an automatic routine.

It may be necessary for some children, especially young children, to have several opportunities to practice under adult supervision. Additionally, behavioral displays of the expectation (principle 3) need to be reinforced. In any case, parents should take advantage of every opportunity to teach and practice expectations and encourage their children as they work towards those expectations.

3. Reinforce the display of expectations. Reinforcing the display of expectations involves noticing, then drawing attention to children when they follow an expectation. Provide encouragement even for approximations of the expectations. Using the language from positively worded expectations across various family routines helps parents stay consistent and helps children learn that the same (general) behavior is

expected of them in all settings. For example, screaming in the house may be a problem that can be linked to the expectation “Be respectful.” The parent must first make the expectation clear (“We use an inside voice in the house because it is respectful.”) If it is still a problem, the parent can role-play with the child in various situations (e.g., when you are watching television and no one is in the room or when you are on your way out the door to play) and provide feedback for the child. Next, the parent should reinforce behavioral display of the expectation. For example, when the child uses an inside voice, the parent can say, “I noticed that you used an inside voice when you wanted me to give you something to do. That is being very respectful. Good for you!” Or: “I saw that you were upset, but you still used an inside voice when you spoke to me. You are making good choices and showing you know how to talk to your family members with respect.”

When children are learning new skills, reinforcing those skills whenever they occur in the early stages is very helpful. However, after the behavior becomes more automatic, periodic reinforcement is preferable.

The more attention you pay to the behavior, the more it will happen. As a rule, we encourage parents to pay careful attention to the behaviors they want to see—not to those they don’t want to see. Linking expectations to reinforcement and using it with direct teaching can be a powerful tool. When you notice, encourage, and reinforce clear expectations, the child is more likely to display them in the future.

4. Minimize attention for minor inappropriate behaviors. Minimizing attention for minor inappropriate behavior is also important because the more attention you pay to any behavior, the more that behavior will occur. We encourage parents to ignore minor inappropriate behavior rather than giving attention to the behavior by, for example, nagging, fussing, yelling, or giving verbal consequences such as name calling and making threats. Although minimizing attention for minor inappropriate behaviors is often effective in the long run, it can be very difficult for parents to implement because it runs counter to what they believe should be done for behavior that is too annoying to tolerate or because behavior change is not immediate enough. This principle is far more likely to be effective when used in combination with principles 1, 2, and 3 as described above.

When a problem behavior is predictable, one strategy for the parent to try is to notice something positive about the child before the problem behavior occurs. For example, if the child often complains about food at mealtime, the parent could say, “Wow Andy, you remembered to wash your hands before you came to the table,” as the child sits down to eat. Similarly, pre-corrections work nicely to help minimize attention for minor inappropriate behaviors. For example, in the same situation, the parent could say, “I know you may not like what I made for dinner, but I worked very hard on it and it’s your grandma’s favorite—I’m hoping you’ll be respectful at the table tonight.” This, followed by encouragement and attention for any display of the expectations, can be very effective.

If the parent feels the need to say something about the inappropriate behavior, the statement should be short and in a neutral tone. The parent should not ignore inappropriate behavior that involves more than one child or is hurtful or dangerous. Rather than escalating the situation by trying to figure what is going on, provide short, clear directions for what you want the children to do. For example: “Andy, you need to go to the sink and wash your hands before you come back to the table” or “Tara, you need to put the milk in the refrigerator before you finish your meal.” Sometimes giving children a task to do engages them sufficiently to prevent some problems from occurring.

5. Establish clear consequences for unacceptable behavior. Establishing consequences for unacceptable behavior needs to be linked with expectations and explicitly taught. If a parent has decided that removing a favorite activity or going to a quiet place to reflect are consequences for unacceptable behavior, the child must be taught what this will look like. It is advisable to role-play these scenarios with another adult. The parent may say something like: “Most of the time you do a very good job of doing what I ask you to do. But sometimes you yell and throw things when I ask you to clean up your room or put away your toys. The next time I ask you to clean up your toys and you yell and throw things, I’m going to ask you to go to the reflection

chair. Dad and I are going to show you what that looks like. Dad is going to pretend to be you. You watch and see how he does it.” Role-play the right way first. Then, show what happens if dad throws the toys and yells inappropriate words instead of cleaning up the toys. Demonstrate how dad goes to the reflection chair the right way and what happens when he doesn’t go to the reflection chair (e.g., a privilege such as computer time, watching TV, or having a friend over is temporarily taken away). Always end the role-play with dad going to the reflection chair the right way. Ask the child to role-play doing it the right way and reinforce his or her lavishly for knowing exactly what to do.

Parents and children must understand the expectations and consequences so they don’t have to figure them out during a family crisis or a tension-filled episode. Being proactive is more effective than being reactive, and making decisions about discipline on the spot is never a good idea. If the child’s behavior doesn’t change, the parents need to change their approach.

Conclusion

Because Tertiary homeBase is focused around the universal principles, it is critical that the coach understand how these principles apply to the family structure and within each stage of the MING.

Additional Resources

Golly, A. (2006). *Five universal principles of positive behavior support*. Verona, Wisconsin: Attainment Company, Inc.

Sprague, J. & Golly, A. (2013). *BEST Behavior. Building Positive Behavior Support in Schools*. Second Edition. Longmont, CO. Sopris Learning.

Evoking Change Talk

Purpose

This primer aims to prepare the coach to recognize, elicit, and respond to change talk. Sustain talk (i.e., discourse that maintains the status quo) is acknowledged, but not encouraged or elaborated upon in this process.

Context

Evocation involves the coach's active elicitation of the parent's motivation and commitment to change. For example, the coach evokes a different form of change talk when asking the parents to change than when sharing feedback on their performance. Facilitating the strength and frequency of the parent's language in favor of implementing strategies consistent with the universal principles increases the likelihood that change will happen. Monitoring change talk, sustain talk, and discord provides a minute-by-minute "compass" for the coach, allowing the conversation to be tailored to the situation on hand. The parent's language gives the coach direct and immediate feedback on how to proceed. A coach who lacks the ability to recognize and respond to change talk may quickly find him/herself lost in the process. Coaches must be wary of decreasing parent motivation by inadvertently evoking arguments against change. Evoking change talk can be done at any point in the intervention process, but is particularly important during steps 2 and 3.

Application

Evocation is used to increase motivation during the assessment of current practices process. A clear understanding of the 2x2 Decisional Balance Grid (below) is critical to understanding evocation and when to apply it. Conversation regarding any given dilemma can be classified in one of four quadrants: (a) advantages about the status quo; (b) advantages about change; (c) disadvantages about the status quo; and (d) disadvantages about change (Miller & Moyers, 2012). Conversation in quadrants B and C favors behavior change, whereas conversation in quadrants A and D favors the status quo- and opposes behavior change. The former is referred to as "change talk" while the latter is "sustain talk" (Miller & Rollnick, 2012).

Parent speech that favors movement in the direction of the five universal principles is considered change talk. Sustain talk favors movement away from the five universal principles. A primary task of the coach is to increase the probability that change talk will emerge spontaneously in the conversation. To this end, the coach facilitates dialogue that directs (i.e., evokes) parent talk about the disadvantages of the status quo, and the advantages of adopting the universal principles. Evoking change talk requires the coach to listen intently, avoid taking an "expert role," and recognize change talk. The coach simultaneously supports autonomy and relegates the choice and responsibility for implementing the universal principles to the parent, who remains the expert in this decision process. Change talk can be preparatory or mobilizing.

	Status Quo or Option A	Change or Option B
Advantages +	(A) Advantages about <i>Status Quo</i> or Option A Sustain Talk	(B) Advantages about <i>Change</i> or Option B Change Talk
Disadvantages -	(C) Disadvantages about <i>Status Quo</i> or Option A Change Talk	(D) Disadvantages about <i>Change</i> or Option B Sustain Talk

Figure 2. 2x2 Decisional Balance Grid. Modified from Miller and Moyers (2012)

Identifying change talk. Preparatory change talk happens when parents perceive that their current practices are inconsistent with the universal principles. Parent interest in changing is a precursor to actual behavior change, and should be encouraged. There are four types of preparatory change, denoted by the acronym DARN—desire, ability, reasons, need. The following are examples of preparatory change talk from a parent in relation to the third universal principle, reinforce the display of expectations.

- Desire – I wish I could remember to compliment Amelia when she is following the house rules.
- Ability – I think I can do a better job acknowledging Amelia when she is doing the right thing.
- Reasons – If I paid attention to her when she was behaving well, I would probably get more of the same.
- Need – I have to do something different. I am only getting on her when she acts poorly and that’s not working!

The second type of change talk is about mobilizing change and involves the resolution of ambivalence (Miller & Rollnick, 2012). The three types of mobilizing change talk are represented with the acronym CATs—commitment, activation, and taking steps, as demonstrated in the following examples.

- Commitment – I plan to praise Amelia when she is getting along with her brother.
- Activation – I’ve never considered it my job as a parent to praise children for doing what I expect, but I’m ready to do that now.
- Taking Steps – I will try to notice her following the rules three times tonight.

DARN-CATs statements are subtle, yet recognizing them is critical for evoking change talk.

The coach must be sensitive to discord, which is a verbal or non-verbal signal of dissonance between the interviewer and interviewee (Miller and Rollnick, 2012). Discord is predictive of increased sustain talk. While sustain talk is typically about the target behavior, discord is an interpersonal dynamic and signals that the coach-parent relationship is strained. Examples of discord include interrupting, arguing, open hostility, or withdrawal.

Eliciting change talk. If parents do not use change talk spontaneously, the coach can elicit it directly. For example, the coach can ask, “To what extent is it your responsibility as a parent to acknowledge Amelia when she is doing what you want her to do?” (Desire) or “Which of your personal traits might allow you to praise Amelia when she is doing her homework?” (Ability). Reasons are probably the easiest category for

eliciting change talk: a coach asks about the advantages of adopting the universal principle or disadvantages of not adopting it, as in, “What are some of the positive outcomes that could occur if you were to acknowledge Amelia when she is following directions?” or “What happens if your current strategy of primarily reprimanding her when she misbehaves does not help?”

Responding to change talk. It is critical that the coach identify whether the parents are using change talk (in support of the universal principles), sustain talk (in support of current practices that run counter to the universal principles), or discord, and then respond to each differentially. We increase change talk and minimize sustain talk through selective use of elicitation, reflection, elaboration, summarization, and affirmation. Simple reflections are the least effective strategy, but they may be sufficient to encourage elaboration with parents or teachers who already appear engaged and motivated, or to clarify your understanding. Elicitation uses open-ended questions to encourage the parent to say more. The examples provided below are more likely to increase change talk than simple reflections.

Parent – I wish I could learn to pay attention to Amelia when she is not driving me crazy.

Coach – Can you say a little more about that? (elicitation)

Parent – I have to do something different. I cannot continue to have all of our interactions be hostile.

Coach – Helping Amelia learn to follow directions might also improve your relationship with her. (simple reflection to clarify) What other advantages could come from this type of change? (elicitation)

Complex reflections that bring parental values into play are particularly useful. Bringing up previously stated hopes and dreams or the parents’ stated desires, intentions, and motivation to change are best, particularly when motivation is low.

Parent – I think I can do a better job attending to her when she is doing the right thing.

Coach – You are confident in your ability to praise Amelia for following directions because it is important for her education, and responsibility is one of the top values in your family. (complex reflection, tied to values)

Parent – If she learns how to follow directions, she will do better in school.

Coach – Learning to follow directions is key for school success, and you are willing to try just about anything. (complex reflection)

Inviting elaboration involves an interest for more details—the who, what, when, where, and why. When the coach summarizes, it allows the parents to hear what they said again, and also to confirm the coach’s understanding. Finally, affirmation involves acknowledgement or appreciation, not evaluation (i.e., “it’s good” or “I like”).

Parent – It seems like she only listens to me when it’s important to her!

Coach – You know your daughter well. (affirmation) What are some of the people, places and things that are most important to your daughter? (open-ended question to invite elaboration).

These responses are not only likely to generate more change talk, they move the change talk toward mobilization. When mobilizing change talk is offered, the coach’s role is to affirm it, as the responses below.

Parent – I plan to help thank Amelia when she follows a direction this weekend, no matter how small it is.

Coach – Good for you! I look forward to hearing about it.

Parent – I’ve never considered it my job as a parent to compliment my child for doing the right thing, but I’m ready to do that now.

Coach – Sounds like you are embracing this new role. Your commitment to Amelia’s development is admirable.

Parent – I will set up at least one play session each day in which my goal is to recognize when she is following directions.

Coach – You have a real solid plan, that will make a difference!

Responses to sustain talk are equally important. In sustain talk, the parent focuses on another’s person’s need to change—the student, the assistant teacher, or the principal. Criticizing the universal principles, rationalizing the strategies that conflict with the universal principles (e.g., I don’t have enough time), or suggesting the universal principles are ineffective are also sustain talk. The response to sustain talk is simple reflection, followed by a redirection of the topic so as not to promote elaboration. If this doesn’t move the parent toward change talk, the coach may choose to move sequentially through strategies that increase relational risk, such as complex reflections, coming alongside, and exaggeration. These techniques are described in the MI literature (See Miller & Rollnick, 2012) and are beyond the scope of this manual.

Assessing Motivation

Purpose

The Assessing Motivation primer prepares the coach to assess parental motivation to implement the universal principles.

Context

The level of importance that parents assign to change—and their confidence in their ability to do so—are evidence of motivation, so assessing them is a critical practice for a coach. The following material should be used at the conclusion of each meeting with the parent and also in case of a strain in the relationship or overt resistance.

Application

Coaches use three indicators to assess parental motivation to implement the universal principles. The first indicator of parental motivation is the presence of change talk—preparatory change talk early on and, later, mobilizing change talk. (See *Evoking Change Talk Primer*.) The criteria for assessing these indicators are subjective, but in general the coach attempts to evoke change talk, which should result in the parents: (a) elaborating with more change talk; (b) reducing resistance talk, and (c) maintaining a strong coach-parent alliance. If evoking change talk does not produce these outcomes, it may be that parents don't give it enough importance or that their confidence is low.

