

TABLE OF CONTENTS

FOREWORD	xvii
ACKNOWLEDGEMENTS	xix
PREFACE	xxi
INTRODUCTION	2
Overview	2
Some Basic Assumptions	3
How This Program and Manual Are Organized	4
Individualized Treatment Protocols	6
Participant Workbook	7

SECTION I

HISTORICAL PERSPECTIVE AND THEORETICAL FOUNDATIONS	9
CHAPTER 1: Overview of Cognitive-Behavioral Therapy	11
Historical Roots of Cognitive-Behavioral Therapy	11
Cognitive-Behavioral Therapy (CBT): An Integration of Cognitive and Behavioral Principles and Approaches	12
Key Focuses of CBT	14
Recent Developments	15
CHAPTER 2: Substance Abuse and the Cognitive-Behavioral Approach	17
Overview	17
Some Key Characteristics of AOD Abusing Clients	17
1. Vulnerability Factors	17
2. Involvement in Addiction Cycles	17
3. Cravings and Urges: Feeling Good or Not Feeling Bad	18
4. Limited Coping Abilities and Social Skills	19
5. Automatic Thoughts	19
6. AOD Use Expectancies and Benefits	19
7. Behavioral Justification-Attribution Theory	20
8. Social Influences and Modeling	21
9. Relapse	21
10. Biological Contributions	21
11. AOD Clients are Variable and Different	22
Broad AOD Treatment Variable Domains	22
Treatment Matching	24
Review of AOD Treatment Outcome and Implications for Treatment of the Substance Abusing Offender	24
1. Background and Early Findings	24
2. Treated Clients Overall Do Better than Untreated Clients	25
3. Residential Versus Outpatient, Long-Term Versus Short-Term	25
4. What Works Best?	26
5. Project MATCH	26

6. Antisocial and Criminal Justice AOD Clients	27
7. Implications for Treatment of the Substance Abusing Offender.....	27
Key Focuses in the Cognitive-Behavioral Treatment of Addictive Thinking and Behavior	28
Key Cognitive Behavioral Methods Used with AOD Abusers	28
1. Treatment Preparation: The Therapeutic Relationship and Motivational Enhancement	28
2. Providing Information and Knowledge About Drugs and the Process of Cognitive-Behavioral Change: Changing AOD Related Beliefs.....	29
3. Feedback of AOD Use Patterns and Appraisals Revealed in Assessment	29
4. Coping and Social Skills Training	29
5. Problem Solving	30
6. Cognitive Aversive Reaction and Advantage-Disadvantage Analysis	30
7. Relaxation Training and Stress Management	31
8. Community Reinforcement and Contingency Management	31
9. Expectancy Challenge	31
10. Self-Efficacy Training	31
11. Challenging Automatic Thoughts	32
12. Changing Dysfunctional Underlying Assumptions	32
13. Imagery Techniques.....	32
14. Managing Drug Cravings.....	32
15. Relapse Prevention	33
16. Recording and Journaling	33
Harm Reduction as a Conceptual Framework for Understanding Outcome	34
Individualized Treatment	34

CHAPTER 3: Approaches to Correctional Intervention.....35

Treatment Efficacy: Does It Work?.....	35
Treatment Efficacy: What Works?.....	35
Risk Factors and Dynamic Predictors as a Basis for Determining Treatment Needs.....	36
1. Fixed or Static Risk Predictors.....	36
2. Specific Risk Factors That Correlate With Criminal Behavior	36
3. Dynamic Predictors	37
Targets for Change—Dynamic Predictors.....	38
Key Components of Cognitive-Behavioral Treatment of the Offender	38
1. Common Elements of Program Structure	39
2. Common Elements of Program Process	39
3. Common Characteristics of Offenders	40
4. Common Content Components That Structure CBT of the Offender	40
Integrating AOD and Correctional Treatment Through Cognitive-Behavioral Treatment	41

CHAPTER 4: Relationship Between Criminal Conduct and AOD Use and Abuse.....43

CHAPTER 5: Motivation to Change and the Change Process

Developing the Treatment Relationship and Motivation for Intervention	45
1. Therapeutic Stance	45
2. Therapeutic Alliance.....	45
3. Non-Confrontational Therapies	46
4. Enhancing Interest in Change	46