The second and third criteria for assessing motivation are the parents' assessment of the importance of the universal principals and their confidence in their ability to implement them. Ask the parent: "On a scale from 1-10, with 10 being extremely important, how important would you say it is to implement the universal principles?" Followed this up with, "I'm interested in why you said ___ [insert the number they gave you] and not zero." Alternatively, coaches can ask, "On a scale from 1-10, with 10 being extremely confident, how confident are you that you could change your parenting if you decided to?" Confidence questions such as this should be followed by "What would it take to get you to a ___ [insert a number one higher than the number given]?" Asking these questions, called "rulers," can elicit change talk, as it evokes explanations from the parents that they can elaborate on. In general, we find those with responses of 7 or higher generally believe changing parenting practices are important, and they are confident they can do it.

Templates for the importance and confidence rulers follow. They can be used as a visual aide during the measurement of these important indicators of motivation. Coaches are encouraged to photocopy the pages so that notes can be kept during the interviews, particularly the responses of parents to the follow-up questions. This information is valuable and often used during the debriefing interview.

Confidence Ruler

0	1	2	3	4	5	6	7	8	9	10
Not Confident					Very Confident					

Prompt: On a scale from 1-10, with 10 being very confident, how confident are that you could change your parenting/teaching if you decided to?

Follow-up: What would it take to get you to a ____ [insert a number one higher than the number given].

Importance Ruler

0	1	2	3	4	5	6	7	8	9	10
Not Important					Very Important					

Prompt: On a scale from 1-10, with 10 being extremely important, how important would you say it is to implement the universal principles?

Follow-up: I'm interested in why you said ___ [insert the number they gave you] and not 0.

Assessing Working Alliance

Purpose

Assessing the Working Alliance primer provides coaches with direct and indirect ways to assess their relationship with the parent.

Context

Establishing and maintaining a good working alliance is central to the motivational interview. Coaches should work on this during each consultation and work especially hard on this if there's relational strain or signs of resistance. At a minimum, the working alliance should be assessed towards the end of each session. It is important for the coach to be able to differentiate between sustain talk, which is the parents' motivations and verbalizations for favoring practices that are inconsistent with the universal principles, and discord. The former is non-change talk directly related to the universal principles. Sustain talk is one side of ambivalence and is expected. Discord, on the other hand, reflects disagreement, and is likely to be about the coach or the relationship. Signs of discord include arguing, interrupting, ignoring, or discounting the coach.

Application

Indirect indicators of the coach-parent alliance include the nature and extent of discord statements, verbal tone, and nonverbal communication (i.e., body language). In the presence of intense discord, harsh or terse retorts, and closed body postures, it falls upon the coach to determine if these indicate active resistance to change or a strain in the working alliance.

The coach can assess the working alliance directly by asking the parent for feedback on rapport. A coach may ask, "What is it like for you to discuss this with me?" or state, "You seem uncomfortable talking about this."

When relational stress exists, the coach should emphasize autonomy and affirm the parents' views and reasoning. Open-ended questions help reestablish the working alliance. Equally important, the coach should avoid selling the universal principles, offering advice, confrontation, judgment, education, and relationally risky strategies such as complex reflections, exaggeration, and coming alongside.

Framing Problems within the Context of Family and Student Development

Purpose

This primer provides the coach with a framework for helping teachers and parents discuss daily challenges. Framing problems within the context of family development theory helps maintain the working alliance and allows evoking an argument for adult behavior change. It plants the seeds for identifying interactional patterns that could become the focus of a change plan if the parents are interested in extended consultation, education, and support.

Context

As articulated by Christensen, Todahl, and Barrett (1999), framing problems within the context of family development theory is an efficient way to organize the complexity of case material, normalize the challenges the parent faces, and maintain a working alliance. It is important to frame problems within the life or school routines, while recognizing environmental stressors that can become insurmountable barriers.

Carter and McGoldrick (1980) say that families of school-aged students must negotiate several tasks when their first student enters school. These include:

- New systems - changing neighborhoods, school environments, the households of peers.
- New rules (ways of operating) that must permit contact with people outside the family so the student can build relationships.
- New questions – Who helps with homework? How much help should you expect at home? At school?

Many of the families that participate in this intervention are still learning to negotiate these questions, as they manage their own stressors such as work responsibilities and relationships with other adults in the home and school. Another example relevant to the many families we work with is the ever-increasing likelihood that students' parents will divorce and remarry. Carter and McGoldrick describe developmental tasks and transitional periods associated with divorce and remarriage: separation and divorce, single parenthood, courtship, and remarriage. In these circumstances, challenges are shared by everyone in the family. Similarly, many teachers face challenging behavior during certain routines and events, such as transitions and unstructured activities.

It is not uncommon for parents to express frustration with behavior that is developmentally appropriate. For example, kindergartners who exert their independence can test parental limits. Second graders who explore the emotional tolerances of their friendships (e.g., best friends) may become overly emotional, causing consternation in the family. When parents do not recognize these events as developmentally important and appropriate (i.e., more normal than not, however challenging), they commonly respond in a fashion that escalates the behavior and strains their relationships with their children.

Framing the child's problems within the context of family and student development is particularly important during step 1, as it can help to establish a positive relationship and help focus the interview on changing adult behavior patterns in support of the focus child.

Application

Framing the problem is an important task of the coach. It begins in the first session and continues throughout the coach's work with the parent. It should be used as a vehicle to validate concerns yet allow the parent to see that the problem isn't the student but one that's shared by the family and the classroom. When the problem is shared or owned by the parent, it is likely to increase the importance they assign to changing parenting behaviors, thereby increasing motivation to adopt and implement the universal principles.

Framing problems within a family development context. In initial meetings with parents, it is common for them to view the student’s behavior as “the problem.” For example, when a child refuses to get on the bus in the morning, it’s certainly a problem. But reframing it within the context of what the family is attempting to accomplish reduces blame on the student and creates shared ownership of the issue. In this case, the problem might be that the family is unable to get where they need to be—parents to work and student to school. This is subtle but important shift. The following dialog shows how a coach might frame problems in this context while simultaneously evoking change talk.

Parent – That kid will not get on the bus without kicking and screaming. Most days I want to pull my hair out or just give up!

Coach – The “bus routine” is an important ritual in many family’s homes, including yours, and you feel a great deal of stress over the current situation. How does the stress affect you, in your role as parent?

Parent – It’s like I’m just waiting for a fight—I know it’s coming and I am just waiting for it! I hate it!

Coach – You have a big part to play in keeping the morning schedule on track, and you’re interested in discovering ways to make that change. Or

Coach – You feel the morning stress and you really want a change, right? How would you respond if the morning rituals didn’t stress you out?

Parent – I would have no idea where to start.

Framing of problems within the context of student development. Framing a problem in the context of student development can be a subtle but effective means for shifting the locus of the problem from the student to the parent. For example, students reaching school age need security and attention along with independence. Students are likely to test their limits as they transition into the school-age stage and struggle with the new systems, rules, questions, and responses from the adults in their homes and students in their classrooms. With these new experiences and environments, students may externalize (tantrum, whine) or internalize (withdraw, avoid) their frustrations, which are both developmentally appropriate responses. Frustrated by these changes, many parents miss opportunities to sort out the issues by applying the universal principles, which would promote social competency and reduce challenging behavior. Coaches use these common techniques to accomplish this: framing the student’s behavior as normal (normalizing), validating parental intentions, asking open-ended questions, and using complex reflections.

Coaches should review the primer on Change Talk to formulate appropriate responses to the parent’s answers. Here are some questions that evoke change talk consistent with the universal principles—with emphasis on family and student development contexts.

- What concerns you about the bedtime routine at present?
- What do you think will happen if you don’t change anything about the family interactions during homework time?
- In what way does the family resolve problems at bedtime that are inconsistent with the universal principles?
- What would happen if you intentionally acknowledged when your expectations were followed, and ignored minor inappropriate behavior?
- If you were to adhere to the five universal principles, what would your family life be like five years from now?
- What are the some good things that might occur if you really committed to having consistent consequences?
- What would happen if your expectations for homework time were clear and you practiced with your child regularly?
- What strengths do you have that will support your efforts to adopt and implement the universal principles?

If parents appear resistant to talking about their own parenting, focus on “other” parents who share the same values, and how they might describe the connection between parenting practices and student behavior. During these discussions, it is not beneficial to dwell excessively on student behavior. Coaches should see a focus on student behavior as resistance and respond with simple reflections rather than open-ended questions, reducing the resistance without encouraging elaboration on problem behavior. If overt signs of discomfort or relational stress are present, simply ask what they are thinking and about the relationship directly. These occasions are good opportunities to reinforce parent autonomy. Coaches can’t make parents to want to change. Coaches should give parents every opportunity to see things differently, and then let them decide.

Considering “others”

- I wonder how other parents who value responsibility like you do feel about their ability to influence their child’s behavior?
- What do other parents who value responsibility do in these situations?

Simple reflections

- Simon is aggressive at home and in school.
- The teacher doesn’t handle things the way you would prefer.

Assessing the relationship

- Discussing this topic makes you uncomfortable.
- Tell me how you are feeling about our discussion at this point.
- The decision about whether to change your parenting is yours to make (emphasize autonomy and control).

Curriculum: Tertiary homeBase

Step 1. Engage in Values Discovery

Implementation Objectives

- Establish and maintain a working alliance
- Complete ecological assessment
- Complete the values discovery activity

Agenda

- Introduction and agenda—5 minutes
- Ecological assessment—10 minutes
- Parent values discovery activity—20 minutes
- Assessment of working alliance and motivation—10 minutes
- Summary and transition—5 minutes
- Prepare for the parent universal principles interview and observation of the universal principles—10 minutes

Tools

- Parent values discovery cards
- Parent universal principles overview

Parent Ecological Assessment and the Values Discovery Activity¹

Purpose

The purpose of this activity is to become familiar with the family ecology and to discover the parent's values, family goals, and hopes for the future. At the same time, the coach works to develop, maintain, and monitor a working alliance.

Context

The Parent values discovery activity provides information, utilized during later steps of the homeBase process, for increasing parent motivation to adopt the universal principles. Successfully done, the parents' values are identified, validated (through reflections), and affirmed (through compliments and complex reflections). These occasions provide opportunities for the coach to identify and validate the parent's values, learn about existing family management practices, and encourage parents to consider which of their parenting behaviors support or contrast with their values. The coach solicits some basic information around family risk factors and family composition so that the need for immediate referrals to community resources can be considered. Although the coach is encouraged to be mindful and affirming of the parents' use of change talk, active attempts to evoke change talk during this interview are not encouraged because directional use of MI may be seen as "selling," which is particularly risky before developing a strong working alliance.

Application

Introduction. The introduction sets the tone for the relationship, provides an overview of the homeBase process, and clarifies the time commitment expectations. An introductory script is provided below.

Hello, my name is Pam, and I work with the school. The time you and I will spend together over the next few weeks focuses on the homeBase component of the First Step to Success intervention, which is designed to get [student's name] off to the best start possible in school. The fact that you're taking time out of your day to meet with me says a lot about your commitment to [student's name]'s success. We will discuss a lot of things today. The purpose of these conversations is to explore whether you see any benefit in supporting the work the teacher is doing in the classroom by using what we call the "universal principles" to support your student's behavior at home. No matter how you decide, I'll still learn a great deal about [student's name] and that will help make our interventions in the classroom more effective. Our work takes 3-5 visits. Today's session will take about an hour. Many parents request additional visits and support, and of course that is most welcome. Whether you decide to do that, and what it looks like, is completely up to you. Either way, I'll stay in touch so we can work together regarding your student's progress with the green card game in the classroom.

Ecological assessment. Though the coach may only meet regularly with the focus student and one parent, there are often others who live in the household or have a pivotal role in the family's life. An important aspect of getting to know the family involves gathering information about key people in their lives. The work with the family may be more productive if major barriers or risk factors can be addressed prior to or alongside the homeBase tasks. Following is a suggested script for this portion of the session:

I'm interested in hearing more about your family. Who lives in the household? Who are the important people in your lives who live in and outside the household? Where do you find your support as a parent and as a family?

Every family has strengths as well as challenges. For example, a family strength might involve being very close-knit and supportive of one another. That same family might struggle with serious financial

¹ Adapted from W.R. Miller, J. C'de Baca, D.B. Matthews, and P. L. Wilbourne; University of New Mexico (2001)

difficulties or mental or physical health issues. Tell me about your family's strengths and the things that sometimes present roadblocks for you.

This discussion may be brief, however it is often the case in this initial meeting that parents are ready to share information beyond the purpose of this introductory question (i.e., basic demographic information). Parents may wish to share their emotions in regards to their students, the school, or from their personal lives. The spirit in which the coach approaches the interview may help engender trust. The personal nature of such issues will impact the time it takes to gather the information. Thus, we suggest the coach respond to revelations of a personal nature with interest, using affirmations, reflective practice, and summaries in order to transition the conversation to focus topics. This interview is to form a working relationship and assure the parents that they are being heard.

Parent Values Discovery Activity. Coaches are encouraged to consider what is best for each parent by adapting the parent values discovery activity. Parents are encouraged to sort through the cards and identify those that resonate with their family values and hopes for their student's future. Alternatively, the coach can read the cards with parents (especially those whose literacy skills are challenged) and complete the exercise through an interactive discussion.

Introduce the activity by saying, "I'd like to learn more about the values that are most important to you in your parenting and what your hopes and dreams are for your student."

Give the parent the value cards and ask them to sort the cards into three piles—not important, important, and very important. Once finished, pick up the "very important" pile and ask the parent to re-sort, pulling out the top three or four cards in that stack. Do not be concerned if the parent cannot further edit these or ends up with exactly three or four cards.

Use the identified values to initiate a line of questioning to develop a recognizable discrepancy between parent beliefs and current parenting practices. As depicted in Figure 3 below, this is done by: (1) walking the parents through a line of open-ended questions in which the parent is invited to identify important values; (2) defining hopes and dreams consistent with these values related to self, family, and student; (3) defining current student behaviors related to school success as well as parenting practices; and (4) reflecting on discrepancies between their values, hopes and dreams, and current parenting practices. Although there are many possible paths to get from the value to the discrepancy, the path depicted below is often successful.

It may be useful to retain the values cards that parents identify as most important, recording the parents' words from your discussion on the cards themselves. During the performance feedback interview (or other times parent motivation is low due to perceived low importance) these cards can be used to evoke discrepancies between the parent's stated values and current practices.

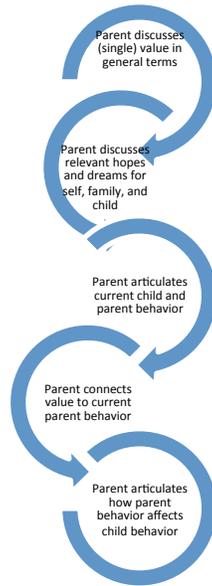


Figure 3. Coach-facilitated questioning.

Examples of coach facilitated questioning from each category above are provided below.

Parent discusses a particular value in general. The coach can say

- I see you value responsibility: What does that mean to you?
- You indicate family is important. Can you tell me a little about that?
- Religion is obviously a value you hold dearly, can you tell some about what that means to you personally?

Parent discusses relevant hopes and dreams for self, family, and student. Questions that elicit hopes and dreams include

- Thinking about the future, what will _____ be doing in 2 years that tells you you've been successful as a parent instilling cooperation as a value? (How about in 5 years? 10 years?)
- I'm curious how outsiders would know you are living consistently with your values. If your neighbors saw you family as one that values togetherness, how would they describe your activities and interactions?
- Imagine your students have grown and are asked by their spouses to describe you as a parent during their elementary school years. What things would you want them to remember?
- How would you like your closest friends to describe you as a parent in relation to your value of honesty?

Parent articulates current student behavior. The coach might say

- Tell me a little about how [child's name] does with cooperation (following rules, talking to adults appropriately, completing homework)?

- How would you characterize [child's name]'s ability to follow directions?
- If left unsupervised, how does [child's name] behave?
- Give me a sense for how [student's name] responds to limit setting, and maybe provide a few examples.
- How does [child's name] do with anger control?

Parent articulates current parenting behavior. The coach can ask

- How would you describe yourself as a parent?
- What parenting behaviors are you most proud of? (Why? Solicit examples.)
- What parenting behaviors are you are least proud of? (Why? Solicit examples.)
- What type of activities do you engage in with your children?
- How does your family spend its free time?
- How would you describe your relationship with [child's name]? (How would your best friend describe it? What about [child's name], what would he say?)
- All families have different communication patterns, what are yours?

Parent connects value to current parent behavior. This can be done with a statement. Examples follow.

- Providing for your family is important and the calls from school are compromising your job security.
- Helping your student be successful in school is important to her future, and the stressful after-school routine makes helping her difficult to accomplish.
- Spending quality time with your student is important to you because it builds the relationship you have with him.
- You want your children to be confident and have high self-esteem as they go through school and life, so you are getting them involved with extracurricular activities and encouraging completion of daily homework.

When parents express views you disagree with, or even find offensive, you can still communicate neutral understanding of their views. This does not mean you endorse them, or will not work to change them eventually. However, in the early stages of this process it is critical to avoid confrontation and make no attempt to provide education unless parents ask for it directly. Validate your understanding and then change the topic by giving a simple reflection and then asking an open-ended question. Two examples:

- You believe students of this age should listen to their parents without questioning them. Can you tell me a little about how _____ does with friends at school?
- You were raised with spankings, and you believe you should spank your students.

Preparing for the Parent Universal Principles Interview and Observation of the Universal Principles.

The coach concludes with an introduction to the Parent Universal Principles Interview and the Parent Observation of the Universal Principles procedures, which consists of a parent and student interaction that is (ideally) video-recorded. The following script represents a possible transparent summary to conclude this interview.

I appreciate your willingness to share your values and goals for your child. I think this is a good time to summarize where we've been and where we are heading, since you seem encouraged by this process. As always, our work together is completely up to you and what you think is best for your student. Next week, I'd like to talk with you about the principles that guide our work with teachers and parents, and discuss the possibility of video recording you and [student's name] playing a fun game together. For now, I'd like to leave a copy of the principles and ask you to review them for next week. I hope our time together has been helpful. How are you feeling? Shall we schedule a time for next week? If you are not interested in using these principles in your own parenting, our time together will end, although I would like to follow up with a weekly phone call so we can continue to collaborate regarding your student's progress with the green card game.

The coach should leave the Parent Universal Principles Overview and Self Assessment with the parent.

Parent Values Discovery Cards

<p>Companionship/ Marriage</p> <p>To have one close, loving relationship.</p>	<p>Family</p> <p>To be closely connected and involved with family and love partner.</p>
<p>Leisure Time</p> <p>To have lots of time to relax and enjoy.</p>	<p>Independence</p> <p>To be free from dependence on others.</p>
<p>Beliefs</p> <p>To grow and mature spiritually.</p>	<p>Community</p> <p>To be closely connected and involved with organizations and the people in my life.</p>
<p>Friendships</p> <p>To have close, supportive friends.</p>	<p>Job/Occupation</p> <p>Employment that I enjoy and that provides for my family.</p>

<p style="text-align: center;">Pleasure/Fun</p> <p style="text-align: center;">To have fun and play.</p>	<p style="text-align: center;">Abilities/Skills</p> <p style="text-align: center;">To be highly competent in important activities.</p>
<p style="text-align: center;">Acceptance/Tolerance</p> <p style="text-align: center;">To accept and respect those who differ from me.</p>	<p style="text-align: center;">Cooperation</p> <p style="text-align: center;">To work collaboratively with others.</p>
<p style="text-align: center;">Responsibility</p> <p style="text-align: center;">To be reliable and make responsible decisions.</p>	<p style="text-align: center;">Self-esteem and Confidence</p> <p style="text-align: center;">To feel good about myself, to accept myself as I am.</p>
<p style="text-align: center;">Health</p> <p style="text-align: center;">To be physically well and healthy.</p>	<p style="text-align: center;">Emotional and Physical Safety</p> <p style="text-align: center;">To feel safe and secure in all aspects of my life.</p>

<p>Achievement</p> <p>Driven to achieve and to get ahead.</p>	<p>Education</p> <p>To learn and grow in my understanding of the world.</p>
<p>Very Important</p>	<p>Write your own value:</p> <hr/>
<p>Not Important</p>	<p>Important</p>

Important Parent Values

Companionship/ Marriage	Family
Leisure Time	Independence
Beliefs	Community
Friendships	Job/Occupation
Pleasure/Fun	Abilities/Skills
Acceptance/Tolerance	Cooperation
Responsibility	Self-esteem and Confidence
Health	Emotional and Physical Safety
Achievement	Education

Step 2. Assess Current Parenting Practices

Implementation objectives

- Assess Working Alliance
- Complete Universal Principles Interview
- Complete *or* Schedule the Observation of the Universal Principles

Agenda

- Assess Working Alliance – 5 minutes
- Review the Universal Principles – 5 minutes
- Complete the Universal Principles Interview – 45 to 60 minutes
 - Introduce the purpose of the observation – 5 minutes
 - Set up the camera – 5 minutes
 - Describe the task to the parent – 5 minutes
 - Revisit Universal Principles as related to the Jenga game – 15 minutes
 - Record the interaction – 10 minutes
 - Preparation for next visit – 5 minutes

After the Visit:

- Case Conceptualization (See Program Integrity Tools). Coach prepares for performance feedback- 30 minutes

Tools

- Parent Universal Principles Overview and Self Assessment
- Universal Principles Parent Interview Guide
- Video recorder
- Jenga

Parent Universal Principles Interview

Purpose

The purpose of this interview is to introduce the parent to the universal principles and to increase intrinsic motivation to change parenting behaviors related to one or more of these principles.

Context

The Parent Universal Principles Interview provides a structure for increasing parent motivation to adopt the universal principles. The coach contrasts the parents' values with their actual child rearing practice. Thus, they expose what the parent(s) values, beliefs, and wants, for themselves and their child, with their child rearing practices in the real world. Once the gap between value/hope/belief and action is revealed, ambivalence is raised, and the parent must grapple with whether he or she is willing and able to change their practices to make them align more closely with their beliefs. Throughout the interview, the coach responds to change talk in such a way that the advantages of adopting the universal principles and the disadvantages of existing practices are highlighted. Further elaboration from the parent is encouraged. Although it may be possible to elicit mobilizing change talk at this point, the focus is typically on evoking preparatory change talk, denoted by the acronym DARN (desire, ability, reasons, need).

Application

Introduction. The introduction provides an overview of the interview and clarifies the time commitment expectations. An introductory script:

Our session today will be the longest, and typically takes an hour and a half. I'd like to give you the opportunity to share what you think about the principles I left last week for you to review. First let's get your general impressions then we can review them one at a time. What are your thoughts about the universal principles?

Parent Universal Principles Interview and Self-Assessment. Next the interviewer invites the parent to locate their current practices within the universal principles to support student behavior. This discussion aims to resolve any ambivalence the parents may feel regarding the universal principles, reduce resistance to changing parenting practices, identify specific principles that will serve as the focus of change, and specify challenging behavior and family routines where the principles could be applied within a family change plan.

Throughout the interview, the coach provides complex summaries that emphasize preparatory change talk, frames the problems in the context of family routines and student development (to identify behaviors that might be targeted for change), and connects the universal principles to the values and practices previously discussed.

To do this, use the Parent Universal Principles Overview and Self Assessment. This tool introduces the parent to the five universal principles of positive behavior support (Golly, 2006): (1) establish clear expectations; (2) directly teach the expectations; (3) reinforce displays of the expectations; (4) minimize attention to minor inappropriate behaviors; and (5) establish clear consequences for unacceptable behavior. These principles provide a useful way of organizing parenting practices related to family management and promote consistency across the school and home components of the First Step intervention. While the parents read the Universal Principles Overview and Self Assessment, the coach uses the Parent Universal Principles Interview Guide, which is organized around the universal principles. The coach and parents work to find a mutually agreeable definition of these principles and locate the parents' values and goals (for them and for the student) for parenting within the context of the principles. Providing complex summaries that emphasize change talk and framing the problems that have been discussed in the context of family routines are useful strategies for promoting the adoption of these principles.

After the discussion of *each* universal principle, the coach encourages parents to assess their use of them in their current parenting practice. The coach need not view these self-assessments at all. In fact, we encourage the coach to support the parents' autonomy by indicating that the overview sheet will not be collected. This self-rating becomes an important bridge into the very next step of the interview, which uses the rulers described above to measure the importance parents give to the universal principles and their confidence in using them.

If the parents share their ratings, coaches are encouraged to use the parent's self-assessment in much the same way as the importance and confidence rulers—to evoke preparatory change talk. If parent importance or confidence for adopting the universal principles is low, the coach should refrain from giving advice, recommending change, or asking for a commitment to engage in extended coach support. In this case, the coach should wait until the debriefing interview, when it is possible to present current practices data to leverage ratings of importance. Being patient with parents promotes autonomy, and many parents who are initially uninterested in change can and do change once they have an improved relationship with the coach. Be patient. This is not your “last chance.”

The last step is for the coach to connect the identified behavioral challenges of the focus student to the universal principles, the parent's values, and possibly the parents' self-assessment. The following are examples that summarize or reflect these connections and promote the importance of the principles. Notice that these are complex reflections, since the coach is making connections—or testing out what is a likely relationship—between stated previously values and more recently discussed parenting practices.

- You want your student to view you as a patient and loving parent and you worry that losing your temper puts that at risk.
- Responsibility is an important value to instill in your child, and you're frustrated because you constantly have to tell him to pick up after himself.
- You believe it's important to do something different about your student's study habits because you are concerned that at this rate, [student's name] is not likely to graduate.
- Independence is an important part of adulthood, and you're concerned with [insert student's name] ability to be independent because of the attention he/she seeks and needs from other adults.

Preparing for the Parent Observation of the Universal Principles. The coach concludes the interview with an introduction to the current practices data collection procedures, which consists of the Parent Observation of the Universal Principles, a parent and student interaction that should be video-recorded. The following sample script represents a possible summary to conclude this interview.

During this visit I've learned about areas of [student's] behavior and your parenting that are of the most concern to you.” [The coach should be as specific as possible about possible connections between the values discussed previously and parenting practices.] Next, I'd like to [later this week or right now] have you and [student's name] play a game together. Just before we turn on the video recorder, you and I will review the universal principles and discuss how you might use the principles during the game. I will video record the game, and then we can review the video at our next visit, or shortly after we make the video, whichever you like. Other parents have found this a great way to talk about the universal principles, how they worked during the game, and whether they found any goals they wanted to pursue related to the principles. During our review of the video, we will utilize the universal principle overview form and the self-assessment you completed for each principle. If you don't want to use the principles in your own parenting, our time together will end, although I would like to follow up with a weekly phone call so we can continue to collaborate regarding your student's progress with the green card game in [student's] classroom.