Stages of Change	47
Integration of Motivational Enhancement and the Change Process	48
CHAPTER 6: Integrating Models and Selecting Best Approaches for CBT of the Substance Abusing Offender	49
Overview	49
Foundational Approaches for Relapse and Recidivism Prevention	49
Overview of the Marlatt Relapse Prevention (RP) Model	49
Applying the Marlatt Model to the SAO and Recidivism Prevention	50
Application of the Ross Reasoning and Rehabilitation Cognitive Skills Model to the Substance Abusing Offender	55
Integration of Models and Model Alteration.....	56
Best Approaches for CBT Treatment of the Substance Abusing Offender.....	57
CHAPTER 7: Perspectives on Assessment	59
Assessment of AOD Use and Abuse	59
1. Inclusion Screening Approaches	59
a. Minimum Symptom Criteria	60
b. Standardized Psychometric Approaches	62
c. Other Inclusion Criteria.....	63
2. In-Depth Assessment—The Multidimensional Model	64
Assessment of Criminal Conduct	65
1. The Antisocial Personality Pattern.....	66
2. Different Assessment Approaches.....	66
a. Offender Types and Classifications	66
b. Risk Factor Assessment	66
c. Criminogenic Needs.....	68
d. Self-Reported Antisocial Behavior and Criminal Conduct	68
Assessment of Cognitive and Affective Processing	69
Assessment of Life-Situation Problems	70
Assessment of Motivation and Readiness for Treatment	71
Summary	71
CHAPTER 8: Understanding and Enhancing Cultural Competence: Capitalizing on the Strengths of Diversity	73
Introduction.....	73
Goals and Objectives of This Chapter.....	74
Understanding Cultural Competence.....	74
1. The Continuum of Cultural Competence	75
2. Essential Elements of a Culturally Competent Care System	75
3. Critical Considerations	76
4. Necessary Ingredients for Culturally Competent Programs.....	77
5. The Culture of Counseling Versus Traditional Cultures	77
6. Improving Ethnic Focus in Service Delivery	78
7. The Counselor's Personal Beliefs and Cultural Bias	79
8. Understanding the Client's Cultural Identity	80
9. Ethnic Differences Between Counselors and Clients	81

Treatment Considerations for Special Populations	81
1. African Americans	81
Demographic and Socioeconomic Factors	81
Substance Use Problems	82
The Criminal Justice System	82
Treatment Issues for African Americans	83
2. Hispanic Americans	83
Demographics and Terms	83
Substance Abuse Among Hispanics	84
Treatment Issues for Hispanic Americans	84
3. Native Americans	85
4. Substance Abuse Issues for Women	86
Demographics and Prevalence Rates	86
Gender Differences	86
Treatment Considerations	87
5. The Culture of Poverty	88
Summary	88

SECTION II

THE TREATMENT PLATFORM	91
-------------------------------------	----

CHAPTER 9: Conceptual Framework for Cognitive-Behavioral Treatment of the Substance Abusing Offender	93
---	----

Introduction	93
The Process of Growth and Change	94
The Phases of Treatment	98
1. Treatment Phase I: Challenge to Change—The Global and Undifferentiated Response	98
2. Treatment Phase II: Readiness and Commitment to Change—The Differentiation Response	99
3. Treatment Phase III: Ownership of Change—The Integration Response	101
The Cognitive-Behavioral Model for Change: Underlying Assumptions and the Process of Change in Cognitive-Behavioral Treatment for the SAO	102
The Integrated Model for Relapse and Recidivism	104
Integrating Therapeutic and Correctional Treatment	104

CHAPTER 10: Characteristics of the Effective Counselor and the Counseling Relationship	107
---	-----