Universal Principles Parent Overview and Self-Assessment

Establish Clear Expectations									
<ul style="list-style-type: none"> ✓ Expectations are clear (specific behaviors) ✓ Expectations are explained positively, and reviewed frequently. ✓ Expectations are reviewed just before difficult times (visits to the store, important events, at the beginning of a game). 	<p style="text-align: center;">Rate Yourself:</p> <p style="text-align: center;">How well do you make use of clear expectations?</p> <table border="1" style="width: 100%; text-align: center; border-collapse: collapse;"> <tr> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input checked="" type="radio"/></td> </tr> <tr> <td>Not very well at all</td> <td>Could do better</td> <td>Well enough</td> <td>Very well</td> </tr> </table>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	Not very well at all	Could do better	Well enough	Very well
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>						
Not very well at all	Could do better	Well enough	Very well						
Directly teach the expectations									
<ul style="list-style-type: none"> ✓ Expectations are taught in small steps, with very clear definitions. ✓ Role-play, demonstrations, examples of the right and wrong way, and make-believe play are used to teach expectations. 	<p style="text-align: center;">Rate Yourself:</p> <p style="text-align: center;">How well do you teach your expectations?</p> <table border="1" style="width: 100%; text-align: center; border-collapse: collapse;"> <tr> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input checked="" type="radio"/></td> </tr> <tr> <td>Not very well at all</td> <td>Could do better</td> <td>Well enough</td> <td>Very well</td> </tr> </table>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	Not very well at all	Could do better	Well enough	Very well
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Not very well at all	Could do better	Well enough	Very well						
Reinforce the display of expectations									
<ul style="list-style-type: none"> ✓ Praise is used to reinforce the expectations when you notice appropriate behavior (even small steps). ✓ Reward activities are used (1 on 1 time, special events, fun activities) ✓ More praise is used than reprimands. 	<p style="text-align: center;">Rate Yourself:</p> <p style="text-align: center;">How well do you reinforce expectations?</p> <table border="1" style="width: 100%; text-align: center; border-collapse: collapse;"> <tr> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input checked="" type="radio"/></td> </tr> <tr> <td>Not very well at all</td> <td>Could do better</td> <td>Well enough</td> <td>Very well</td> </tr> </table>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	Not very well at all	Could do better	Well enough	Very well
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>						
Not very well at all	Could do better	Well enough	Very well						
Minimize attention for minor inappropriate behaviors									
<ul style="list-style-type: none"> ✓ Behavior that is just a little annoying or irritating is ignored, in favor of... ✓ Noticing appropriate behavior more than inappropriate behavior. 	<p style="text-align: center;">Rate Yourself:</p> <p style="text-align: center;">Do you minimize attention for inappropriate behavior?</p> <table border="1" style="width: 100%; text-align: center; border-collapse: collapse;"> <tr> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input checked="" type="radio"/></td> </tr> <tr> <td>No, not at all</td> <td>Could do better</td> <td>Well enough</td> <td>Very much so</td> </tr> </table>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	No, not at all	Could do better	Well enough	Very much so
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No, not at all	Could do better	Well enough	Very much so						
Establish clear consequences for unacceptable behavior									
<ul style="list-style-type: none"> ✓ Consequences are planned for ahead of time. Everyone knows the consequences for inappropriate behavior. ✓ There are different consequences depending on how severe the inappropriate behavior is. ✓ Consequences are logical and thoughtful, not created when emotions are running high. 	<p style="text-align: center;">Rate Yourself:</p> <p style="text-align: center;">How well do you make use of clear consequences?</p> <table border="1" style="width: 100%; text-align: center; border-collapse: collapse;"> <tr> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input checked="" type="radio"/></td> </tr> <tr> <td>Not very well at all</td> <td>Could do better</td> <td>Well enough</td> <td>Very well</td> </tr> </table>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	Not very well at all	Could do better	Well enough	Very well
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Not very well at all	Could do better	Well enough	Very well						

Universal Principles Parent Interview Guide

Interviewer to parent script:

With your permission, I'd like to share with you the universal principles, learn what they mean to you, and have you determine how closely they fit or don't fit with your values. Then, I'd be interested in hearing a few examples of how you use these principles in your own parenting practices—or how you'd like to use them. Here's a copy of the universal principles to reference while we talk.

Review one principle at a time, beginning with the elicit-provide-elicited technique and moving to open-ended questions related to the application of the principle. At this point in the intervention process the coach begins to use directional MI, evoking the pros for adopting each principle and cons for the status quo when current practices contradict the principle.

1. Establish Clear Expectations

Understanding of concept (Use elicit-provide-elicited)

- Looking at the first principle, what does it mean to you as a parent to *establish clear expectations*?

Coach then either affirms parental response or asks:

- Are you interested in hearing a few other things about establishing clear expectations in the context of the First Step program?

With the parent's permission, provide a brief, concise explanation, focusing on the bullet points from the Universal Principles Overview and Self-Assessment. Then ask,

How does this fit with your values?

Current practices (Use open-ended questions and simple reflections)

Primary question.

Tell me about your household rules and expectations for behavior. I'm also interested in the rules/expectations that other adults in the house may have, and whether you agree with them or not.

Pros and cons.

What do you see as the advantages of establishing clear expectations as a parent? How about the disadvantages for parents and students when the expectations are not established, or change without the child being informed?

Self-assessment.

I want to offer you the opportunity to rate your use of this universal principle as [student's name] parent. I do not need to see your rating. It is just for you, and you'll use it again during the next step of our process.

Support the parent in anyway necessary as they rate their use of clear expectations.

Importance and confidence rulers.

2. Directly Teach the Expectations

Understanding of concept (Use elicit-provide-elicite)

Elicite: What does it mean to you for a parent to directly *teach a student how to do what is expected or how to behave in a certain way*?

Provide-elicite as needed, ending with the question, “How does this fit with your values?”

Application of concept (Use open-ended questions and simple reflections)

Primary question.

How do children learn how to do what you expect of them?

Pros and cons.

What do you see as the current or potential advantages of directly teaching expectations? What are the disadvantages for parents or students when expectations are not directly taught?

Self-assessment.

I want to offer you the opportunity to rate your use of this universal principle as the parent of [student’s name]. I do not need to see your rating—it is just for you, and you’ll use it again during the next step of our process.

Support the parent in anyway necessary as they rate their teaching expectations directly.

Importance and confidence rulers.

3. Reinforce the Display of Expectations

Understanding of concept (Use elicit-provide-elicite)

Elicite: What does it mean for a parent to recognize and support children for *doing what is expected of them*?

Provide-elicite as needed, ending with the question. “How does this fit with your values?”

Application of concept (Use open-ended questions and simple reflections)

Primary question.

How do you recognize and support your student’s appropriate behavior?

Pros and cons.

What advantages and disadvantages do you see of noticing and acknowledging students for doing what is expected? What are the advantages and disadvantages for parents and students where positive behavior is not acknowledged?

Self-assessment.

I want to offer you the opportunity to rate your use of this universal principle as the parent of student's name] Again, I do not need to see your rating—it is just for you—and you'll use it again during the next step of our process.

Support the parent in anyway necessary as they rate their use reinforcing the display of expectations.

Importance and confidence rulers.

4. Minimize Attention for Minor Inappropriate Behaviors

Understanding of concept. (Use elicit-provide-elicite)

Elicite: What does it mean to you for a parent to *give little or no attention to minor inappropriate behaviors*?

Provide-elicite as needed, ending with the question, “How does this fit with your values?”

Application of concept. (Use open-ended questions and simple reflections)

Primary questions.

How do you handle behavior that is annoying or irritating, but does not violate your rules or expectations?

What do you see as the current or potential advantages of ignoring or minimizing attention for minor, inappropriate behavior?

How about the disadvantages when attention is given to minor, inappropriate behavior?

Self-assessment.

I want to offer you the opportunity to rate your use of this universal principle as the parent of [student’s name]. I do not need to see your rating—it is just for you—and you’ll use it again during the next step of our process.

Support the parent in anyway necessary as they rate their ability to minimize attention for inappropriate behavior.

Importance and confidence rulers.

5. Establish Clear Consequences for Unacceptable Behavior

Understanding of concept. (Use elicit-provide-elicite)

Elicite: What does it mean to you for a parent to *establish clear consequences for unacceptable behavior*?

Provide-elicite as needed, ending with the question, “How does this fit with your values?”

Application of concept (Use open-ended questions and simple reflections)

Primary question.

How do you discourage inappropriate behavior?

Pros and cons.

What do you see as the advantages of establishing consequences when a student breaks a rule?

How about the disadvantages for parents and students when there are no consequences for breaking rules?

What if the consequences are inconsistent?

Self-assessment.

I want to offer you the opportunity to rate your use of this Universal Principle as the parent of [student's name]. I do not need to see your rating it is just for you, and you'll use it again during the next step of our process.

Support the parent in anyway necessary as they rate their ability to establish clear consequences for rule infractions.

Importance and confidence rulers.

Parent Observation of the Universal Principles Procedures

Purpose

The following procedures describe the steps for recording the Parent Observation of the Universal Principles. The purpose of this parent and student interaction is to collect data for use during the Parent Debriefing Interview.

Context

The video recording of the Parent Observation of Universal Principles occurs after the Parent Values Discovery Activity and the Universal Principles Interview, and prior to Step 3, Provide Performance Feedback. The video recording typically occurs on a separate visit to the home. It is not uncommon for parents to have some reservations about being recorded. In order to address potential ambivalence, the coach provides parents with the opportunity to discuss any concerns and then provides multiple options for structuring the observations.

Application

Introduce the purpose of the observation.

Interviewer to parent script:

Let me tell you a little about the activity as a whole, then we can get started. This activity involves video recording you and [student] playing a game of Jenga. Other families have found this activity helpful as a safe way to “try out” the universal principles. We watch the video at our next visit, or right after we make it, whatever you decide. As we look at the video, we will talk about the universal principles, how they worked during the game, and whether there are any goals you would be interested in pursuing related to the principles.

If parent seems completely on board, ask any essential questions before you get started.

If the parent expresses reservations, this script may be helpful:

You have several options here. One is for me to video record the interaction. This provides us with the opportunity to review the video recording in our next meeting, perhaps allowing you to notice things you weren't aware of in the midst of the interaction. If you decide to allow me to record the activity, you always have the option of turning off the video at any point, or you can have me delete the recording at the end of the activity. How does that sound? Another option is just to make an audio recording, or if you are not comfortable with any type of recording, you may still decide to do the activity, and we can discuss afterwards. I'm interested in what you believe will be most helpful to you. Do you have any questions before we get started?

Set up the camera. Look for appropriate places to shoot the video (with parent and student on a couch or at the kitchen table) where the parent and student can be filmed with materials nearby. Set up the camera in an appropriate area so that the shot includes student and parent. Ask parent to turn on any additional lights, if needed. Request that the TV or radio be turned off to improve the sound quality. Be sure that the camera is set up on the tripod and focused and all participating family members are in the shot. Invite the parent to look through the lens if so desired.

Describe the task to the parent.

Interviewer to parent script:

Have you ever played Jenga before? [If yes] Let me remind you of the rules. [If no] Let me tell you how to play. Here is the Jenga tower, which is built with three blocks per level. On your turn, carefully remove a block from anywhere below the highest completed level. Use only one hand! Then stack the block on top of the tower at a right angle to the blocks below. So with these blocks going in this direction [point with finger], you would stack the block on top going in this direction [show with finger]. While stacking, always complete a 3-block level before starting a higher one. The last player to stack a block without making the tower fall wins the game!

As you play and the weight of the tower shifts, some blocks become looser than others and are easier to remove. You can touch other blocks to find a loose one. If you move a block out of place, you must fix it—using one hand only—before touching another block. If you finish a game before the time is up, just rebuild the tower and play until time is up.

Any questions or comments?

Revisit the universal principles as they relate to Jenga.

Interviewer to parent script:

Last week, we discussed the five universal principles, and you shared how they relate to your parenting experience. Today you may get the chance to use all five principles. Would it be all right to look at the principles quickly and see how each might fit within this activity?

With permission, show parent the Universal Principles Overview, and begin with a general question, such as, “How do you imagine you might use any of these principles in playing a game of Jenga?” In an effort to at least briefly address each principle, fill in any gaps with open-ended questions such as:

- What are the rules you expect your student to follow when playing games? (UP 1)
- What are the rules (either about appropriate game behavior or about Jenga in particular) that may need to be taught before you begin the game? (UP 2)
- How might you go about teaching those behaviors/rules? (UP 2)
- When your student follows your rules for behavior or the Jenga rules, how might you let him/her know you noticed? (UP 3)
- How else might you praise your student, and for what? (UP 2)
- If your student (like most students) has behaviors which are irritating, but don’t necessarily violate the rules for game playing, what would it look like if were you to ignore those behaviors during the game? (UP 4)
- If your student chooses not to follow one of your rules, how might you respond? (UP 5)

At this point, the coach records the parent/student interaction, cleans things up, and schedules the performance feedback interview.

Alternate Applications

The parent observation of the universal principles may be used differentially, based on the parents’ assessment of the importance given to the principles and the parents’ confidence in carrying them out. For example, parents who exit the Universal Principles Interview with high levels of importance and confidence to change may have used mobilizing change talk and developed plans for change during the interview itself. Since motivation is not an issue for these parents, this offers the opportunity to “try out” the universal principles on their new plan, using the debriefing interview to refine the plan (e.g., as if the parent was participating in the Extended Consultation, Education, and Support process). Alternatively, parents who exit the Universal Principles

Interview with low levels of confidence may benefit from more intense preparation for the observation in regards to the universal principles (see above). In this way, parents with low confidence might be “coached” prior to the observation in order to increase their confidence and thus their motivation, utilizing the debriefing interview that follows to affirm and focus their efforts towards a final plan for change.

Step 3. Share Performance Feedback

Implementation Objective

- Conduct the Parent Debriefing Interview

Agenda

- Watch the video with the parent –10 minutes
- Solicit parent impressions of the video – 15 minutes
- Cultivate importance – variable
- Enhance confidence – variable
- Provide Extended Consultation, Education, and Support option – 10 minutes
- Closure or prepare parent for Extended Consultation, Education, and Support – 15 minutes

Tools

- Parent-Student Interaction Video
- Parent Universal Principles Overview
- Parent Values Discovery Cards

Parent Debriefing Interview Procedures

Purpose

The Parent Debriefing Interview assists the coach in structuring performance feedback for the parent, and it gives details on how to structure the extended coach support component of the consultation or bring the consultation process to a close.

Context

The structure and duration of the Parent Debriefing Interview is highly variable. Its length depends on the quality of the parents' implementation of the universal principles as well as their motivation to change their parenting practices. For some parents, this interview represents closure, that is, the end of the Tertiary homeBase intervention. Other parents will choose the Extended Consultation, Education, and Support option, and continue to meet with the coach one to three additional times.

Application

Solicit parent impressions of the video. The Parent Debriefing Interview begins with the coach and parent watching the video together. The coach solicits the parents' impressions of their performance in relation to the universal principles. Specifically, the coach solicits the parent's impressions of their skill in applying the universal principles as well as the importance they attach to them and their confidence in their ability to apply each universal principle. After viewing the video the coach might begin with an open-ended question, such as, "What stood out to you as you watched the video?" Or, "Which of the universal principles did you feel most at ease with and why?" Or "Which of the universal principles were difficult to use, and why?" The parent is then invited to use the Parent Universal Principles Overview to rate the extent to which they believe each principle is important to change, and how confident they are they could change their parenting practices to be more consistent with the principle. During this portion of the Debriefing Interview previously prepared Case Conceptualization plans will be of use to the coach.

If implementation is strong (irrespective of motivation) or if implementation is weak but parental motivation to change is high, the coach attempts to enhance parental confidence in their ability to change (see below). If implementation of the five universal principles is weak and parent motivation is low, we recommend that the coach cultivate importance, solicit parental impressions (for the second time), and enhance confidence in their ability to change.

Throughout the interview the coach should evoke change talk (See Evoking Primer), intentionally moving preparatory change talk to mobilizing change talk. The three types of mobilizing change talk are represented with the acronym CATs—commitment, activation, and taking steps. Change talk can be affirmed by connecting it with stated values and ideals of parenting.

Cultivating importance. Questions that cultivate importance involve encouraging the parent to elaborate on the benefits of adopting the universal principles and the disadvantages of not adopting them. This line of questioning is, in our experience, challenging to teach and learn. Even experienced coaches move too quickly towards change planning once a parent admits that adopting the principles is important. A more serious error is when coaches assume the parent is ready without asking. Parents often overestimate the extent to which they believe adopting the universal principles is important, a phenomenon most likely associated with social desirability bias. Since the authenticity of parent self-ratings is difficult to assess we encourage coaches to resist the temptation to move too quickly, opting instead to err on the side of caution and address this issue if there is any question about parental motivation.

The primary vehicle used to cultivate importance is to “develop discrepancy” (Miller & Rollnick 2002), that is, to highlight the gaps between the parents’ stated values, the advantages of the universal principles, and current parenting practices. When data on current practices demonstrate weak implementation (video, interview, and case conceptualization notes), it is a good time for the coach to make connections between the parent’s values and parenting practices inconsistent with the universal principles. For example, we encourage the coach to bring out the actual parent values discovery cards that were selected by the parent during the values discovery activity. These cards may be even more powerful when discussion notes, or the parent’s actual words are quoted—either from notes or recorded on the cards.

Enhancing confidence. Confidence is enhanced by helping parents recall specific situations in which they successfully implemented the universal principles, or other positive parenting practices from the past, and naming ways they might go about doing so in the present and future. It is common for motivational interviewing novices to gloss over this technique, but time spent enhancing confidence is nearly always time well spent.

Because this step is so important we have identified additional strategies (not currently found in the motivational interviewing literature) that we believe will help coaches stay on this objective longer. These strategies are promoted in literature on narrative therapy, which is characterized by respect, transparency, and relentless optimism and is consistent with the motivational interviewing approach. This literature promotes the benefits that occur when parents elaborate on “unique outcomes,” “exceptions to the problem story,” and “alternative stories.” These help to evoke change talk during the debriefing interview.

When we highlight examples of change consistent with parental values, then anchor them in time, we provide parents with a point of reference from which they gain a sense of strength and ability (i.e., confidence). Known as “anchor points” they are references from the parent’s experience that support behavior change. Inviting the parent to discuss experiences in which they successfully applied one or more of the universal principles provides an anchor to link to possible adoption and implementation of them in their current situation. Once examples of successful implementation of the universal principles have been identified, they can be anchored through process questions designed to empower the parent to take ownership of the change. Associating current change behavior with those from the parent’s past anchors the new story of parenting and creates a memory trail demonstrating how adopting these principles now had precursors in prior years. Anchoring in the present or recent past protects a parent’s interpretations of current change behavior and prevents any newly formed ideas of self from being overly vulnerable. Additionally, these experiences can be anchored in detail-oriented questions to further ground the parenting change talk story.

In addition to anchoring, the concept of “thickening” in the literature on narrative therapy can be helpful. It’s similar to the motivational interviewing focus on evocation, that is, the active elicitation of the parent’s reasons for implementing the universal principles. Anchoring and thickening questions are useful for building confidence. (See examples that follow and in Table 2. Thickening questions provide examples of change that have been anchored and that plot a substantial relationship between the change story and the parent’s life, including its meanings, desires, intentions, beliefs, commitments, motivations, values, and the like. Thickening continues the story (lest it be forgotten) and adds complexity to the emerging narrative. As an analogy, compare thickening to the depth and breadth of the roots of a large tree; they support its future growth and the reach of its branches. To thicken these stories of change and further instill confidence, the coach might: (a) ask for details about how the parent adopted and implemented the universal principles or other positive parenting practices; (b) include others, as witnesses to previous adoption and implementation efforts; or (c) include alternative perspectives. See Table 2 for examples of these types of questions.

Table 2. Questions from Narrative Therapy Literature to Build Confidence

Type of Question	Question
Anchoring	Point of Reference Were there times when you've [insert any universal principle] before? What successful examples of [insert any universal principle] can you think of?
	Ownership As you look back at this accomplishment [referring to any universal principle]. What did you do first? Then what? How did you prepare yourself to do this? What do you think were the turning points that made this possible? Were there particular things that you said to yourself that supported [insert any universal principle] and were consistent with your values? What was the look on his face when...?
	Detail What went into doing this at this point in your life? Who would have predicted this event? What did it feel like...? Who else saw this?
Thickening	Details What is the significance of this possible change for you as a family? If you were to apply [insert any universal principle] in your life now, in what context would it make the most difference? What difference would it make? What have others seen that would lead them to believe you can [insert any universal principle]? What do you think motivated [a significant other] to [insert any universal principle]?
	Including Others Do you think the way that you two stuck to the task reflects what you hope for yourself in the future? Include values (e.g., "What does working towards this change say about your character?" What does it say about your commitment to your values? What does your ability to [insert any universal principle] say about you as a person that you would do this? What does this new perspective tell you about yourself? Why does [insert any universal principle] suit you better than the old way? What positive effects on [significant others] do you foresee your commitment to [insert any universal principle] having?
	Alternative Perspectives How does implementing [insert any universal principle] influence your ideas about the future?
	Connect to Present If we look back over the years, how are you using your strength and intelligence differently with this next step in your future?

Note: Reprinted from Frey, et al. (2013)

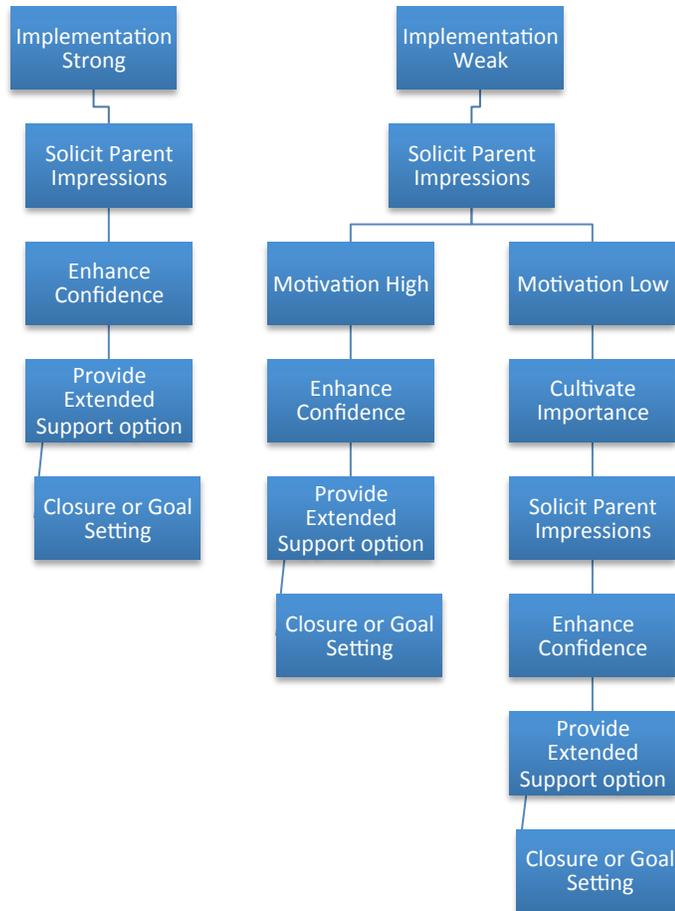
Provide Extended Consultation, Education, and Support option. The coach continues to cultivate importance of the universal principles and enhance the confidence of the parents in their ability to apply the principles until the coach is confident the parent will either commit to extended support or is ready to initiate the closure process. The following are signs the parent may be ready to successfully commit to the extended parent support option: decreased resistance, resolve to change, presence of mobilizing change talk, questions about change, ability to envision change, the parent is experimenting with change or requesting to get on with implementation. These readiness signs indicate that the parent has identified their own strengths and can easily acknowledge the advantages of implementing the universal principles. There are no concrete rules to know when it's time to present the options to the parent: receive Extended Consultation, Education and Support or bring the consultation process to closure. The coach's judgment is the best indicator.

In recognition of these signs, the coach might initiate movement towards the extended support process by asking the parent directly, "What are your thoughts about making a plan for this change?" Or, "Just how will you go about making this change—maybe we could create a plan?" Another avenue to assess the parent's readiness for the next step is the use of a strategic summary statement. Like other summaries, the strategic summary compiles the parent's perceptions of importance and confidence along with the mobilizing change talk and readiness signs into a precise summary that ends with a simple question: "What do you think you might do next?" Or "I'm wondering where all this leaves you?" Or "How can I help you move forward from here?" The coach should not give in to the temptation of answering these questions for the parent. Often a bit of "wait time" or silence is all that is needed to encourage a parent's response.

It is worth noting again, that some parents may have become motivated to make a change very early on (or they may have entered the relationship already motivated). In that case, the coach and parent may have moved into extended consultation, education, and support during the Universal Principles Interview or while reviewing the Observation of the Universal Principles video recording. In this case, one or more of the steps of the Tertiary homeBase process may be truncated or skipped in support of the parent's readiness for change planning.

Signs that closure may be a mutually beneficial option are often found in persistently low motivation despite the coach's use of the variety of aforementioned interventions and unfailing resistance (either in the form of extreme passivity or blatant negativity).

The Parent Debriefing Interview Flow Chart.



Step 4. Offer Extended Consultation, Education, and Support

Objectives

- Negotiate Structure and Content of Change Plan
- Assess Current Practices
- Provide Performance Feedback

Agenda

- Negotiate structure and content – 5 minutes
- Discuss, model, and role play – 30 minutes
- Identify potential barriers – 15 minutes
- Prepare for next week – 10 minutes

Tools

- Parent Universal Principles Overview and Self-Assessment
- Parent Change Plan Worksheet
- Parent Tip Sheets
- Other Resources

Parent Extended Consultation, Education, and Support Procedures

Purpose

This section is meant to assist coaches in providing additional support to further improve parent implementation of the five universal principles through problem solving and/or family change planning procedures.

Context

Extended coach support is individualized for each family. It typically involves repeating the current practices data collection and debriefing interview a second time, or developing a family change plan, and then following up with a debriefing interview the following week.

Application

Within this section, scripts are meant to exemplify the application of three important change-planning procedures used when providing extended coach support: (1) negotiate structure and content; (2) discuss, model, and role-play; and (3) identify potential barriers.

Negotiate structure and content. There are several options for the structure and content of extended parent support. Parents may elect to enhance their knowledge and application of the five universal principles by either:

1. Applying the principles within the context of the Jenga activity (for a second time), or
2. Identifying a family routine that has been historically challenging and applying each of the principles to that routine.

With either option, parents are encouraged to identify specific strategies for improving. They may find that having the Parent Universal Principles Overview in front of them to be helpful. Coaches should encourage parents to reflect on information from the debriefing interview in order to pinpoint areas that are important to change. Coaches should use the Parent Change Plan Worksheet to record relevant information.

Coach: Many parents find it helpful to start by identifying one or two goals to focus on. With what you know about your son, what struck a chord with you from the feedback we reviewed? Are there any challenging behaviors or universal principles you would like to address?

Parent: More than anything, I would love to get Steven to the point where he talks to me—and to other adults, such as his teachers—with respect. His notes from school say that he talks back and sometimes even uses bad words when he’s mad at his teachers.

Coach: So, you would like to increase the number of appropriate interactions Steven has with adults? Sounds like a good fit with your family value of respect.

Parent: That’s good, yes it does! I’d like to make it clear that we’re talking about the times when things aren’t going his way. Could we add, “When he’s upset?”

When the parent has identified a goal, it is important to frame the challenge in terms of the universal principles and adult behavior (See the Framing Problems within Family Routines and Student Development Context Primer).

Coach: OK. Our first goal is to increase the number of appropriate interactions Steven has with adults when he is upset. What if we were to locate this goal within the universal principles and our work as adults in supporting Steven? At this point, which of the universal principles do you feel most confident

with, and which seem most important for you to focus on with your expectation that he'll treat others with respect—even when upset?

Parent: I hadn't thought about it until you showed me the feedback forms and the video, but I guess I don't always give him as much positive attention and acceptance as he could use.

Coach: Let me know how this sounds to you: You want to increase the number of appropriate interactions Steven has with adults when he is upset, and in support of this goal you will increase the amount of positive attention he receives for positive interactions with adults—even when he is upset. Correct?

Parent: I like it. [Smiling] Sounds like I have my work cut out for me.

Discuss, model, and role-play. Once the structure and content have been negotiated, we recommend that application of all the universal principles be discussed, modeled, and role-played.

Coach: Sounds like you're looking forward to the challenge. Now that you have set some goals, let's spend the last part of our time together talking about how you might achieve those goals.

Parent: I think just talking about all of this makes me more aware that I need to give Steven more positive attention. I already know how to do that—at least I think I do—so I wouldn't need too much help to start making a change.