Do Psychosocial Therapies and Treatment Work?	107
Common Factors of Change in Treatment	107
1. Counselor Personal Characteristics	107
2. The Counselor-Client Relationship	108
3. Other Common Factors: Cognitive-Behavioral Approaches	109
Elements of the Effective Correctional Counseling Relationship	109
1. Essential Elements of the Effective Correctional Counseling Relationship	109
2. Distinguishing Between Anticriminal Versus Procriminal Expressions	109
3. Reinforcing Positive Thoughts and Behaviors	110

4. Effective Punishment	110
Effects of Specific Therapies	111
Client Characteristics as a Determinant of Treatment Efficacy	111
Three Broad Variables Involved in Treatment Change	111
Variables that Define the Profile of the Effective SAO Counselor	111
1. The Personal Dimension	111
2. The Technical Dimension	114
3. Philosophical Perspectives.....	115
CHAPTER 11: Assessment of the Substance Abusing Offender	117
Initial Screening and Assessment.....	117
1. SSC/SAO Treatment Pre-Referral Steps	117
a. Step One Screening.....	117
b. Step Two Screening	118
c. Referral to Strategies for Self-Improvement and Change	119
2. Final Selection Screening for SSC	119
a. General Selection Guidelines	119
b. Specific Criteria and Priority Value	120
In-Depth Differential Assessment.....	122
1. Areas of Assessment.....	123
a. Alcohol and Other Drug Use and Abuse.....	123
b. Dynamic Risk Factors: Criminal and Antisocial Thinking and Conduct	124
c. Assessment of Thinking and Feeling Patterns.....	125
d. Background and Current Life Situation Problems and Adjustment	125
e. Motivation and Readiness for Treatment	126
2. Summary of Information Sources and the Master Profile	127
3. Developing the Master Assessment Plan (MAP)	127
CHAPTER 12: Program Operational Guidelines and Procedures.....	133
Overview	133
Program Structure	133
Program Outline	133
Individual Intake and Orientation Session	133
Outline of Program Guidelines and Ground Rules	135
1. Abstinence.....	135
2. Attendance	136
3. Promptness	136
4. Participation	136
5. Confidentiality.....	136
6. Eating and Smoking in Group.....	136
7. Craving and Slips	136
Principles of Effective Group Management and Leadership	136
1. Treatment of the Group.....	137
2. Depersonalizing the Leadership Authority	137
3. Center the Authority Within the Group	137

4. Center the Authority Within the Group Member	138
5. Keep the Focus on the Basic Steps of Cognitive-Behavioral Self-Change	138
6. Achieve Cooperation Between Group Members and Staff	138
7. Maximize Individual Involvement in the Group Process	138
The Three Hats of the Group Leader and Counselor	138
1. Personal.....	139
2. Technical.....	139
3. Philosophical.....	139
Session Evaluation	139
Client Session Response Evaluation	139
Client Outcome Evaluation	140
Summary	140

SECTION III

THE TREATMENT CURRICULUM	141
Introduction.....	143
Structure of Treatment Program and Curriculum Manual (Section III).....	143
Participant Workbook	144
The Themes of the Treatment Curriculum	144
Resources for the Development of the Treatment Curriculum	144
Program Outline	145
Phase I: Challenge to Change	145
Phase II: Commitment to Change	145
Phase III: Taking Ownership of Change.....	146
PHASE I: CHALLENGE TO CHANGE: INTRODUCTION AND OVERVIEW	147
Introduction to Phase I.....	149
1. Overview.....	149
2. Specific Goal and Objectives of Phase I.....	149
3. Basic Counselor Skills for Phase I.....	150
4. Basic Treatment Strategies	150
5. Client Experiences	150
6. Completion Requirements for Phase I	150
7. Assignment of New Clients to Phase I	151
Individual Intake and Orientation Session	151
MODULE 1: Building Trust and Rapport	153
Overview of Module 1	154
Introducing the Participant's Workbook	154
Module 1 and Overall Program Sequence	154
Session 1: Developing a Working Relationship.....	155
Session 2: Understanding and Engaging the Change Process	161
Module 2: Building a Desire and Motivation to Change	165
Sessions 3 and 4: Building Motivation to Change	167
MODULE 3: Building the Knowledge Base to Change	173
Overview of Module 3	174
General Goals for Module 3	174

Time Structure for Module 3	174
Session 5: Understanding the Role of Thinking and Feeling in Learning and Change	175
Session 6: Understanding the Role of Behavior in Self-Improvement and Change	181
Session 7: Basic Knowledge About Drugs	187
Session 8: Understanding Alcohol and Other Drug (AOD) Addiction	195
Session 9: Understanding Criminal Conduct and the Influence of Drugs.....	207
MODULE 4: Self-Disclosure and Receiving Feedback: Pathways to Self-Awareness and Change	215
Overview of Module 4	216
Goals and Objectives for Module 4.....	217
Time Structure for Module	217
Session 10: Learning Communication Tools and Skills	219
Session 11: Tools of Self-Disclosure: Autobiography, Thinking Reports, Journaling and Participating in the Reflection Group	227
Session 12: Deeper Sharing: Your Deep Emotions and Your AOD Use	233
Session 13: Deeper Sharing: Your History of Criminal Conduct.....	237
MODULE 5: Preventing Relapse and Recidivism: Identifying High-Risk Situations	239
Overview of Module 5	240
Session 14: Relapse and Recidivism Prevention I: Identifying High-Risk Situations and Understanding Relapse and Recidivism	243
Session 15: Recidivism Prevention II: Learning the Cognitive-Behavioral Map	249
Module 6: How Do People Change: Understanding the Process of Self-Improvement and Change	255
Overview of Module 6	256
Objectives for Module 6	256
Time Requirements for Module 6	256
Session 16: Reviewing the Process and Stages of Change and Selecting Targets for Change	257
Session 17: Ways to Change and Barriers to Change	265
Session 18: Looking Forward: Making a Commitment to Change	273
PHASE II: COMMITMENT TO CHANGE: INTRODUCTION AND OVERVIEW.....	275
Introduction and Overview of Phase II.....	277
Specific Goals and Objectives of Phase II	278
Basic Provider Skill Structure for Phase II	278
Basic Treatment Strategies	279
The Client Will Experience	279
Completion Requirements for Phase II	279
Presentation Structure and Time Requirements for Phase II.	279
MODULE 7: Introduction to Phase II: Developing Commitment to Change	281
Overview of Module 7	282
Goals and Objectives for Module 7.....	282
Time Structure for Module 7	282

Session 19: Recognizing Readiness to Change: Problem Solving and Doing Something Different—It’s Your Choice	283
Session 20: Involving Significant Others	289
MODULE 8: In-Depth Assessment: Looking at the Areas of Need and Change	295
Overview of Module 8	296
Goals and Objectives for Module 8.....	296
Time and Presentation Structure for Module 8.....	296
The Self-Disclosure and Feedback Communication Channels as the Framework for Assessment	297
Session 21: In-Depth Assessment: Getting the Information to Plot the Master Profile	299
Session 22: Targets of Change and the Master Assessment Plan (MAP)	303
MODULE 9: Strengthening Basic Skills for Self-Improvement and Change: Acting on the Commitment to Change	309
Overview of Module 9	310
Goals and Objectives of Module 9	310
The Structure for Module 9	311
Session 23: Coping and Social Skills Training: Basic Communication Skills— Active Sharing and Active Listening	313
Session 24: Coping and Social Skills Training: Basic Communication Skills— Starting Conversations	319
Session 25: Coping and Social Skills Training: Basic Communication Skills— Compliments	323
Session 26: Recognizing and Being Aware of Negative Thoughts and Negative Thinking	327
Session 27: Managing and Changing Negative Thoughts	333
Session 28: Errors in Logic and Thinking.....	337
Session 29: Errors in Thinking and the Entitlement Trap	341
Session 30: Recognizing High-Risk Situations for AOD Use and CC and Refusal Training	345
Session 31: Managing Cravings and Urges About CC and AOD Use.....	349
Session 32: Assertiveness Skills Development	353
Session 33: Deeper Problem Solving	357
Session 34: Handling Feelings, Anger Management	361
Session 35: Preventing Aggression and Violence	367
Session 36: Managing Guilt, Anger and Depression: The Emotional Cycles of Rehabilitation	373
Session 37: Developing and Keeping Intimate and Close Relationships.....	379
Session 38: Understanding Values and Moral Development.....	383
Session 39: Understanding and Practicing Empathy	387
Session 40: Responsibility Toward the Community: Reflection and Review and Driving Attitudes and Patterns.....	393
PHASE III: TAKING OWNERSHIP OF CHANGE	397
Overview of Phase III.....	398
Review of the Strategies for Self-Improvement and Change	398
Introducing Clients to the Content of Phase III	399
Specific Objectives of Phase III	400