Coach: You know how to give Steven more positive attention, and you think you may need just a little bit of help.

Parent: Well, especially with the goal of getting him to be more respectful with adults, I need suggestions and ideas of how to help him. Actually, it wouldn't hurt to learn more about how to encourage my other kids either.

Coach: So, you think you might benefit from some information. Many parents have found reviewing the universal principles to be helpful as they relate to their goals. How does this sound to you?

If the parent agrees to the request to be instructed, the coach uses the elicit-provide-elicitechnique to recommend and model skills identified within one universal principle at a time. The following script provides an example of the elicit-provide-elicitechnique, focusing on only two of the universal principles reinforcing the expectations, and minimizing attention to inappropriate behavior.

Coach (Elicit): Let's look at reinforcing the expectations and minimizing attention for inappropriate behavior: What's the advantage of paying more attention to students' appropriate behavior than to their inappropriate behavior?

Parent: I think kids feel better about themselves when they get attention for their good behavior, but that doesn't take care of the bad behavior.

Coach: You see the advantage of paying attention to students' good behavior, and you're worried that this is not enough to stop the bad behavior. With your permission I'd like to share how the First Step program balances attention to good and bad behavior for students. Is that OK with you?

Coach (Provide) What kind of information (education) is provided at this point will vary based on the needs of the parent (as identified during the coach’s case conceptualization) we provide a visual aid (*It’s a Balancing Act!*) to help distinguish two important concepts related to these particular principles:

1. Attention (of any kind) to behavior increases the likelihood of that behavior occurring again.
 - a. For example, parents who attend to inappropriate behavior by nagging, punishing, or calling out are inadvertently maintaining the inappropriate behavior.
2. The term “balance” means attending more to positive behavior than to negative behavior.

Coach (Elicit) We know that a parent’s attention to their students’ behavior (good or bad) increases that behavior [provide example to parent], so the more attention for good behavior, the more good behavior we’ll get. How can we apply this to your goal for Steven?

Next, coach and parent role-play the new skills while the coach provides performance feedback.

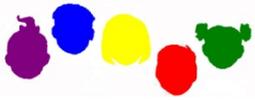
Identify potential barriers. After the skills have been modeled and role-played, the parent and coach work together to identify potential barriers (e.g., when angry, tired, or under stress) and prepare solutions. To continue the above script, for example, the coach and parent might work to categorize common parent behaviors as supportive of appropriate behavior, or inadvertently supportive of inappropriate behavior.

A backup plan should be discussed for when things do not go according to the plan. Potential barriers can often be addressed through the application of one or more of the remaining universal principles. This allows the coach to present the universal principles as a progression of skills that work best when used together.

The identification of potential barriers may lead to the discovery of barriers to change that could be best addressed by a referral to community mental health or other programs, for example, mental health issues, addiction, depression, cognitive deficits, PTSD, current or past victimization, an unsafe environment, etc. In these events, a skilled coach recognizes that the target for behavior change may include eliciting commitment to seek outside help to improve parent or student wellbeing.

Alternative Educational Option

Some parents may express the need or desire to spend more time covering parenting basics (particularly those related to school success). For these parents, the coach may offer the First Step to Success homeBase curriculum. The homeBase component of First Step consists of a series of six lessons designed to enable parents and caregivers to build student competencies and skills in six areas that affect school adjustment and performance. The target skills that parents are asked to teach their students are as follows: (1) Sharing School, (2) Cooperation, (3) Limit-Setting, (4) Problem-Solving, (5) Friendship-Making, and (6) Developing Confidence. HomeBase contains lessons, instructional guidelines, and parent-student games and activities for teaching these skills directly. The content for this curriculum is based on over 25 years of research and clinical works at the Oregon Social Learning Center (OSLC).

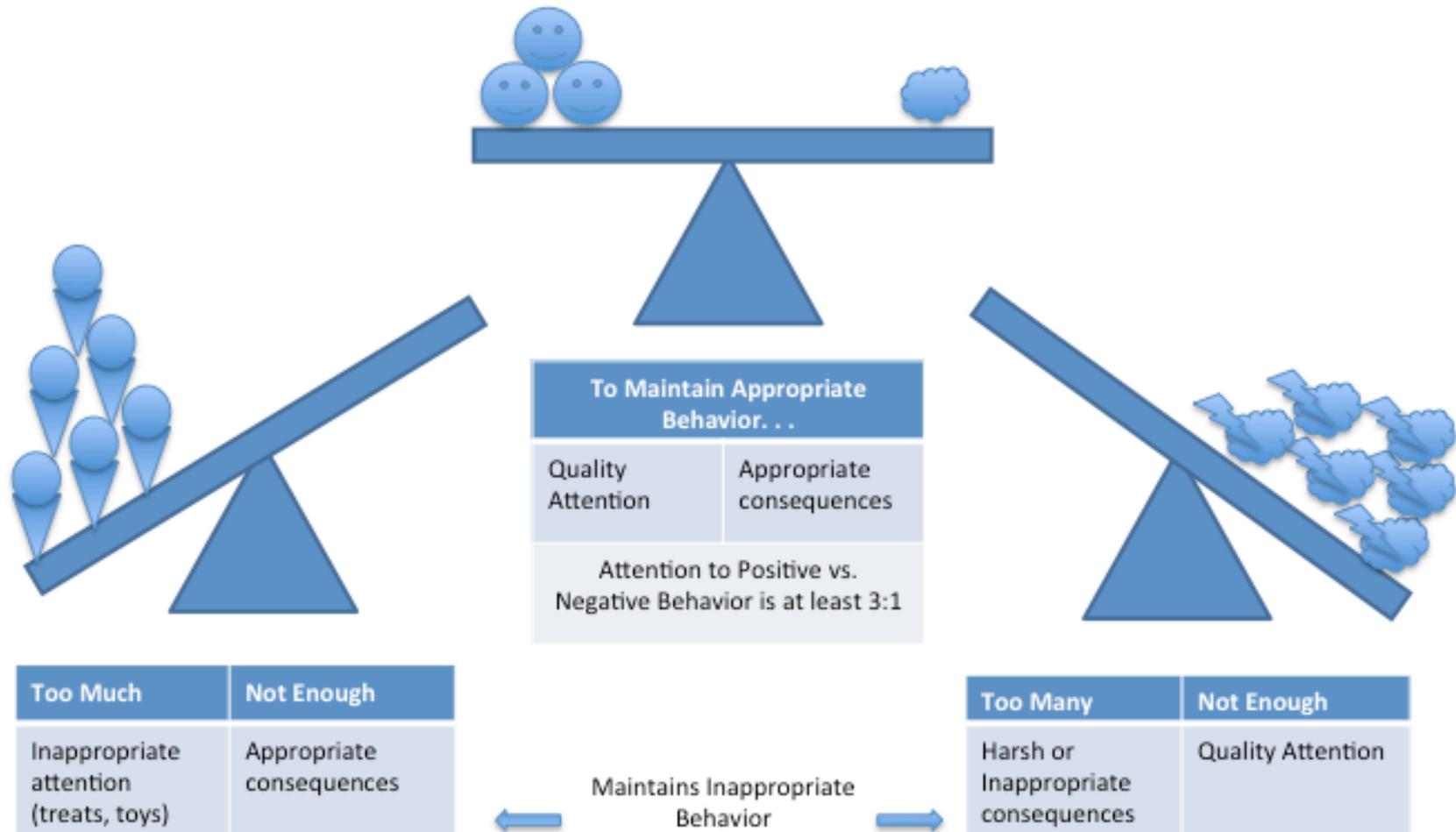


First
Step to
Success

Parent Change Plan Worksheet

Establish Clear Expectations	
Directly teach the Expectations	
Reinforce Displays of the Expectations	
Minimize Attention for Inappropriate Behavior	
Establish Clear Consequences	

It's a Balancing Act!



Step 5. Provide Closure

Purpose

Whether a parent selects closure, whether it's due to high confidence in their ability to change on their own or due to low motivation, steps should be taken to insure that the relationship ends on a positive note and that the parent leaves with tools they may choose to use in the future.

Context

This step is completed in a relatively short time, either after the Parent Debriefing Interview or Extended Consultation, Education, and Support have been completed.

Application

The coach should express gratitude for the parent's engagement in the process. Even if the relationship has been challenging, the parent only stands to benefit from receiving affirmations at the time of closure. These need not be lengthy, but they should be heartfelt. Additionally, the coach can offer to leave the parent a copy of the Parenting Tip Sheets and a list of community resources. These are meant to facilitate a clean closure process and leave the parent feeling supported. The parenting tip sheets represent areas parents commonly struggle with, including strategies to foster: (a) communication, (2) problem solving, (3) appropriate behavior, and (4) cooperation and compliance. A community resource list should include contact information for: (1) community mental health agencies; (2) extra-curricular activity opportunities—especially those which offer scholarships—parenting websites and parenting books, which may be selected based on a family's particular issues; (3) information about parenting classes offered in the community; (4) agencies offering respite services (if available in community); and (5) crisis and information numbers.

If the parent has cut off contact, the coach might consider providing these tools along with a variation of the Closure Letter either by mail or in an envelope sent home with the student.

Parent Closure Letter

[insert letterhead]

Dear [name of parent]:

Thank you for your participation in our First Step to Success program. Through your involvement with the green card activities and our home visits you have demonstrated a commitment to being the best parent you can be for [student's name]. As you continue on your journey as a “student of parenting,” you may find some of the enclosed resources helpful. In addition, you may find support and valuable information derived from:

1. **The collective wisdom of other parents.** Not only can other parents commiserate and empathize with you when you are struggling, but they often have valuable suggestions to share.
2. **Books and websites on parenting.**
3. **Community lectures/workshops on parenting topics.**
4. **Regular contact with your child's teachers.**
5. **Input from your child.** Keep an open mind as you listen to and carefully consider your child's opinions. You may be surprised at what they have to contribute!
6. **Your values.** Use them as your guide in every parenting decision you make, insuring that your parenting behaviors are consistent with your values.
7. **The “basics.”** When things become chaotic and overwhelming, we often forget to consider the simple solutions. Remember to ask yourself if your student has all the basics—that is, at least nine hours of uninterrupted sleep at night, a well-balanced diet, consistent medication regimen (if applicable), a daily routine, a home environment which feels calm and safe, and plenty of TLC and positive attention.

[Create and add a sentence about the student and parent strengths].

Thank you for allowing me the opportunity to work with your family.

Sincerely,

First Step Coach

Parent Tip Sheet

Strategies to Foster Communication

Spend Time with Your Child

Simply spending time with your child is very important. Ideally, there should be a balance between the activities led by the parents and those led by the child. When parents play games with their child, they're teaching the child how to follow rules and comply with requests. Child-led activities are important because they put the children in control, for examples, coloring and playing make believe with dolls or puppets. Both types of activities will improve the overall quality of your relationship.

Set a Time to talk every day

Set a time to go over your child's day together. Ask what went well and what didn't. Other possible questions are:

- "What did you do during recess?"
- "Who did you sit next to at lunch?"
- "What did you do that you were proud of?"

These questions tell your children you care about them and are concerned about what happens in their lives. It's also a good way to detect problems in your child's life that your child may not volunteer. Once the child starts school, having a scheduled time to talk is extremely important.

Reading

The most important thing you can do for your child prior to entering school is reading to him or her. Once they are able to read, you can read to them and have them read to you. Reading helps prevent school problems later on. The "Reading Rockets" website (readingrockets.org) has good tip sheets with ideas on how to support your child's reading development.

Keep Track of Your Child

Know what your child is doing. Keeping track of your child's friendships and activities is one of the most important things you can do to help your children grow up healthy, well adjusted, and safe. This is important for unstructured activities, like playing in the neighborhood, and competitive activities, like soccer leagues.

As you watch over your child, be sure it's in a positive, caring manner. This is especially true as your child grows older. Young children won't mind holding hands when they cross the street, but older children want to feel independent. They want to try things on their own. For older children, checking in by phone or following them from a distance to assure their safety might be a better choice.

It's easy to assume your child does not need you when they are not having problems. Think of keeping track as an opportunity to *be positive*. Parents who don't keep track of their child's behavior often find that the majority of their interactions with their child are negative. This stresses the relationship. It teaches the child that the best way to get your attention is to do the things that annoy you the most.

Parent Tip Sheet

Strategies to Foster Problem Solving

Problem Solving at Home

As they grow, children experience many minor crises that seem very large in their eyes, but may not seem large to an adult. When a child brings a problem to a mom or dad, it is very important the parents respond quickly and with their full attention. Children need to feel the assurance that even the smallest problems will receive a fair hearing and that you will help them when they need it.

You can help your child learn to solve problems by supporting them as they consider different solutions. Remember, teaching your child problem-solving skills means helping your child find a solution—not finding one for them. Here is a list of the steps to take.

State the problem: Sometimes restating the issue helps a child to see the challenge more clearly. For example, “You want to play with the Legos like your sister,” or “When you go out to recess, Johnny doesn’t want to play with you.”

Consider the choices: Support your child as they explore possible solutions. Try not to evaluate their choices (for now). The idea is to think up possible solutions.

Consider the consequences: Help your child think about the good things and bad things that might come from each choice. Use questions that begin with “What would happen if…” For example, “What would happen if you asked your sister to play Legos with you?” or “What would happen if you asked a different friend to play during recess?”

Make a choice. Support your children’s choices and help them prepare to act on their choice. This is especially important for social skills. For example, when dealing with the situation with Johnny on the playground, have your child say what he feels or practice asking Johnny or another child to play.

Problem Solving at School

How *you* deal with school personnel is very important. Children learn good attitudes towards school by watching their parents interact with teachers. When you model positive attitudes about education when your children are young, they carry it with them throughout their lives! We encourage you to defend your child when you think the school or school personnel have wronged them. But remember: your child will learn from these conversations. Keeping these kinds of conversations positive will benefit your child’s attitudes about school and education.

Parent Tip Sheet

Strategies to Foster Appropriate Behavior

Paying Attention to Positive Behavior

When your child does something you would like her to do more often, that's the time to encourage and support her. If your child shares her food or her patience, if she says something nice about someone else, or tries hard, or does what you ask her to, then respond enthusiastically. Let her know you noticed. Tell her how much you appreciate her effort. For example, if you ask your child to feed the dog, and she does, you could say, "Wow, I really appreciate how you fed the dog the first time I asked" and give her a hug. Make it a habit to notice the good things. Just a "thumbs up" or a wink goes a long way. If your daughter hears you tell others how proud you are of her, she's probably going to repeat that behavior.

Being positive is important for several reasons. First, it creates a caring relationship, which is necessary for any discipline strategy to work. Reacting enthusiastically to positive behavior increases the behavior you are noticing. Paying more attention to appropriate behavior and praising your child's efforts will steer your child towards success in life and school.

Ignoring Annoying Behavior

It may go against your grain to ignore your child's annoying behaviors, but if they don't place anyone's safety at risk it can be a really good strategy. Try not to pay attention to things like complaining, whining, and tattling, but that's the best thing you can do to stop those behaviors. For example, your 7-year-old does not want to eat his fruit for dinner. Rather than argue, threaten, or explain how important fruit is to a healthy diet, just say, "No one can make you eat."

Paying too much attention to the small stuff puts a lot of stress on the relationship between you and your child. If you scold him every time he does something annoying, you may scold him more often than you praise him. That's not the message you want to send him. As a general rule, you should try to praise him four times for each time you scold. You have probably noticed that giving attention to the small stuff usually doesn't help; it may actually increase the annoying behavior because the child may learn that it's the most effective way to get your attention.

Applying Logical Consequences

When children do things that you can't ignore, make sure that the punishment is fair, consistent, and predictable, and that you give out the punishment only when necessary. When your child thinks the consequences are unfair, all he can see is the unfairness of it, and he doesn't get the lesson you are trying to teach. Think out in advance the consequences for misbehavior. They should be related to the behavior you want to change and told to the child in a matter of fact way, that is, free of emotion. For example, if your child does not pick up his toys, then a logical consequence would be that he can't play with the toys. Taking away his dessert wouldn't make sense as a consequence in this case. Taking away his dessert or getting angry will probably just put stress on your relationship.

Parent Tip Sheet

Strategies to Foster Cooperation/Compliance

As parents, we expect our children to cooperate with our requests. When our children don't cooperate, we get frustrated. We may show our frustration by saying, "How many times do I have to ask you to clean up your room?" This approach usually doesn't work. Following the strategies below tends to improve cooperation.

Make sure you have your child's attention

Teachers sometimes use a bell or a musical instrument as a signal for students to quiet down and listen. On a playground, teachers might use a clapping rhythm or a whistle. This works for teachers in charge of large groups of children. But for parents a simpler strategy is just as effective. First, move close to your child so she can hear your request. It also gives your child a sense that your request is important. Next, make eye contact, then say the child's name, and use a gentle touch on the shoulder or under the chin. By making eye contact, you can see if she understands your request. If she hasn't understood, then calmly repeat or explain the request.

Give short and clear directions

Short and clear directions work best. Tell your child what to do instead of what not to do. For example: "Don't ignore me!" Make requests instead of asking questions. For example, "Please pick up your toys, and put them on the shelf," not "How many times do I have to tell you to pick up your toys!"

Provide more positive praise than reprimands

Try to give your child at least four positive signs—like words of praise, a smile, or a pat on back—for every negative one, like scolding or criticism. When parents pay more attention to their children's positive behavior than their negative behavior, children are more likely to repeat the positive behavior.

Program Integrity Tools

Program Integrity Tools

An important factor in the success of the Tertiary homeBase intervention is to have the supervision and guidance necessary to maintain appropriate levels of program integrity. Although the procedures in this section could be completed independently via reflection and self-evaluation, we recommend doing it in consultation with other behavioral and/or supervisory personnel. Here we describe three important processes related to program integrity: (1) case conceptualization, (2) procedural fidelity, and (3) motivational interviewing proficiency. These processes—and the tools provided to facilitate them—are intended to be used as guides, not prescriptions. Additionally, this section contains a list of videos that are available, upon request, to support training and supervision of implementers.

Case Conceptualization

Beginning with the initial contact between coach and parent, case conceptualization is an ongoing process of assimilating key information from interviews, activities, and observations, at home and in the classroom. The Case Conceptualization Form assists coaches to compile information obtained from a wide variety of sources (e.g., school, teacher, classroom observational data, green card game progress, the parent values discovery activity, and video recorded parent-student interaction) into a profile for easy reference.

The conceptualization process, used with the primer on evoking change talk, allows the coach to individualize the approach with each parent. The form is intended to be fluid, changing over the course of the intervention period. The structure of the form provides guidance to the coach in specifying the target behavior(s) that should serve as the focus of the conversations, and possibly the change plan. The form also allows the coach to evaluate the importance the parents place on adherence to the universal principles and their confidence in their ability to carry them out. This is particularly useful when preparing for the Debriefing Interview. Finally, the form provides a format for informing colleagues about the most essential aspects of the case so that team problem solving meetings can be effective. The process of case conceptualization is much richer when coaches use their own notes and reflections and also consult with other professionals.

Procedural Fidelity

The Tertiary First Step Coach Checklist allows the coach to record processes of intervention that have been completed for the Tertiary homeBase component and to document tertiary-level modifications made to the CLASS component. The checklist permits the coach to document the number of visits needed to complete each step, the optional tools used during implementation, and the date the step was completed. Attending to the procedural fidelity of Tertiary First Step is beneficial for the coach. It can also be an informative tool for colleagues who are unfamiliar with the case, as it provides in a snapshot all procedural steps that have been completed. The coach checklist can also be a valuable asset for the formative evaluation and summative reflection of the program's overall effectiveness.

Motivational Interviewing Proficiency

The Individualized Feedback and Motivational Interviewing Rating Form allows coaches to receive feedback on their use of motivational interviewing. Periodic evaluation of motivational interviewing skills protects against proficiency drift and is an important aspect of ongoing professional development. The rating form is a modified version of the Motivational Interviewing Treatment Integrity (MITI) code (Moyers, Martin, Manuel, & Miller, 2007). The MITI is designed to give performance feedback to clinicians and to measure motivational interviewing proficiency in the context of applied research. The MITI attends to the directive use of motivational interviewing, which is defined as “the degree to which coaches maintain appropriate focus on a specific target behavior or concerns directly tied to it” (p. 2). Descriptions, examples, and scoring rubrics are used to more rigorously define the exact nature of directive use. Our version of the MITI was designed for use

with school personnel. The modified MITI allows for independent global coding of four interrelated elements that make up the MI spirit: partnership, compassion, acceptance, and evocation. Global dimension response options are provided on the form. Additionally, coach utterances are coded as one of the following: (a) closed-ended question, (b) open-ended question, (c) simple reflection, (d) complex reflection, (e) motivational interviewing adherent, (f) motivational interviewing non-adherent, and (g) information. There is a place on the form to summarize coach utterances, as well as beginning and competency thresholds for five summary scores: Global Spirit Rating, Percent Complex Reflections, Percent Open Questions, and Reflection-to-Question Ratio. While these thresholds currently lack normative or other validity data to support them, we have applied them within the context of the Tertiary homeBase and First Step CCU and found them to be reasonable. The MITI demonstrates minimally adequate psychometric properties, with Moyers et al. (2005) reporting interclass correlations (ICC) to estimate the inter-rater reliability of the global ratings at .51 for empathy/understanding and at .58 for the general spirit of MI. The ICCs for coach utterances ranged from .57 to .96. In our application, the ICC for the Global Spirit Rating was .47. The ICCs for Closed- and Open-ended Questions were .91 and .90, respectively. Simple, Complex, and Total Reflections yielded ICCs of .51, .27, and .73. (See Frey et al., in press.)

The rating form is a tool to monitor program integrity and can be used flexibly. With parent permission, we suggest that audio recordings of coach-parent interactions be rated independently by others who are proficient in motivational interviewing, and used as a feedback mechanism individually, or (if appropriate) in group settings. If independent evaluators are not available, the tool may be useful for coaches to self-assess their skills. If unfamiliar with this tool, readers are referred to the MITI code Version 3 manual for specific directions (retrieve from: casaa.unm.edu/download/miti3.pdf).

Videos to Support Implementation

The following video examples are available upon request.

Title	Description	Length
Parent Values Discovery Activity	Coach and Parent	6:02 (Truncated)
Parent Universal Principles Interview	Coach and Parent	1:08:07 (2 examples)
Parent Observation of the Universal Principles	Coach and Parent	30:14
Parent Debriefing Interview	Coach and Parent	20:35
Classroom Check-up Interview	Includes values discovery, universal principles interview, debriefing, and brief planning.	39:41

Case Conceptualization Form

Student & Family Name: _____

School: _____

Teacher: _____

Date: _____

Values:

Strengths

Notes:

Universal Principles

Observations

Student & Family Name: _____

Possible Change Plan Focus:

Assessment of Importance:

1 2 3 4 5 6 7 8 9 10

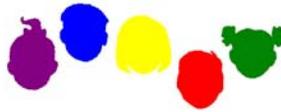
Assessment of Confidence:

1 2 3 4 5 6 7 8 9 10

Barriers:

Resources:

School Related Information:



Coach's Name: _____ Teacher's Name: _____ Child's Name: _____

TERTIARY HOMEBASE

For each step below indicate (a) the number of visits required to complete the step, (b) whether the step was completed, and (c) the tools used.

Visits	Engage in Values Discovery	<u>Completed</u>
<input style="width: 30px; height: 30px;" type="text"/>	Complete Ecological Assessment and Values Discovery	Yes <input type="radio"/> No <input type="radio"/>
Date: ____ / ____ / ____	Tools used: <input type="radio"/> Values Discovery cards	

Visits	Assess Current Practices	<u>Completed</u>
<input style="width: 30px; height: 30px;" type="text"/>	Complete Universal Principles Interview	Yes <input type="radio"/> No <input type="radio"/>
	Complete Observation of the Universal Principles	<input type="radio"/> <input type="radio"/>
Date: ____ / ____ / ____	Tools used: <input type="radio"/> Universal Principles Parent Overview <input type="radio"/> Self-Assessment <input type="radio"/> Video	

Visits	Share Performance Feedback	<u>Completed</u>
<input style="width: 30px; height: 30px;" type="text"/>	Tools used: <input type="radio"/> Universal Principles Parent Overview	Yes <input type="radio"/> No <input type="radio"/>
	<input type="radio"/> Self-Assessment	
	<input type="radio"/> Parent Tip Sheets	
	<input type="radio"/> Review of Parent Observation Video	
Date: ____ / ____ / ____	<input type="radio"/> CLASS progress monitoring chart	

Visits	Offer Extended Consultation, Education & Support	<u>Completed</u>
<input style="width: 30px; height: 30px;" type="text"/>	Negotiate structure and content of change plan	Yes <input type="radio"/> No <input type="radio"/>
	Re-assess current practices	<input type="radio"/> <input type="radio"/>
	Provide additional performance feedback	<input type="radio"/> <input type="radio"/>
Date: ____ / ____ / ____	Individualized homeBase curriculum <input type="radio"/> <input type="radio"/>	

Visits	Provide Closure	<u>Completed</u>
<input style="width: 30px; height: 30px;" type="text"/>		Yes <input type="radio"/> No <input type="radio"/>
Date: ____ / ____ / ____		

Did you provide the family with any of the following? (Mark all that apply)

Community referral/resources? Recommendations for respite care?

Recommendations for recreational activities? Other: _____

TERTIARY CLASS MODIFICATIONS

Please indicate (a) which, if any, of the following tertiary-level modifications were made to the CLASS component and (b) the extent to which you agree that the modification increased the effectiveness of CLASS.

	Yes	No	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree
1. A Functional Behavioral Analysis (FBA)	<input type="radio"/>						
2. Modified reinforcement schedule	<input type="radio"/>						
3. Extended coach support	<input type="radio"/>						
4. CLASS duration:							
Hours	<input type="radio"/>						
Days (beyond 30)	<input type="radio"/>						



Individualized Feedback and MI Proficiency Rating Form*

ID:

Rater ID:

Today's Date: / / 20

Month Day Year

Feedback Session (choose one): 1st 2nd 3rd

Target behavior: _____

Duration of audio recording: Min

Duration of fidelity session: Min

Reliability: Yes

INSTRUCTIONS: The four statements below pertain to global aspects of the Motivational Interviewing techniques used by the consultant during his/her interaction with the consultee. For each, indicate the extent to which you agree with the statement as it relates to the consultant's interaction with the consultee.

		Strongly Disagree (SD)	Disagree (D)	No Opinion (N)	Agree (A)	Strongly Agree (SA)
PARTNERSHIP	Fostered and encouraged power sharing during the interaction in such a way that consultee's ideas substantially influence the nature of the session.	1	2	3	4	5
COMPASSION	Actively promoted consultee's welfare/best interest; gave priority to his or her needs, values, goals, and ideals.	1	2	3	4	5
ACCEPTANCE	Demonstrated acceptance of consultee's point of view through affirmations, and accurate empathy. Promoted the consultee's autonomy and absolute worth.	1	2	3	4	5
EVOCATION	Proactively evoked consultee's own reasons for change and ideas about how change should happen (e.g., uses consultee's values to encourage envisioning alternatives to current behaviors and situations).	1	2	3	4	5

MITI-REVISED GLOBAL DIMENSION RESPONSE OPTIONS

PARTNERSHIP -----

- SD.** Actively assumes the expert role for the majority of the interaction with the consultee. Collaboration is absent.
- D.** Responds to opportunities to collaborate superficially.
- N.** Incorporates consultee's goals, ideas and values but does so in a lukewarm or erratic fashion. May not perceive or may ignore opportunities to deepen consultee's contribution to the interview.
- A.** Fosters collaboration and power sharing so that consultee's ideas impact the session in ways that they otherwise would not.
- SA.** Actively fosters and encourages power sharing in the interaction in such a way that consultee's ideas substantially influence the nature of the session.