Time Structure for Phase III.....	400
MODULE 10: Relapse and Recidivism Prevention: Review and Strategies for Self-Control and Lifestyle Balance	401
Overview of Module 10	402
Objectives for Module 10	402
Content for Introduction to Module 10	402
Session 41: Strengthening Relapse and Recidivism Prevention Skills.....	403
Session 42: Relapse Prevention: Strategies for Self-Control and Lifestyle Balance	407
MODULE 11: Strengthening Our Ownership of Change: Developing the Skills of Critical Reasoning and Settling Conflicts	415
Session 43: Critical Reasoning: Decision Making and Creativity I	417
Session 44: Critical Reasoning: Decision Making and Creativity II	421
Session 45: Resolving Conflicts: Negotiation and Social Skills Development	425
MODULE 12: Maintaining Self-Improvement and Change: Developing a Healthy Lifestyle or Manner of Living	431
Session 46: The Alternatives of Healthy Play and Leisure Time	433
Session 47: The Alternative of Productive Work: Managing Work and Job Issues	437
Session 48: Role Modeling Change	443
Session 49: Preparing for Maintaining Your Changes: Exploring Self-Help Groups and Other Community Support Programs.....	445
Session 50: Preparing for Your Program Change Support Group.....	447
EPILOGUE	449
REFERENCES	451
ABOUT THE AUTHORS	479
APPENDIX A: CLIENT SCREENING, ASSESSMENT AND OUTCOME EVALUATION INSTRUMENTS	
Addictions Severity Index (ASI)	
Adult Self Assessment Questionnaire (AdSAQ)	
Adult Substance Use Survey (ASUS)	
Alcohol Use Inventory (AUI) Sample Computer Profile Report	
Driving Assessment Survey (DAS)	
Drug Use Self Report (DUSR) Profile	
Follow-Up Assessment Questionnaire (FAQ)	
Life Situation Questionnaire (LSQ)	
Mood Appraisal Questionnaire (MAQ)	
Program Interest Questionnaire (PIQ)	
Provider Treatment Closure Questionnaire (PTCQ)	
Substance Use History Matrix (SUHM)	
Thinking Errors Checklist (TECL)	
Thinking Errors Rating Scale (TERS)	
APPENDIX B: ADMISSION, INTAKE, AND SESSION EVALUATION FORMS	
Behavioral Rating Form (BRF)	
Client Rights Statement	
Client Session Evaluation Summary (CSES)	
Consent for Program Involvement	

Consent for Release of Confidential Information	
Full Disclosure Statement Sample	
Notice of Federal Requirements Regarding Confidentiality of Alcohol and Drug Abuse Patient Records	
Personal Data Questionnaire (PDQ)	
Provider Session Evaluation Summary (PSES)	
Referral Evaluation Summary (RES)	

LIST OF FIGURES

SECTION I

6.1 Marlatt's Cognitive-Behavioral Model of the Relapse Process	51
6.2 Specific Intervention Strategies in Marlatt's Relapse Prevention Model	53

SECTION II

9.1 Conceptual Framework of the Cognitive-Behavioral Treatment of the Substance Abusing Offender	95
9.2 The Cyclical Process of Growth and Change in Treatment	97
9.3 The Process of Cognitive and Behavioral Learning and Change	103
9.4 Cognitive-Behavioral Model for Relapse and Recidivism	105
10.1 Interactive Components of the Treatment and Therapeutic Process	112
10.2 Profile of the Cognitive-Behavioral Substance Abusing Offender Specialist	113
11.1 Master Profile	129
11.2 Master Treatment Plan Work Sheet	132