COMPASSION -----

- SD.** Actively detracts from or denies consultee's best interest, and does not promote the consultee's values, goals, and ideals as a priority.
- D.** Passively detracts from or denies consultee's best interest, and does not promote the consultee's values, goals, and ideals as a priority.
- N.** Passively encourages consultee's best interest, but does not promote the client's values, goals and ideals as a priority.
- A.** Encourages consultee's best interest, and invokes the consultee's values, goals and ideals as a priority.
- SA.** Actively encourages consultee's best interest, and consistently expands upon and promotes the consultee's values, goals, and ideals as a priority.

ACCEPTANCE -----

- SD.** No apparent interest in consultee's perspective - gives little or no attention to the consultee's point of view.
- D.** Sporadic efforts to explore the consultee's perspective. Clinician's understanding may be inaccurate or may detract from the consultee's true meaning.
- N.** Actively trying to understand the consultee's perspective.
- A.** Evidence of accurate understanding of consultee's perspective; Active and repeated efforts to understand client's point of view; Understanding is limited to explicit content.
- SA.** Evidence of deep understanding of consultee's point of view, not just for what has been explicitly stated but what the client means but has not yet said.

EVOCATION -----

- SD.** Actively provides reasons for change or education about change, in the absence of exploring consultee's knowledge, effort or motivation.
- D.** Relies on education and information giving at the expense of exploring consultee's personal motivation and ideas.
- N.** Shows no particular interest in, or awareness of, consultee's own reasons for change and how change should occur; May provide information or education without tailoring to consultee's circumstances.
- A.** Accepting of consultee's own reasons for change and ideas about how change should happen when they are offered in interaction; Does not attempt to educate or direct if consultee resists.
- SA.** Works proactively to evoke consultee's own reasons for change and ideas about how change should happen.

MITI (HASH TOTALS)	
MITI ITEMS	MITI HASH
Closed ended questions (CEQ)	
Open ended questions (OEQ; Beginning counseling = 1 OEQ for every CEQ; Advanced = 2 OEQ for every CEQ)	
Simple reflections (repeat or paraphrase)	
Complex reflections (extend meaning; Beginners less than 40% are complex; Advanced >= 50%)	
MI adherent (e.g., affirmations, asking permission; emphasize self determination/control; support)	
MI non-adherent (e.g., interpreting, analyzing, questioning, judging, giving advice, threatening)	
Information	
TOTAL DARNROC HASH TOTALS	

INSTRUCTIONS: Please indicate whether the consultant used any of the "roadblocks" listed below during his/her interaction with the consultee.

- Ordering, directing, and commanding
- Warning or threatening
- Giving advice, making suggestions, providing solutions
- Persuading with logic, arguing, lecturing
- Judging, criticizing, disagreeing, blaming
- Agreeing, approving, praising
- Shaming, ridiculing, name calling
- Interpreting, analyzing
- Questioning, probing
- Reassuring, sympathizing, consoling
- Withdrawing, distracting, humoring, changing subject
- Moralizing, preaching, telling consultee her/his duty

Sum tallies from above and enter below:

MITI (HASH TOTALS)	
MITI ITEMS	MITI HASH
Closed ended questions (CEQ)	<input type="text"/> <input type="text"/>
Open ended questions (OEQ; Beginning counseling = 1 OEQ for every CEQ; Advanced = 2 OEQ for every CEQ)	<input type="text"/> <input type="text"/>
Simple reflections (repeat or paraphrase)*	<input type="text"/> <input type="text"/>
Complex reflections (extend meaning; Beginners less than 40% are complex; Advanced >= 50%)	<input type="text"/> <input type="text"/>
Information	<input type="text"/> <input type="text"/>
TOTAL DARNROC HASH TOTALS	<input type="text"/> <input type="text"/> <input type="text"/>

RECOMMENDED PROFICIENCY THRESHOLDS

Scale	Scoring	Beginning Threshold	Competency Threshold
Global Spirit Ratings	Partnership + Compassion + Acceptance & Evocation / 4	Average of 3.5	Average of 4
Reflection-to-Question Ratio	Total Reflections / Open Questions + Closed Questions	1	2
Percent Open Questions	Open Questions / Open Questions + Closed Questions	50%	70%
Percent Complex Reflections	Complex Reflections / Total Reflections	40%	50%

*Adapted from Moyers, T., Martin, T., Manuel, J. Miller, W., & Ernst, D. (2007) The Motivational Interviewing Treatment Integrity (MITI) Code Manual: Version 3.0.

Troubleshooting

Tertiary homeBase Troubleshooting

Coaches with experience in implementing the Tertiary homeBase procedures compiled these troubleshooting suggestions. In our experience, we have found that problems often relate to low motivation or intervention fit.

Low Motivation

Teacher is unable to obtain parent's agreement to participate in the intervention. Schools often have other professionals whose role it is to liaison with parents. It may be most appropriate for one of these professionals to be the first to contact the parent and share information about the program. In cases where the parent is never reached, the coach and teacher may decide to proceed with the CLASS school component of the First Step intervention, which has been shown to be effective even without parental involvement. There are troubleshooting suggestions for implementing CLASS when parent participation is non-existent or unproductive in the Tertiary CLASS section of this manual, as well as the original First Step manual.

Parent avoids contact. We recommend asking the parent on the first visit for their preferred methods of communication, which may include phone calls (home, work, and/or cell), e-mail, text, mail, and/or notes sent home with the student. Generally speaking, the coaches shouldn't stop trying to engage the parent until they have made two unsuccessful attempts at each of the parent's top three preferred modes of communication.

It is not unusual for parents to sporadically avoid contact while occasionally responding to the coach's attempts at contact. The occasional contacts provide the coach with opportunities to both affirm the parent's current efforts and to ask open-ended questions about the coach-parent relationship (See Assessing Working Alliance Primer), followed with appropriate responses to resistance or change talk. For example:

- Thanks so much for taking the time to return my call. That says a lot about how important your child's well being is to you.
- I'd like to check in with you about how you're feeling about our work together. What is working or perhaps not working for you?

Parent reports they do not have time. When parents say they see the value of the universal principles, but don't have time to engage in this process, it should be treated as resistance. A simple reflection alone may get the parent to elaborate on this belief, or perhaps retreat from it. If not, coaches should introduce more relationally risky reflections such as:

- You are concerned about your daughter's education and future, and you do not have time to engage in this process to examine your parenting practices. (double-sided reflection)
- There are no foreseeable benefits to us meeting over the next few weeks. (complex reflection: exaggeration or amplification)
- Working on parenting skills is a waste of time given your goal of helping your son get off to a good start in school. (complex reflection: exaggeration or amplification)

Parents do not see the connection between parenting and student behavior at home or at school. Although it is assumed that even the best parents can make changes in their behavior to live more fully with their values and help their children realize the hopes and dreams they have for them, this connection is not always clear to parents. In fact, some parents may simply say that the student or the school is to blame for the student's behavior. Confronting parents about their role in student behavior is risky, particularly early in the intervention process, and is inconsistent with a motivational interviewing approach. Using the procedures in the parent values discovery activity, coaches should take an indirect but intentional approach to help parents make

this connection, that is, by asking about the child's challenging behaviors and then inviting the parent to identify this connection.

When parents appear resistant to talking about parenting, it is helpful to focus on "other" parents who share the same values: "How do you think other parents describe the connection between parenting practices and student behavior?" During these discussions, it is not beneficial to linger on the parent's ruminations about student behavior. Too much focus on student behavior should be treated as resistance. Coaches should respond with simple reflections rather than open-ended questions, thereby reducing the resistance without encouraging elaboration on their student's problem behavior. When overt signs of discomfort or stress on the coach-parent relationship come up, ask what they are thinking about the relationship - directly. These occasions provide excellent opportunities to reinforce the parent's autonomy. Coaches can't make parents want to change. If you have given them every opportunity to see things differently, you should feel good about your efforts no matter what they ultimately decide.

Considering "others"

- I wonder how other parents who value responsibility like you do feel about their ability to influence their student's behavior at home and school?
- What do other parents who value responsibility do in these situations?

Simple reflections

- Your student is aggressive both at home and at school.
- The teacher doesn't handle things the way you would prefer.

Assessing the relationship

- Discussing this topic makes you uncomfortable.
- Tell me how you are feeling about our discussion at this point, or tell me how you feel about this discussion.

Parents support your involvement with the student in school, but not in the home setting.

Resistance is clearly present when parents are not open to any focus on parenting practices. As in the previous section, the coach may start with a simple reflection. If this does not help reduce the resistance, more complex responses may be help. For example,

- On the one hand, you really want your student to succeed in school. On the other hand, you don't see how our work together could help that happen. (double-sided reflection)
- What you do as a parent has little effect on whether or not your student has a successful school experience. (exaggeration or amplification)
- Ultimately, the decision about whether or not you participate in all aspects of the program is yours to make. (emphasize autonomy and control)

The problem reported by the parent continues to shift, despite your attempt to frame it within the context of student and family development. This is to be expected. Many parents/teachers are frustrated and need to vent. They may not have had opportunities to express their frustration and concern, and they may have a lot of both. This can be productive insofar as it helps establish the working alliance. The highest priority should be to validate their commitment to the student, affirm their autonomy, acknowledge their frustration via simple reflections, ask open ended questions and (as long as it does not introduce relational risk) introduce complex reflections that: (1) normalize the student's behavior if it is developmentally appropriate and (2) reframe the problem within the context of family development.

After being presented with feedback, the parent seems overwhelmed. Parents who are willing to take the self-assessment process seriously may end up recognizing a number of areas in which they are struggling. This may result in the parent feeling discouraged or overwhelmed. The coach may choose to use a combination of complex reflections, affirmation, and confidence-building techniques in response.

- You are feeling overwhelmed and discouraged at this point because you see a number of parenting issues you'd like to change. You're wondering where we go from here and how to break this down into more manageable pieces.
- You are taking this process very seriously. That shows how committed you are to being a good parent and helping your child succeed in school.
- Tell me about a time when you felt successful as a parent. (Encourage parent to elaborate on the successful experience.)

During Extended Consultation, Education, and Support, the parent reports, "The plan did not work." This is a frequent occurrence. Reassure the parent that adjustments to the plan can be made so the student and parent can be successful. Resistance is best addressed through simple reflections and open-ended questions.

- Talk me through the plan and tell me what did and did not work. Use complex reflections to respond to the parent.
- We found one way that didn't work well. What should we try next?
- How can we tune up this plan to make it work?

For added support, the coach could check-in mid-week with the parent to see if the plan is successful. If it's not working, issues could be addressed at that time.

Intervention Fit

Sometimes, the Tertiary homeBase procedures do not fit the family's needs.

Other intensive services for student and/or family are already in place. Before beginning the home component of the Tertiary First Step program, the coach should gather information (from the family and the teacher) about other services the family is receiving in areas such as mental health, parenting education, child welfare, family functioning, school behavior, and social skills. It's important to consider the pros and cons of adding this intervention to those already in place. Issues to consider include whether additional home visits will be helpful or detract from the family's quality time, whether multiple consultative services will overwhelm the parents, whether existing services are complementary to First Step services, and if providers are open to collaboration.

Parent presents with possible psychopathology or substance abuse issues that impede their ability to effectively participate in the intervention. If you are not well versed in the diagnosis and treatment of the pathology suspected, we strongly suggest seeking confidential consultation with a professional in the appropriate discipline. Depending on recommendations from those with whom you have consulted, the following courses of action may be appropriate:

- Proceed with the standard homeBase curriculum, continuing to utilize consultation as the need arises.
- During the Values Discovery Activity, shift the focus to the need for adult support. Some possible outcomes are:
 - Parent acknowledges the need for support and gives the coach permission to share information about appropriate resources. The coach will need to decide (perhaps after consultation) whether

to ask parents to continue with CLASS responsibilities or to offer a school surrogate as an alternative.

- There are no indications of parent's insight into potential pathology. In this case, the coach should proceed with a neutral rather than a directional approach to MI.

Marital and/or custody concerns are prevalent during visits. Whether the coach is working with parents living in the same household or those living separately with shared custody, discord between the two parents has the potential to distract from the intended focus of home visits. If this is the case, the coach should consider the following:

- Referral to community resources (marital counseling, legal resources)
- Meeting with each parent individually
- Treating the parent's attempts to focus attention on the other parent as resistance. The following are possible coach responses to this type of resistance.
 - Focusing on parenting issues is really tough at this point; because of the stress you're experiencing in your relationship with _____ (spouse, ex-spouse, student's parent). Parents in similar situations sometimes find it helpful to take some time to focus on the adult relationship, knowing this may benefit the student in the long run. If you are interested, I would be glad to share some resources with you.
 - On the one hand, you have a strong desire to focus more on _____'s (child's) positive behaviors. On the other hand, you find yourself focusing more on _____'s (spouse, ex-spouse, student's parent) negative behaviors.

Parents often want you to tell them what to do ASAP. Resist this urge! While it is critical to affirm their commitment through a reflection, you should avoid non-adherent statements such as offering advice prior to the first Parent Debriefing Interview. At this point in the interview it is unlikely you know what the parent should do. You will know more shortly. Examples include:

- You are willing to do whatever I suggest so long as it might improve _____'s school performance. Your commitment to him is admirable! There are a few things that are very important to do before I offer an opinion, and I think I hear you asking to move through them quickly.

Parent does not seem ready for closure after multiple visits. Some parents have strong motivation to improve their parenting skills but little encouragement to do so. They appreciate not only the insight they gain but the support they feel from their sessions with the coach. Consequently, they may desire more Extended Consultation, Education and Support visits than the coach is able to provide. This issue may be addressed in a preventive way, with the coach being clear from the beginning about the maximum number of visits. (In our experience, no more than four). If the parent still has difficulty concluding their work with the coach, the coach may respond by helping the parent identify the reasons for their reluctance and then to develop a plan to address them. For example, if the parent is afraid of being without support, the coach may encourage the parent to consider alternative sources of support.

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