SECTION III

1 Interaction of Thoughts, Feelings and Actions	177
2 The Process of Cognitive Learning and Change	178
3 Three Rules of Learning Behavior	182
4 The Process of Cognitive and Behavioral Learning and Change	184
5 The Psychological-Behavioral Pathway for Learning AOD Use Behavior	196
6 The Psychological Addiction Pathway: Coping with Stress and Life Problems	196
7 Mental-Behavioral Addiction: The Impaired Control Cycle	198
8 Psychological-Physical Addiction Model	199
9 Psychological-Physical Addiction Model: Normal Daily Cycle of Average Tension Level (ATL)	200
10 Psychological-Physical Addiction Model: The Countering Effect of Rebound or Withdrawal When Taking Several Doses of a Sedative Drug Such as Alcohol	201
11 Psychological-Physical Addiction Model: Longer Periods of Rebound and Withdrawal From Longer Time of Heavy Drinking to Excessive Amounts of Alcohol Use	202
12 Psychological-Physical Addiction Model: The Strung Out User	203
13 The Criminal Conduct and Corrective Behavior Cycles	212
14 The Self-Disclosure Model	223
15 The Relapse Process	249
16 Cognitive-Behavioral Model for Relapse and Recidivism	251

17	Forks in the Road to Recovery	253
18	Pathways to Changing AOD and Criminal Conduct	260
19	Provider's Rating of Client on Stages of Change for AOD Use Only	263
20	Provider's Rating of Client on Stages of Change for Criminal Thinking and Conduct Only	264
21	Example of Shifting the View: Old Woman-Young Woman	267
22	Description of Relationship Balance Between Closeness and Separateness	292
23	The Assessment Framework: The Johari Window	298
24	Master Profile (MP).....	305
25	Master Assessment Plan (MAP) Work Sheet	308
26	Pathways to Changing AOD and Criminal Conduct	328
27	The Guilt-Anger Cycle	377
28	Relapse Prevention: Global Self-Control Strategies	412
29	The Decision Window for Criminal Conduct	413

LIST OF TABLES

SECTION I

1.1	Common Features and Underlying Principles of the CBT Approach	14
3.1	Targets for Change—Dynamic Predictors	38
6.1	Essential Elements of an Effective Treatment Program for the SAO.....	57
7.1	Diagnostic and Statistical Manual IV Criteria for Substance Dependence	61
7.2	Diagnostic Statistical Manual IV Criteria for Substance Abuse	62
7.3	Conceptual Framework for Describing Multidimensional Drug Use Patterns and Conditions	65
7.4	Characteristics of the Antisocial Personality Pattern	67
7.5	Level of Service Inventory (LSI) Risk Factors	68
8.1	The Continuum of Cultural Competence	75
8.2	Elements of a Culturally Competent System.....	75
8.3	Gender Specific Treatment Needs for Women	87

SECTION II

9.1	Objectives of Phase I: Challenge to Change	98
9.2	Objectives of Phase II: Commitment to Change	100
9.3	Objectives of Phase III: Taking Ownership of Change	101
11.1	Program Selection Criteria and Values	121
11.2	Example of Determining Weighted Score for a Particular Client	122
11.3	Sources of Assessment Information in Sequence of Recommended Administration.....	128

SECTION III

1	Two Classes of Drugs with Their Direct and Indirect Effects.....	190
2	Blood Alcohol Concentration (BAC) Levels by Body Weight; Hours Over Which the Person Drinks and Number of Drinks (men and women will vary).....	192
3	Approximate Hours from First Drink to Zero BAC Levels	192

4	Criminogenic Needs Which Bring People to Criminal Conduct and the Cognitive-Behavioral Responses for Self-Correction and Change	209
5	Selective Thinking Errors and Distortions Often Held by Individuals Who Engage in Criminal Conduct	210
6	Common Thinking Distortions or Errors in Thinking	340
7	Relating a Specific Job Description to the Seven Habits.....	441